

THE SSE PROGRAMME

HONNE '96  
10 YEARS WITH SSE  
PAST EXPERIENCES - FUTURE CHALLENGES

Proceedings  
from the  
SSE workshop  
at  
Honne Conference Centre, Biri, Norway

2 - 6 September 1996

Edited by Elisabeth Molteberg and Anne Utvaer

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*The SSE Workshop was sponsored by*

The Norwegian Agency for Development Cooperation (NORAD)

*SSE Workshop Organisation Committee*

Anne Dessingtho/Ståle Stavrum, NORAD

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## ACRONYMS

ACOPAM	Co-operative and Organisational Support to Grasroot Initiatives in the Sahel
AAU	Addis Ababa University
ACA	Awassa College of Agriculture
ADRA	Adventist Development and Relief Agency
BEST	Best Beslutningsstøtte AS
CMI	Christian Michelsen Institute, Bergen, Norway
CNRST	Centre National de la Recherche Scientifique et Technologique, Mali
DF	Development Fund, Norway
ENI	Ecole Nationale d'Ingenieurs, Mali
ICCD	International Convention to Combat Desertification
IER	Institute d'Economie Rurale, Mali
IIED	International Institute for Environment and Development
ILO	International Labour Organisation
INRSP	Institute National de la Recherche en Santé Publique, Mali
ISH	Institute des Sciences Humaines, Mali
IUCN	International Union for Conservaiton of Nature
LFA	Logical Framework Approach
MFA	Ministry of Foreign Affairs, Norway
MoA	Ministry of Agriculture, Eritrea
MN	Musée National du Bamako, Mali
MUC	Mekelle University College, Ethiopia
NCA	Norwegian Church Aid
NCRI	Norwegian Crop Research Institute, Norway
NGO	Non-governmental organisation
NORAD	Norwegian Agency for Development Cooperation
Noragric	Centre for International Environment and Development Studies, Noragric, Agricultural University of Norway, Ås
NPA	Norwegian Peoples Aid
NUFU	Norwegian Universities Committee for Development Research and Education
PENHA	Pastoral and Environmental Network in the Horn of Africa
PIDEB	Project for Integrated Development in Bafoulabe, Mali
PSM	see SMF
REST	Relief Society of Tigray
SMF	Strømme Memorial Foundation
SSE Programme	Sahel Sudan Ethiopia Programme
SUM	Centre for Development and Environment, University of Oslo
UiB	University of Bergen, Norway
UiO	University of Oslo, Norway
UNDP	United Nations Development Programme
UNICEF	United Nations International Childrens Emergency Fund
UNSO	United Nations Sudano-Sahelian Office
WB	The World Bank



## EDITORS' FOREWORD

The SSE Workshop was intended as a forum for free discussions between the participating institutions from Eritrea, Ethiopia, Mali, Norway and Sudan. This intention was, within the limits of language boundaries, realized.

The workshop was opened in the first instance by Asbjørn Mathisen from the Norwegian Ministry of Foreign Affairs and the following panel discussions proved to be both informative and motivating for all participants.

The organising committee consisted of a representative from NORAD (Ståle Stavrum took over after Anne Dessingtho); Riborg Knutsen, Norwegian Church Aid; Inger Fadil, CARE Norway; and Jon Kr. Øiestad, Arild Øystese Hansen and Anne Utvær from Noragric, the Centre for International Environment and Development Studies at the Agricultural University of Norway. Noragric provided for the secretariate, consisting of Jon Kr. Øiestad, Arild Øystese Hansen, Anne Utvær and Elisabeth Molteberg, who arranged the practical details of the workshop. In particular, Elisabeth Molteberg was responsible for the summary reports both during and after the workshop and Arild Øystese Hansen and Anne Utvær had the overall responsibility for the editing and translation of documents into French and English.

We would like to thank the simultaneous translators for their untiring efforts during the workshop and for their flexibility in assisting with the translations of the daily summary reports and other documents within the tight time restraints of the programme.

There could not have been a workshop without certain other contributions. One element is the sponsors whom we again would like to thank. A second element is the SSE Strategy Committee where Gry Synnevåg was Secretary. Not only was the committee's preparatory work before and during the workshop thorough but it also provided considerable motivation for the participants, particularly through the group work sessions. The third element was the chairpersons' and speakers' invaluable and constructive contributions to the workshop.

The fourth and most important element was the organisations' NGOs. Without their active and enthusiastic participation, the workshop would not have been so successful both scientifically and socially and the final "Honne declaration" would not have been so comprehensive. The organisers' thanks go to you all.

Elisabeth Molteberg

Anne Utvær





# 1 INTRODUCTION

## I Background – the SSE Programme

1996 marks the ten-year anniversary of the Sahel-Sudan-Ethiopia Programme (SSE Programme). The Programme was launched in 1985 after the 1984/85 Sahel drought to channel Norwegian assistance to countries in Sub-Saharan Africa affected by severe drought, poverty and environmental degradation. Its thematic focus was food security, ecological rehabilitation and women's situation. The main geographical focus was on Ethiopia, Mali, Sudan and. The Programme consists of three components: development aid through non-governmental organisations (NGO) projects, development research, and support to multinational organizations' projects. Mutual benefits and synergy effects are expected to result from interaction and cooperation between the three components.

The overall objectives of the Programme are:

- improvement of local food production and food security
- improvement of the natural ecological base in order to develop sustainable production systems
- competence building related to the various elements of the project.

The main guiding principles are:

- minimized dependence on future aid, i.e. sustainability
- recipient orientation
- specific targeting of women
- poverty alleviation.

During the Programme period, a number of workshops and seminars have been held:

- 1992: Addis Ababa, Ethiopia (regional research meeting)  
Oslo, Norway (Cowiconsult Evaluation Report 2.92)
- 1993: Bafoulabé, Mali
- 1994: Ségou, Mali
- 1995: Sélingué, Mali  
Mekelle, Ethiopia

## II The workshop

The workshop "Honne '96" was conducted 2-6 September 1996. As an internal workshop of the NGO Programme component, its major objectives were to sum up experiences from its decade of operation and to propose adjustments to the Programme's strategy with reference to the on-going Programme review. A third major topic was the presentation and discussion of tools for monitoring project impact, notably Logical Framework Approach (LFA) and indicators for food security and environmental rehabilitation.

The workshop thus concentrated on the following themes:

- Experience and status
- Inputs to future strategy – Programme recommendations
- Use of LFA and indicators for environmental rehabilitation, in a food and livelihood security context.

In order to achieve the expected exchange of views and experiences, resulting in fruitful input to the strategy revision, these themes were discussed in both plenary and group sessions. The meeting was bilingual (English and French) with simultaneous interpretation of all plenary presentations and discussions.

### **III Overall conclusions**

The following is a brief summary of major points made in presentations, group work and plenary debates. The summary should be read in conjunction with the day-to-day summaries and the chapter on strategy and Programme recommendations for expansion and details on these issues.

**1 Achievements.** Significant achievements have been made in the NGO component of the Programme, not only in relation to food security and environmental rehabilitation, agri- and sylvicultural production, and marketing, but also in fields like local participation, democracy, capacity building, women's situation, education, and livelihood security. NGOs have also had a stabilizing influence on processes in working regions. The principles of implementation have been given much consideration although there is still scope for improvement, and most projects are in line with Programme objectives. Furthermore, conditions were felt to be more conducive to SSE activities now than ever before, due to increased peace and stability, democratization and decentralization in the SSE countries.

**2 Obstacles and problems,** in addition to some external conditions in project areas, include dependency, lack of skills and knowledge on project areas, insufficient integration of research and development activities, short-term perspectives in funding and project work, and sectorism. Documentation of results has been a problem – more is known about efforts made than about their impacts. Research results have been obtained in many fields, but the exchange and communication of results has been modest. Overall, the Programme has achieved objectives in the different components but, due to the limited communication and coordination of efforts between components, the intended synergy effects have not been attained. It has also been difficult to measure Programme effects. SSE seminars have motivated increased communication and joint efforts in recent years.

**3 The Programme objectives** are relevant, and the Programme should continue due to the complexity and long-term nature of the problems addressed. There is a need for developing the Programme concept further into a unified approach and vision to allow for a more multisectoral and interdisciplinary, general lessons-learned approach. There should be more focus on access to resources, and a livelihood security approach/household livelihood security for the vulnerable was suggested as a vision or overall objective. Keeping a household focus throughout in the objectives is important. There should be a gender-balanced approach and more focus on local participation and influence. Community empowerment through strengthened competence building should be a key objective. Short term relief should be used strategically as a means for a longer term perspective in development work.

**4 Programme principles.** It was suggested that poverty alleviation should be kept as a principle and be clarified regarding whether activities should address relative or absolute poverty, and that minimization of food aid should be replaced by

“appropriate use”. Client- and household-focused research, impact orientation, and collaboration leading to synergy effects were other suggestions for principles.

**5 Integration and cooperation.** Tighter links at all levels within as well as between components, both regarding exchange of information and personnel and other forms of cooperation, are needed. Links between research and implementers locally should be closer; on the national and regional level there is a need for fora for information exchange and expertise sharing. A coordinating function could alternate between partners within a country. There was some disagreement on whether more efforts should be made to involve multilateral organizations in closer cooperation or not, and what form these efforts should take. More information to funders and to the public is needed. There is a need for long-term planning and better coordination of funding between operators and sectors. Some participants advocated the integration of NGO and research activities into all projects whereas others wanted more voluntary, need-based collaboration. There was also some disagreement as to whether the funding of this should be in the form of a system of joint NGO/research funding or of a research component and budget in every NGO project.

**6 Programme organization and management.** There were differences in opinion as to what roles the Ministry of Foreign Affairs (MFA), Norwegian Agency for Development Cooperation (NORAD), and Centre for International Environment and Development Studies (Noragric) should play. Much of the discussion concerned the proposed steering unit – whether it should have a steering or facilitating, problem-solving, whether its composition should consist of MFA, Noragric, a committee composed of representatives of actors involved in the Programme, or a combination, and the feasibility of having a new unit when all actors are facing capacity problems. In order to eliminate Noragric’s conflicting responsibilities, it was suggested that a review body (composed of Noragric, NORAD, and a third body) was set up to review project applications. It was stated that it is important that responsibilities and mandates are clearly defined and known to all, but due to the complexity of the issue and incomplete information, more discussion and thinking would be necessary if a recommendation were to be made.

#### **IV Additional elements to the workshop**

Sections I-III describe the main part of the workshop. In addition, the Noragric library was represented with an information exhibition which included distribution of information packages, reference literature and video information. The objective of the exhibiton was to present the range of free literature available to the relevant countries. Relevant information from participating institutions was also available including poster presentations of some SSE projects.



## 2 SUMMARY OF PLENARY SESSIONS

### MONDAY

• **Opening addresses.** **Asbjørn Mathisen, MFA**, pointed out consequences to the SSE Programme of the conclusions from the Parliament debate on the White Paper on Norwegian South Policy; notably that the Programme will be restricted to Ethiopia, Eritrea and Mali. The continuation of the Programme along today's lines will however be possible. – The main point of **Thor Larsen, Noragric**, was that the major objectives of the SSE Programme, food security and the improvement of the natural resource base for sustainable development can only be achieved if ecological, socio-cultural, and economic constraints – and the way they interlink – are recognized and understood. – **Erling Eggen, NORAD**, pointed out the challenge posed by the change in the budgetary structure which the Programme is facing, regarding the preparations and presentation of suggestions for its continuation.

• **Panel and plenary discussion.** The panel was composed of **Asbjørn Mathisen** from MFA, **Michael Angstreich** from CARE, **Johannes Sannesmoen** from Strømme Memorial Foundation/Project for Integrated Development in Bafoulabe in Mali (SMF/PIDEB), **Njell Lofthus** from Norwegian Church Aid (NCA-Oslo), **Terje Thodesen** from Redd Barna-Eritrea, **Assefa Teklewoini** from Development Fund(DF)/Relief Society of Tigray (REST), and **Alida Jay Boye** from the Centre for Development and Environment, University of Oslo (SUM, UiO). – Experiences summed up were that substantial achievements have been made not only in relation to food security and environmental rehabilitation, but also in fields like local participation, democracy, capacity building, women's situation, education, and livelihood security. It was felt that the Programme was justified in this respect. There was some concern that the Programme would be stopped or altered too much just when results are beginning to show, and that there was not enough recognition of the fact that both research and project work under the prevailing circumstances takes time. Also, a common vision, overarching strategy, and better bonds between NGO, research and multilateral aspects were seen as lacking. The expected synergy effect related to cooperation between NGO, research and multilateral sectors has not materialized due to fragmented efforts and lack of coordination. Another concern was the secondary role of action research under the current organization of the research component under the mainly academically oriented Norwegian Universities Committee for Development Research and Education (NUFU). A common space or office in SSE countries for SSE participants was suggested. **Mathisen** responded to concerns over the new budget situation, stating that engagements in Mali as well as in Ethiopia and Eritrea will continue. He challenged the workshop to come up with thoughts on how to solve the problem of the lack of coordination, stating that finding a strategy for this is a task for the SSE family itself and for this seminar.

• **Jon Pettersen, Honne** presented Honne Conference Center, and **Jon Kr. Øiestad, Noragric** presented the workshop participants. **Jørn Lemvik, Best Beslutningsstøtte AS (BEST)** gave a workshop introduction, emphasizing the need for realizing the potential in our different experiences and realities and capitalizing on them.

- **Gry Synnevåg, Norwegian Crop Research Institute (NCRI)** gave a report on the status quo and experiences undergone during the SSE Programme period. Background, objectives, principles, and organizations were outlined, as well as the current status of the NGO, research and multilateral components. The projects have resulted in a considerable number of concrete achievements, and NGOs have been able to favorably influence processes in the relevant regions. Much consideration has been given to the principles of implementation. Although there is still scope for improvement, most projects are in line with Programme objectives, although documentation of the results of these has been a problem – more is known about efforts made than about their impacts. – Research results have been obtained in many fields, but exchange and communication of results have been modest. – Overall, the Programme has achieved considerable results in the different components, but due to the limited communication and coordination of efforts between components, the intended synergy effects have not been attained. It has also been difficult to measure Programme effects. SSE seminars have motivated increased communication and joint efforts in recent years.

## TUESDAY

- **Inputs to future strategy for the SSE Programme.** Gry Synnevåg presented the SSE strategy working group's proposal: The Programme concept with food security and sustainable natural resource management at the core should be maintained, but a new development objective has been proposed, namely "Improved livelihood security for vulnerable households in the Sahel". Accordingly, food security-related health and education activities should be added to the scope. Targeting should be poverty- and female-oriented. Efforts should be concentrated in Ethiopia, Eritrea, and Mali. Funding should be co-ordinated under one umbrella to allow for more co-ordinated efforts and the function of a proper Programme, there should be better links and collaboration between partners and actors involved, and an improved organisation and management of the Programme. MFA should manage institutional backup, maintain objectives, and facilitate a synergy effect between the components. NORAD should be responsible for joint research/NGO funding, for informing the public, and for incorporating SSE objectives into SSE country Programmes. SSE co-ordinators in the countries should link activities of and facilitate communication between Programme partners in the country, as well as to SSE in general. Noragric should co-ordinate the NGO component, provide technical assistance and professional advice to NGOs.

This session was followed by a group session.

- **Summary of group work and discussion.** Significant achievements have been attained in many fields, not only in those related to food security and environmental rehabilitation, agri-and sylvicultural production, and marketing, but also in fields like local participation, democracy, capacity building, women's situation, education, and livelihood security. It was felt that the Programme was justified in this respect. Furthermore, conditions were felt to be more conducive to SSE activities now than ever before, due to increased peace and stability, democratization and decentralization in the SSE countries. Obstacles include some

conditions in project areas, dependency, lack of skills and knowledge on project areas and insufficient integration of research and development activities, short-term perspectives in funding and project work, and sectorism. The Programme objectives are relevant and the Programme should continue, but tighter links are needed, notably to the research and multilateral components.

The suggestions for changes in the proposal were mostly welcomed, with the following comments: The wider scope is appropriate. There is a need for long-term planning and better co-ordination of funding between operators and sectors. A joint NGO/research funding should be set up. There should be tighter collaboration and a strengthening of information within SSE and to the public. Links between research and implementers locally should be closer; on the national and regional level there is a need for fora for information exchange and expertise sharing. A co-ordinating function could alternate between partners within a country. Keeping a household focus throughout in the objectives is important, as well as having a general lessons learned approach. There should be a gender-balanced approach, poverty orientation instead of alleviation, and more focus on local participation and influence. Community empowerment through strengthened competence building should be a key objective or strategy. Short term relief should be used strategically as a tool in longer-term development work. There was some disagreement on whether more efforts should be made to involve multilaterals in closer co-operation or not – some participants felt that NGOs and multilaterals are too different for a co-operation to be interesting. As MFA is reluctant to take on the role as a co-ordinating institution, the need for alternative thinking and the idea of a more unofficial co-ordinating structure was underlined.

- **Food security – Experience and new strategy.** Timothy Frankenberger gave a presentation on his work with CARE on livelihood security, developing indicators for assessing this and a method of using the indicators. Relating nutritional security to food and livelihood security, he discussed influences on household livelihood security and the factors which threaten it, as well as household responses to livelihood insecurity and the impact of these coping strategies on food and nutritional security. He then described how household livelihood vulnerability could be assessed and appropriate intervention strategies identified. Relief-type interventions can be used within a development context and with a clear exit strategy. A typology of indicators for assessing livelihood security were presented, according to use; finding target groups, monitoring transitory food insecurity changes, and assessing interventions made, and what is measured (output vs. impact indicators). Finally, a method of early assessment of target areas, Cross-sectoral Rapid Food and Livelihood Security Assessment, was presented. This assessment method focuses on what is the key problem in each sector and how it influences the other sectors, using indexes for scoring villages regarding security in different sectors, aiming to identify the problem with the most leverage.

- **Introduction to Logical Framework Approach.** Jørn Lemvik outlined the need for planning tools and presented the LFA tool, including basic concepts, definitions, and thinking as well as a step-by-step procedure. Terje Thodesen and Teklewoini Assafa shared their experiences with project use of the approach, outlining the procedures they follow when local people use this tool and putting in some words of advice and encouragement.



## WEDNESDAY

- **The use of LFA – Indicators.** Jørn Lemvik recapped Tuesday's lecture, then turned to indicators, outlining their nature and use (to monitor progress towards goals as well as current realities, and to allow for necessary changes along the way), and explaining the difference between direct and indirect indicators. He concluded by stating the importance of assessing the project design when the project is over.

- **Indicators for environmental rehabilitation by Jens Aune, Noragric.** Indicators are important information in summary form. The purpose of using indicators is to document improvements as a result of project activities to project, donors, and public. The key elements of a monitoring system are identifying indicators and ways of measuring them (how, when, what), as well as monitoring changes in external influencing factors. Jens Aune showed examples of indicators for land degradation, soil erosion and socio-economic unsustainability. He oriented on the criteria for choice of indicators as well as on sources of information for them. His review of indicators used in projects showed that output indicators were used more than immediate and development objective indicators; however, it is important to measure status on project objectives, thus indicators for this should be incorporated into the monitoring system. He illustrated this point with a range of concrete examples, showing what the merits of individual indicators are and how they can be measured.

- **Group and plenary discussions with case studies on identification and use of appropriate indicators**

The groups used the handout information on one of three SSE-funded projects as case material for discussion, and applied the LFA approach in the process of assessing and reformulating project objectives, as well as establishing planning matrixes with these objectives and their corresponding indicators.

Participants had different backgrounds as regards familiarity with use of LFA and indicators, but the overall reactions to the trial session were as follows: There was some confusion regarding the terms, some difficulties in distinguishing between levels of objectives and between objectives and indicators, and how these should be phrased. However, this was felt to be a matter of training – the method appeared to be quite simple and interesting. It was cautioned that the approach is a tool and should not dictate work; some aspects of work need to be more flexible than this tool allows for, but in general the tool can help in achieving and maintaining a focus. Another comment was that the possibly most challenging task – that of prioritizing – was not addressed. Participants with more LFA experience discussed the issue of establishing useful benchmarks for current status and desired results (the change has to be big enough to be observable) and timing and feasibility regarding measuring indicators (they should actually be measurable, which is increasingly difficult with higher objective levels). It was cautioned that the influence of external factors may counterbalance project efforts, resulting in a situation where the project seems to be successful in its efforts, but where there is no improvement in the conditions which these efforts are meant to address. This is valuable information and does not mean that the project is failing, merely that it should address the external factors as well (if possible).

## THURSDAY

• **Research and competence building – Interaction with NGOs.** Alida Jay Boye started with a general view on collaboration efforts between NGOs and research. She reiterated the three original objectives of the research component (research competence building, production of knowledge on food security and natural resource management in the SSE countries, and its dissemination to governments and developers) and stated that in NGO activities, research should be involved in the entire project cycle to give inputs at strategic times. In her opinion, fields of common interest have not been sufficiently exploited. After discussing advantages and constraints of the Programme so far (common funding and thematic thrust, family feeling, conducive circumstances and university collaboration experience versus skepticism among academics, developers and local people, lack of resources and communication problems), she held that NGO/research cooperation requires equality and the aim of combining abilities and resources without eroding partners' (or individuals') identity. Cooperation should be of mutual benefit, and there should be a genuine interest from both partners. Financing should be worked into both partners' objectives and plans to synchronize and prevent time constraints. She referred to the Segou 1994 recommendations regarding collaboration (see appendix ) and to the actions proposed at the Mali workshop to promote them, including establishing an NGO/ Research network, as well as several concrete activities in the field and elsewhere. Boye proposed the following research/NGO cooperation and financing model for the Programme: Cooperation should not be forced, but built on mutual interest; it should comprise consultancies, competence building and training; it should be long-term; and a reference group consisting of NGO and research representatives should be identified. National and local government institutions should be actively involved (extension and research). Research, NGOs, donors, national research institutions, local government institutions and local populations should all be involved in arriving at a consensus of opinion regarding research priorities, themes and questions through a participatory approach. As far as financing is concerned, NUFU should finance academic development research and training, NORAD should finance action-oriented research, and MFA policy-oriented research. There should be a research component in all applications to NORAD. NORAD should establish a synergy pot for funding joint research/NGO activities.

• **Aregay Waktola, Noragric** shared his experiences regarding research and competence building under the SSE Programme. The idea of close collaboration between research and development activities has strong traditions and is compatible with institutional arrangements in Ethiopian academic institutions (such as cooperation with government agencies and NGOs). Although there was a low awareness of the SSE Programme concept initially, all projects had the profile and thematic orientation outlined in its objectives. A NUFU-sponsored seminar in 1992 highlighted the need for collaboration between research and NGOs, as did the 1992 COWI-consult report (also regarding multilateral organizations). Since then collaboration has been increasingly addressed. One example, from Awassa College of Agriculture, showed how several institutions are collaborating on research funding, implementation and dissemination/use of results. Another example, from Mekelle University College (MUC), showed cooperation between MUC, REST, Noragric, and several government agencies and NGOs through practical training of

students at projects run by the various institutions. Collaboration between colleges and NGOs is feasible and rewarding, but a workable cooperation model and funding arrangement is needed, and a long-term perspective is important.

- **Johannes Sannesmoen** stated that long-term collaborations between researchers and NGOs should replace short-term consultancy-type relations, because long-term collaboration is cross-fertilizing and can lead to impressive results. This statement was illustrated by the case of the Strømme Memorial Foundation/ University of Oslo Biology Dept. locust project, which has been going on for the whole duration of the SSE Programme. This project has resulted in both applied and more fundamental research, including a joint project to find ways of monitoring locust movements. SMF's Project for Integrated Development in Bafoulabe (PIDEB) and SSE's research division have also initiated long-term collaboration to address malnutrition and diseases in the PIDEB area. – So far, the only source of funding is through the NGO budget; a synergy pot for joint funding should be established. A model of cooperation is also needed.

- In the **plenary debates** the following issues were raised regarding research/ NGO collaboration: Research in SSE should always be based on action and address aspects that something can be done about. However, researchers' technical assistance should be strategic, enabling them to follow the case and its changes. Researchers should be brought in at strategic times for data collection, evaluation and decision-making. Research thus has to be a part of the project from the onset. Reactive TA can be done by consultants. NGOs can collaborate with researchers on interpreting results to reflect realities, as well as to disseminate, communicate and apply results. Research objectives have to be jointly formulated. The parties should acknowledge that they have different competence areas, researchers have competence in data collection/analysis and NGOs in project design. A "lessons learned" focus is important. Many NGO activities, like the use of indicators, could be improved with a research perspective. Comparative studies of own results can help here. NGO/research collaboration can be sustained by helping universities in the SSE countries retain their employees (favorable salaries etc.) Applied research can be included in career plans and universities can initiate other forms of meriting than publishing. There were varying opinions on the proposed synergy pot. Some participants welcomed it, one argument being that it would increase transparency regarding allocation. Others felt that a research component should be jointly planned and built into every project, and also be part of the project funding. There was also a caution that funds depend on the demonstration of concrete results to funders.

- The contents of the **group work on SSE Programme recommendations** were as follows:

Comments on the *Programme concept* mostly concentrated on the need for developing the concept further into a unified approach and vision to allow for a more multisectoral and interdisciplinary approach, a sharing of lessons learned, more focus on access to resources, more community/recipient involvement, and a livelihood security approach, as well as on the need to continue the Programme due to the complexity and long-term nature of the problems addressed. – Similar arguments were voiced on the *Programme objectives*. Household livelihood

security for the vulnerable was suggested as a vision or overall objective. Suggestions regarding *principles* included the replacement of partnership with participatory approaches, of poverty orientation with alleviation (should activities address relative or absolute poverty?), and the substitution of “appropriate use of” for minimization of food aid. Other suggestions were to include client- and household-focused research, impact orientation, and collaboration leading to synergy effects as principles.

There were suggestions to rephrase the text on *geographical concentration*, and it was remarked that a separate discussion on Sudan’s situation, especially regarding ongoing projects, is needed. Comments to the point on *future SSE partners* were mostly rephrasing suggestions and comments relating to the role of multilateral organizations – suggestions included to state an intention of collaboration, that the role of multilaterals should be restricted to research-related work, and that their partnership should be postponed. It was also suggested that there should be a place for government/public institutions as partners where relevant. Comments on *cooperation* favored stimulating NGO and project cooperation, at local level as well, and including exchange of experience and results (e.g. make lists of NGO experts for exchange, more translation of written materials). Some participants advocated collaboration and integration of whereas others wanted a more voluntary, need-based research component or collaboration.

There were few comments to *funding*. One group suggested that the Programme should have a designated budget line in NORAD to support and enforce NGO/ research collaboration and 3-year contracts with a 10-20 year perspective. There were varying opinions on *Programme organization and management*. Some participants saw MFA as a steering unit, others wanted it to more or less serve its current functions. NORAD should administer funding of projects, although some felt it should also legitimize SSE strategy and objectives and develop information to the public and to MFA. Some participants felt that Noragric should be the steering unit, others that this should be a separate unit, a coordinating unit composed of representatives of all actors or of NGOs and NORAD, coordinated by NORAD. The steering unit should be a facilitating and problem solving, but not controlling body, loosely coordinated, i.e. an interdisciplinary forum. The role of coordinating unit in the SSE countries could alternate between countries, it was suggested. Opinions also differed on Noragric’s role – some felt that there should be a review body for project applications (composed of Noragric, NORAD, and a third body) to eliminate Noragric’s conflicting responsibilities. It was suggested that Noragric should also provide professional assistance to NGOs and be a secretariat to the steering committee. Others felt that Noragric should be responsible for professional advice also to NORAD, as well as facilitate NGO and NGO/research cooperation, coordinate and facilitate the steering unit function, and produce information for the public.

- The plenary discussion elicited the following additions to these points: It was proposed to distinguish between objectives and an overall vision as suggested above. On Sudan’s future role, it was argued that a geopolitical environments perspective suggests not to leave Sudan out completely. It is necessary to distinguish between the government and people in a country; there are precedences for working in countries without involving their governments. At the very least,

the problems of phasing out need to be addressed. It was also argued that, whatever the role of the multinationals, there must be mutual information on what activities the parties are engaging in. This specifically applies to Mali for the time being. It was felt that it is important that organization and management responsibilities and mandates are clearly defined. There is disagreement on whether there should be a steering or coordinating unit – this point needs to be discussed and clarified, and the feasibility of this issue also needs to be addressed since both MFA and NORAD are reducing manpower in the Programme, Noragric is facing capacity problems, and NGOs have little time to get involved. One suggestion was to strengthen Noragric's role with the controlling function of a committee.

- Finally, there was a short **evaluation** of the seminar's use of two working languages. Overall, this worked well. The international participation was appreciated, although language barriers outside the conference room were a constraint to international communication and the mix of learning sessions and strategy discussion sessions (generally appreciated in spite of some frustration with lack of time, which was however seen as inevitable).
- During the workshop, several NGO projects were represented with posters/ exhibits, and three of these were rewarded: The NCA Gossi exhibit for originality; the Redd Barna Asmat exhibit for artistic creativity, and the CARE Koro/Timbuktu exhibit for its informative set-up.

## ***Honne Declaration***

*Inputs to a new SSE Strategy from the SSE Workshop "Honne'96"  
September 1996*

### **1. SSE Programme concept should be maintained in the future because:**

- A common strategy is needed to more effectively address the developmental challenges of the drought prone and environmentally degraded areas of Eritrea, Ethiopia and Mali.
- The complexity of the issues involved demand continuity based on long term perspectives, minimum 15-20 years.
- The knowledge, accomplishments and experience acquired through the Programme form a solid base for the continuation of the Programme. As such, the Programme provides an invaluable model for application in other regions.
- The political situation has become more favourable for development as compared to the early phases of the Programme.
- The need still remains to develop and maintain an interdisciplinary and multisectoral approach to solve problems.
- A livelihood security approach in the region is necessary to reduce the need for and dependence on future food aid.

### **2. Vision of the SSE Programme**

The SSE Programme's vision is improved livelihood security for vulnerable rural households in the SSE Programme areas.

### **3. Overall objectives of the SSE Programme**

- Improved food security for vulnerable households
- Sustainable use and management of the natural resource base
- Improved livelihood conditions through increased access to community based health services, education and potable water
- Competence building and institutional strengthening at local and regional level

#### **4. Programme principles**

- Impact orientation
- Poverty orientation
- Local participation in all phases of project cycle
- Gender balanced approach
- Partnership approach
- Promotion of a synergy effect through collaboration between all partners
- Appropriate use of food aid to avoid a dependency syndrome

#### **5. Geographical concentration**

- Project activity limited to Eritrea, Ethiopia and Mali
- Possibility of continued collaboration with projects in Sudan should be discussed further

#### **6. SSE partners**

- National NGOs and their local partners
- Norwegian NGOs and their local partners
- Norwegian and national research institutions
- Government and public institutions
- International NGOs

#### **7. Cooperation**

- Cooperation and exchange of information between the different SSE partners at local, regional and country level should be stimulated
- Project cooperation should not only be limited to SSE projects
- Research should be an integral part of NGO project activities with emphasis on producing practical results
- Cooperation and exchange of information between relevant Norwegian funded multilateral projects and NGOs should be stimulated

#### **8. Funding**

- 100% project funding
- 5 year contract periods
- Declaration of intention for continuation of the Programme for a 10 year period

## **9. Programme organisation and management**

### **The role of Ministry of Foreign Affairs (MFA):**

- Institutionalize long term support for the SSE Programme as a special grant separate from the designated regional grants
- Designate funds to be administered by NORAD
- Have overall responsibility for the SSE Programme

### **The role of NORAD :**

- Have overall responsibility for implementing and monitoring the SSE Programme
- Administer funding secured from MFA for the SSE Programme
- Disseminate SSE related information to the general public

### **The role of Noragric :**

- Provide technical and professional support as required by NGOs and NORAD
- Ensure that project development objectives are in accordance with Programme development objectives
- Facilitate communication, cooperation and synergy between Programme partners
- Function as a secretariat for a SSE coordination unit in Norway
- Facilitate SSE coordination units in all SSE countries

### **The role of a SSE coordination unit in Norway:**

(Representatives from NGOs, research institutions involved in the SSE Programme and Noragric)

- Facilitate Programme coordination, cooperation and exchange of information
- Function as a reference group for problem solving, technical advising, strategy discussions, etc.

### **The role of SSE coordination units in the SSE countries:**

(Representatives from NGOs, their local partners and research institutions involved in the SSE Programme)

- Facilitate communication, cooperation and synergy effect between Programme partners
- Promote exchange of information on SSE project activities
- Organise SSE workshops and other joint activities at country level

\* \* \* \* \*





# APPENDIX

## Editors' note

Written material from the plenary entries has been included in the appendix where available.

Regrettably, material from the the following entries is not available: The opening address by Thor Larsen, Director of Noragric; panel presentations from Johannes Sannesmoen from SMF/PIDEB, Njel Lofthus from NCA/Oslo, Terje Thodesen from Redd Barna Eritrea, and Assefa Teklewoini from DF/REST; the presentation of experiences with the use of LFA in Redd Barna Eritrea by Terje Thodesen; and the presentations of groups III and IV on Tuesday.

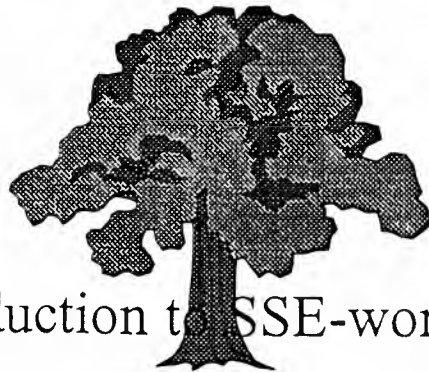
Alida Jay Boye's panel presentation from day 1 should be read in conjunction with her presentation on research and competence building, as the two entries refer closely to each other.

As support material for Timothy R. Frankenberger's presentation on food security – experiences and new strategy, an edited version of the draft for the paper "Measuring Household Livelihood Security: "An Approach for Reducing Absolute Poverty" has been included. With the author's permission, the title page and reference list as well as two figures have been removed for the sake of brevity.

The presentation on "Indicators for environmental rehabilitation" was based on the Draft paper "Environmental indicators for development activities by Norwegian NGOs in the SSE countries" (Haug, R, J. B. Aune and Fred Johnsen, July 1996). The presentation is included but the draft paper is not as the final paper is under publication.



- 4. WORKSHOP INFORMATION AND OPENING SESSION
- 4.1 Workshop handouts
- 4.1.1 Introduction to SSE workshop



## Introduction to SSE-workshop

Honne, September 2-6, 1996

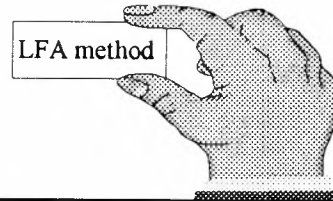
Best Beslutningsforne AS

## SSE-workshop

<ul style="list-style-type: none"><li>• <b>Participants</b><ul style="list-style-type: none"><li>- NORAD/MFA</li><li>- Norwegian NGO's</li><li>- Local NGO's</li><li>- Research institutions</li></ul></li><li>• You are invited as resource persons. In our discussions we want to focus on:</li></ul>	<ul style="list-style-type: none"><li>• <b>SSE-program</b> past and future</li><li>• <b>Indicators related</b> to program areas</li><li>• <b>LFA method</b></li></ul>
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## Tool-focus on the seminar

- In order to be able to communicate, we need to have a common language. For this workshop we have chosen to present the Logical Framework Approach method (LFA).



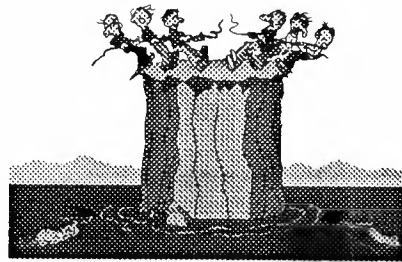
- LFA is a tool for project planning and management. To some extent we will be using the LFA-tool in our indicator discussions.

## Seminar objectives:

- We have no decisive role, but we want to work out a workshop document where focus should be on:
  - Proposals for development objectives, immediate objectives and strategies for the continuation of the SSE-program
  - Proposals for overall management and follow-up of SSE-program
- We also see it as objectives:
  - to discuss indicators related to food-security and environmental issues, - and to give an introduction to the LFA planning method, and use this in some of the program-discussions

## “Desktop” and field reality

- There is a long tradition for suspicion and mistrust between the desktop-workers and the field workers
- In this field we need collaboration at all levels, therefore we put forward the challenge:



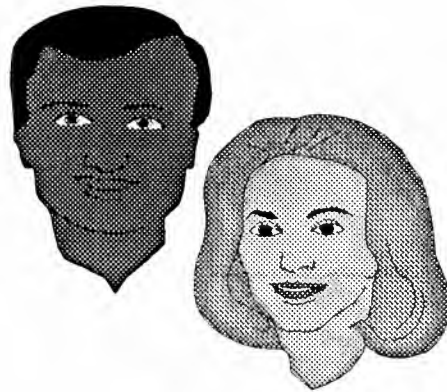
## Conditions for success



- Collaboration is a condition for success
- You are the project-people, the field experts
- We have prepared the workshop framework and some of the inputs
- We challenge you to make your contributions, - and secure a unique and successful workshop

## Always in focus

- In all our discussions, let's remember that the ultimate goal of the SSE-program and of this workshop is the well-being of human beings, of brothers and sisters in very difficult situations of life



## 4.1.2 Workshop Programme

### Monday 2 September

- 09.00 Departure Oslo  
by chartered bus
- 11.30 Registration
- 14.00 Opening address I  
– *A. Mathisen, MFA*
- 14.15 Opening address II  
– *T. Larsen, Noragric*
- 14.30 SSE-program in the  
past and the future  
– *E. Eggen, NORAD*
- 15.00 Panel and plenary discussion
- 16.30 Presentation of Honne  
– *J. Pettersen*
- 16.35 Presentation of  
the participants  
– *J. Kr. Øiestad*
- 17.30 Workshop introduction  
– *J. Lemvik, BEST*
- 17.30 The SSE-program -  
Experience and Status  
– *G. Synnevåg, NCRI*

### Tuesday 3 September

- 08.30 Inputs to future  
SSE strategy  
– *G. Synnevåg, NCRI*
- 09.00 Group discussion
- 11.00 Plenary discussion
- 14.00 Food security  
Experience and new strategy  
– *T. Frankenberger*  
*CARE International*
- 16.30 Introduction to Logical  
Framework Approach  
– *J. Lemvik, BEST*
- 17.30 LFA experiences I  
– *T. Thodesen, RB Eritrea*
- 18.00 LFA experiences II  
– *Teklewoini Assefa, REST*

### Wednesday 4 September

- 08.30 The use of LFA - Indicators  
– *J. Lemvik, BEST*
- 09.00 Indicators for environ-  
mental rehabilitation  
– *J. Aune, Noragric*
- 10.30 Group discussions with  
case studies on identification  
and use of appropriate indicators
- 14.00 Plenary discussion on  
reports from the groups
- 15.30 Field trip to the Lillehammer  
surroundings

### Thursday 5 September

- 08.30 Research and Competence building  
– interaction with NGOs I  
– *A. Waktola, Noragric*  
Research and Competence building  
– interaction with NGOs II  
– *J. Sannesmoen, SMF*  
Research and Competence building  
– interaction with NGOs III  
– *A. J. Boye, CDE/UiO*
- 10.30 Group discussions on  
SSE programme recommendations
- 14.00 Plenary discussion on  
SSE programme recommendations
- 15.00 Closing session
- 16.30 Social evening

### Friday 6 September

- 09.00 Departure Honne
- 12.00 Visit to Agricultural University of  
Norway at Ås.
- 17.00 Arrival at Oslo Central Railway Station



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## 4.1.4 Groups' members list

### DISCUSSION GROUPS / GROUPE DE DISCUSSION

#### GROUPE I

SANNESMOEN	JOHANNES	PSM/PIDEB
DIAKITE	MORO	PSM/PIDEB
ASDAL	ØYVIND	PSM/PIDEB
GRIMSTAD	SISSSEL	Noragric
LOFTHUS	NJELL	NCA/OSLO
MOHAMED AHMED	RHISSA	NCA/MALI
DJIRE	AOUA	CARE-MALI
MAIGA	ABDOUL KARIM	CARE-MALI
DIAKITE	MAMADOU	CARE-MALI

Secrtaire:

**FADIL**

**INGER**

**CARE-NORGE**

#### GROUPE II

SBERTOLI	PABLO	PSM/PIDEB
THIERO	OUMAR	PSM/PIDEB
HANSEN	ARILD ØYSTESE	Noragric
SYDNES	MONS	NCA/MALI
MOHAMED LAMINE	MOSSA	NCA/MALI
TANGARA	YOUNOUSSOU	CARE-MALI
DJIGA	ALY	CARE-MALI
BOYE	ALIDA JAY	SUM-UIO
LEMVIK	JØRN	NCA/BEST

Secrtaire:

**KNUDSEN**

**RIBORG H.**

**NCA/OSLO**

#### GROUPE III

OLSEN	SVEIN	NPA
MOGOS	BERHANE	NPA/Barka-MoA-E
GARZA	ABRAHAM	NPA/MoA-Eritea
GILMAY	TESFA GIORGIS	NPA/MoA-Eritea
WANG	ØYRUNN	Noragric
ELLINGSEN	LIV	Noragric
JACOBSEN	ARILD	NCA/ERITREA
HAPTEAB	ADAM	NCA/Zula-MoA-E

THODESEN

GHIRMAY

STAVRUM

MATHISEN

STJUDSRØD

Secretary:

**ØIESTAD**

**JON KRISTIAN**

**Noragric**

TERJE

SHUSHAN

STÅLE

ASBØRN

JAN ERIK

RB - Eritrea

RB - Eritrea

NORAD

MoFA

NORAD

## GROUPE IV

BESHEIR ELHAG	FADJUL	Adra/Sudan
CLAUSEN	BJØRN	ADRA-Norway
JOHNSEN	FRED	Noragic
MOLTEBERG	ELISABETH	Noragic
TEWODROS	HILLAWY	NCA-Eth./EOC
MICHAEL	ASMELASH U.	NCA-Eth./EECMY
BORCHGREVINK	ELLEN	DF
TEKLEWOINI	ASSEFA	DF/REST
SESSEHA	HAGOS	DF/REST
RYDLAND	INGE HERMAN	NORAD
FRANKENBERGER	TIMOTHY	CARE - USA
LARSEN	THOR	Noragic
KJØSTERUD	ANNE	Noragic

Secretary:

**STAVRUM**

**STÅLE**

**NORAD**

## GROUPE V

AUNE	JENS	Noragic
WAKTOLA	AREGAY	Noragic-Ethiopia
SYNNEVÅG	GRY	NCRI/Noragr.
EVJEN	ODD H.	NCA/OSLO
SHENKUT	MESFIN	NCA-Ethiopia
AYELAW	TEWABU	CARE-ETH/AWASH
SÆTRE	DYRE VAA	DF
GEBREMARIAM	TESEMA	DF/REST
STORMARK	KÅRE	MoFA
ANGSTREICH	MICHAEL	CARE
EGGEN	ERLUNG	NORAD
LINDSTAD	TORUNN	Noragic

Secretary:

**UTVÆR**

**ANNE**

**Noragic**



## 4.2 Opening addresses/ panel presentations

### 4.2.1 Asbjørn Mathisen, MFA: Opening address

#### **OPENING ADDRESS BY STATE SECRETARY ASBJØRN MATHISEN, MINISTRY OF FOREIGN AFFAIRS**

##### **Introduction**

Thank you for inviting me here to share with you the experiences we have gained from the so called SSE-programme and to present some prospects for the future of the Norwegian assistance to the Sahel-region. With your permission, allow me to restrict the scope of my speech. You, the participants in this seminar are the experts. I trust this seminar will contribute significantly to further develop strategies to fight environmental degradation and enhance food security based on the broad based experiences of the SSE-programme. We look forward to your proposals for a constructive continuation of assistance to the Sahel-region. There will be some changes in the framework for this assistance. I will come back to these changes, but let me first dwell a little on the history and background of the Norwegian SSE-programme.

##### **History**

The Norwegian Sahel-programme came about, not as a result of sound scientific and technical deliberations, but primarily as a political response to the media attention on the severe drought and famine that struck the Sahel in the early and mid-1980s. The idea was that the programme should be complementary to the already substantial Norwegian emergency assistance to the Sahel. What was intended as a long term development programme was, thus, initiated in what was still very much a crisis situation demanding quick action on the ground. The overall objectives of the programme have, as you know, been:

- \* to improve local food production and food security
- \* to improve the natural ecological resource base in order to develop sustainable production systems.

The basic concept to achieve the overall objectives for the Sahel programme was to establish a coherent, interdisciplinary programme. The underlying assumption was that such a programme approach would result in a certain synergy effect, as compared to simply funding a number of scattered individual projects.

Since Norway had no official bilateral representation in any of the Sahel countries at the time, we have made use of more indirect funding channels. These are Norwegian NGOs and international organisations, and support to research co-operation between Norwegian and Sahelian institutions. While any Sahelian country in principle could benefit from assistance through international organisations, it was considered necessary at the outset,

essentially for capacity reasons, to concentrate assistance through Norwegian NGOs and institutions to three countries: Ethiopia, Mali and the Sudan. These countries were chosen largely because Norwegian NGOs and/or research institutions already were established or had experience from working in the three countries.

The SSE-programme was launched in 1985 and a commitment was made to contribute 1 billion Norwegian kroner over a period of five years. The programme was extended for another five years in 1991 and a strategy document for the period 1991-1996 was adopted. By the end of this year-1996- we can look back on eleven years of experience with the programme, and contributions of nearly two billion Norwegian kroner (se statistikk fra NORAD).

### **Experiences**

An evaluation of the SSE-programme for the period 1986-1990 was presented in 1992. The evaluation presented findings of the SSE as a **Programme** and not a detailed assessment of the achievements of the individual projects implemented with SSE funds. Numerous positive findings as well as serious limitations in the Programme concept was presented. There was observed an overall positive impact in terms of food provision and of short term development activities. The long term impacts upon sustainable development had, however, been less positive. A comprehensive list of recommendations and proposals were made by the evaluation team. It is my impression that the NGOs and multifateral organisations have made good use of the experience gained through the implementation of the first years of the programme and the evaluation results. The gradual increased focus on assistance to Mali, Ethiopia and Eritrea during the last years is one development which is in accordance with the recommendations of the evaluation.

### **White Paper on Norwegian South Policies. Parliamentary debate.**

In December 1995 the Government presented a White Paper on Norwegian South policies. The White Paper was discussed by Parliament in June. Discussing the main trends in Norwegian policy towards the developing countries, Parliament drew one conclusion of direct relevance to the SSE-programme; that Norwegian bilateral assistance programmes should be restricted to a number of prioritised countries and a few other selected countries for development co-operation. The African countries include all the SADC countries, Uganda, Madagascar as well as Ethiopia, Eritrea and Mali among the Sahel countries. Other countries should be excluded from Norwegian bilateral assistance according to Parliament. This is to some extent in contradiction to the greater flexibility as proposed by the Government in the White Paper. The regional allocations open to all Sahel countries, through which the SSE funds have been channelled, will therefore as from 1997 be restricted to Ethiopia, Eritrea and Mali.

### **Implications for Norwegian assistance to the food security and environmental rehabilitation in Africa**

On this background, the Government is currently in the process of considering new budgetary structures which could have implications for the continuation of a programmatic approach to the Sahel area. The priority given by Parliament to Mali, Ethiopia and Eritrea, will be followed up through a proposal of a country specific programme approach to the dryland problems in the three above mentioned countries. At the same time a "window" of assistance for projects in the other Sahel countries will be ensured through environmental budgetary lines. The bulk of assistance will be channelled to Ethiopia, Eritrea and Mali, which is in accordance with the 1992 evaluation. Existing projects to the Sudan will be continued but phased out according to existing plans. The bulk of assistance to the rest of the Sahel, mainly through regional programmes should be channelled through multilateral organisations, like for example the continuation of the ILO-ACOPAM programme.

### **The future of the SSE-programme**

I will challenge the Norwegian organisations and institutions, which have been actively working within the framework of the SSE programme, to ensure that the lessons learned from more than 10 years of operating the programme, will be properly followed up. Despite the fact that, in budgetary terms, the programmatic approach to SSE will be restructured, it is my firm belief that the experiences gained, the strong commitment of the organisations and institutions involved, the networking visible in Ethiopia and Mali in particular, the continuation of the SSE-assistance along the lines of today's programme will be possible. My challenge to all of you, is to continue the good work you are presently undertaking and utilise this seminar to adapt to the new budgetary structure. Use this seminar and the close contact you have created between your different organisations and institutions to strengthen the networking.

Within the new framework drawn up by Parliament, the Government will continue to channel funds to alleviate the environmental problems of a region adversely affected by war, drought and an unfavourable policy environment. Your valuable experience and evident commitment is the basis for a successful continuation of the SSE-programme.



#### 4.2.2 Erling Eggen, NORAD: Opening address

**ADDRESS BY HEAD OF DIVISION ERLING EGGEN,  
DEPARTMENT FOR NON-GOVERNMENTAL ORGANIZATIONS,  
NORWEGIAN AGENCY FOR DEVELOPMENT COOPERATION (NORAD)**

On behalf of NORAD I am pleased to wish all of you welcome to this workshop. Over the years, NORAD has funded a number of such SSE-workshops. Feedback from former participants as well as our own experiences indicate that these workshops have been useful and instrumental in several respects. They have thus functioned as meeting-places and fora for exchange of information between representatives of NGOs, researchers, organizations and institutions, and have facilitated the establishment of contacts and networks. The workshops have also been instrumental in establishing bodies for coordination and collaboration between NGOs, research institutions and multilateral organizations (ref. the SSE/Mali-committee)

After more than 10 years' experience with the SSE-programme, the time has come for summing up of lessons learned and achievements accomplished, and for deciding on how to proceed from here. This particular workshop takes place in the context of a significant change in the budgetary structures for Norwegian aid in general, and for the SSE-programme in particular. State Secretary Mathisen emphasized that this is a challenge to all of us. This week, however, it is a challenge directed particularly towards the NGOs, since you have been invited to work out your suggestions for the continuation of the SSE-programme.

The workshop will also focus on topics which should be of interest to project planners and implementers, such as the "Logical Framework Approach" as well as the identification and use of indicators for environmental rehabilitation.

I would like to say a few words about NORAD's role in this workshop like this. The Ministry of Foreign Affairs and NORAD may from the outside appear to be one and the same body. This is true in the sense that we represent a single aid administration. The Ministry, however, decides on *policies and guidelines* for all Norwegian development assistance. NORAD, on the other hand, should be considered solely as an *executor* of Norwegian aid policy.

At this workshop NORAD's contribution will have a rather limited scope - as an implementing body we must focus on the practical implementation of a revision of the programme, in accordance with whichever set of policies is decided upon. Our role will above all be to listen carefully to the deliberations and discussions rather than airing our own opinions about future strategy for the SSE-programme. We hope that the NGO participants will use this opportunity to make *their* voice heard, and that the recommendations from this workshop will lay the foundations for a fruitful *process of dialogue* between the various members of the SSE-family. On the basis of this input, as well as the framework laid down by the Ministry, NORAD will do its very best to develop effective modalities for the future administration of the programme. The active contribution from the participants at this workshop will be essential for a successful revision of our approach.

It is quite important to emphasize that although changes in budgetary arrangements often have substantial consequences, it is largely priorities and practical arrangements which decide whether the consequences will be positive or negative. Ensuring that the consequences are positive is the shared task of us all.

### 4.2.3 Michael Angstreich, CARE Norge: Panel Presentation

#### 10 YEARS WITH THE SSE - PAST EXPERIENCES AND FUTURE CHALLENGES"

*Panel presentation by Michael G. Angstreich, CARE Norge  
2 September 1996, Honne Conference Centre, Biri, Norway*

Thank you for the opportunity to address you on what I believe is a pioneer effort, the SSE Program. It is a special pleasure to see Mie Bjønness here - she did so much positive for the program - and to share the floor with Njell Lofthus and other SSE veterans.

#### PERSPECTIVE

Ten years ago, the Norwegian Parliament and Norwegian aid officials, with the participation of NGOs and universities established the far-sighted SSE Program as the Norwegian peoples' response to the serious droughts that plague Africa regularly. The SSE Program's main goals are increased food security and rehabilitation of the natural resource base for food production. Norwegian government support to the program has made it possible for Norwegian, international and local institutions to work together with African farmers and pastoralists to attain those goals.

In reviewing the SSE, we must remember that agriculture and natural resource development under relatively favorable conditions took several decades to attain in Japan, Europe and the USA. After just one decade under highly adverse conditions, the SSE Program can point to concrete examples of increased food and livelihood security through improved crop, livestock and natural resource management, credit, seed and grain banks, integrated pest management, local institution development and systematic, relevant research.

Planning, implementation and evaluation is done by government, non-government and community participants in partnership. While time is still needed to establish progress made as permanent and sustainable systems, the development process and the fight against drought and desertification have gotten off to a good start. As a farmer in Mali expressed it not long ago, "We have not only learned to produce more food this season, we have also learned how to tackle problems that will come up in the future".

Focussing on food security and environmental rehabilitation in partnership with the women and men of Africa are key recommendations made in the Norwegian Government's recent White Paper on development assistance. The SSE Program is already ahead in that respect.

#### WOMEN

I would like to emphasize that word "women". We cannot hope to progress if we put unfair limitations on 50% of our population, 50% of our intelligence and 50% of our creativity. Some very interesting research results from East Africa indicate that food production would increase by up to 22% if women farmers

were given the same education, the same attention from extension services and the same access to inputs and markets that their men already have. The SSE Program has made good progress in the way of gender-balanced development but we need to do much more.

#### THE ICCD

Another point I would like to make has to do with institutionalizing the efforts of the SSE Program into the international campaign to fight drought and desertification.

Desertification, or land degradation in dry areas, affects up to a billion people worldwide, including about half the people of Africa. The International Convention to Combat Desertification (ICCD) was formally adopted by the UN community in 1994 and is expected to become international law by the end of this year.

As the first post-Rio sustainable development convention, the ICCD is notable for its innovative approach in recognizing:

- the physical, biological and socio-economic aspects of desertification;
- the importance of demand driven development initiatives and technology transfers;
- and the involvement of local men, women and youth in the development of local and national action programs.

This last item is the core of the ICCD. Action programs are to be designed and implemented through partnership between officials, local populations and CBOs and NGOs of various types, with support from donor governments. In fact, the ICCD's recognition of the interplay between technical and socio-economic factors and the need for genuine partnership at all levels make the action programs a unique platform for sustainable development in general.

The countries of the SSE Program - Ethiopia, Eritrea, Mali, Sudan and, not least, Norway have either signed or ratified the ICCD to date. Some have already begun the process of developing local and national action programs. Over the past year, I have had the privilege of informing about the SSE Program in various international fora. I am convinced from the feedback I have got that the SSE Program's goals, experiences, rural poverty focus and gender-awareness would make it and its local partners natural and valuable contributors to the development and implementation of these action programs.

If you are not already a partner in your country's ICCD process, I recommend that you make contact with the appropriate branch of government to discuss how your participation might best be activated. (Attached is a list of government contacts for the ICCD.)

## HOUSEHOLD LIVELIHOOD SECURITY

A third point I would like to bring up deals with food security in the larger context of household livelihood security. This concept recognizes that primary activities like livestock raising and crop production are not the only important factors contributing to the economic and nutritional welfare of the rural families with whom we are working. Other activities such as processing, marketing, petty trade, storage and cultural factors come into play. We should be aware of these and other on farm and off-farm activities related to the SSE Program's goals when formulating development plans and approaches.

You will be hearing more about the livelihood security concept in this seminar. Also, by the end of this year we in CARE hope to share with you the results and experiences from a household livelihood security assessment being carried out by Norwegian and Malian researchers in the SSE project area in Koro in eastern Mali.

## WE MUST SHOW RESULTS

Finally, all of us, you and I, are engaged in this SSE Program as a direct response to very difficult and complex problems. Every year we receive and spend large amounts of money because we are convinced and we convince others that food security and environmental rehabilitation can be attained, in spite of those problems.

We have a responsibility to show our donors and, most importantly, the farmers and pastoralists with whom we work that the SSE Program does in fact lead to positive, concrete results and real progress.

Judging from SSE Program's accomplishments to date and judging from the sincerity, enthusiasm and hard work put in by the NGOs, Noragric, the University of Oslo, NORAD, UD, local governments, institutions and, not least, the rural people themselves, I believe that the best is yet to come.

Thank you.

## 4.2.4 Alida Jay Boye, SUM/UiO: Panel presentation

### PANEL DISCUSSION -

#### Response from Research - Alida Boye, Coordinator for SSE Programme of Collaboration between the University of Oslo and Malian research institutions

It has been stated that the SSE Programme is one of the few truly visionary programmes within Norwegian development assistance. It is rare that Norwegian development assistance has had the ambition to combine north-south collaboration, south-south collaboration and at the same time synergy between NGOs, multilaterals and the research community in one well-defined programme with a clear thematic thrust.

The Programme is ambitious, some say too ambitious - however, I believe we need to value the ambitions of the Programme in the long-term perspective originally envisaged and still required for the SSE-Programme. It is a question of time - the challenge is there, the interest is keen - it is through hard work and patience that the programme will reach its overall goal - to be more than the sum of its parts.

#### 1. Phases of the SSE Research Programme

Instead of assuming that all the objectives of the Programme could be reached simultaneously, it would have been more realistic to attempt to reach one objective at a time, which is what we have essentially attempted to do within the Mali-Programme where the phasing looks like this:

	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000
Establishment of a North-South collaboration	█											
Upgrading competence & capacity of researchers		█	█	█	█	█	█	█	█			
Obtaining research results			█	█	█	█	█	█	█	█	█	█
Communication of research results				█	█	█	█	█	█	█	█	█
Collaboration between NGOs/Research								█	█	█	█	█

#### 1.1. Establishment of a North-South collaboration

This takes a minimum of one year and includes among other things the following:

- overcoming language and cultural barriers
- developing a scientific collaboration based on mutual respect,
- developing an administrative structure and collaboration giving equal responsibility to both partners.

## **1.2. Upgrading competence of researchers and the capacity of their institutions to carry out research objectives**

This takes 2-6 years depending upon the competence level of the individuals and capacity of the institutions involved and includes:

- development of infrastructure in the form of communication devices, transportation facilities, computers, availability of publications;
- training the staff and providing them with the tools and equipment needed to do the work;
- formal educational training at Masters and PhD level.

## **1.3. Obtaining research results**

This takes 1-10 years depending on the nature of the work and the time scale required. Sahel research requires in many respects more time because one needs to take the extreme annual variations into account both as regards variable rainfall and, until recently, political instability which has plagued the area.

## **1.4. Communication of research results**

Communication of research results is an on-going process which begins as soon as research results are available.

- Research community in the form of articles in scientific journals;
- Educational community in the form of textbooks;
- Donors in the form of reports;
- Development community in the form of assistance in formulating recommendations, assessments, baseline studies and evaluations;
- Local Population in the form of exhibitions, educational materials - reducing 5 years of research to a simple message in the local language, for example, "Eat Cram-Cram, it's good for you".

## **1.5. Collaboration NGO/Research**

Last, but not least comes NGO/Research collaboration. In some cases, it may be an advantage to start a close collaboration from the start. Given the starting point for the SSE-Programme, at least in Mali, this was not feasible due to lack of capacity, competence, communication and interest at the time. A platform has however now been established for developing a real, long-term collaboration with the NGOs. The seeds have been planted, the plants are thriving, the time is ripe to reap the benefits of the investments already made by the Ministry of Foreign Affairs. With a supportive environment established by the Ministry, NORAD, our universities and the NGOs, the SSE vision could become a reality.

## **2. Cooperation model**

I am not going to pretend that there are no difficulties with NGO-research collaboration. There are constraints related to unsynchronized timetables, means of communication, and institutional expectations and limitations. There is however a great challenge here and common areas of interest have by no means been fully explored. I'm not proposing that researchers be used only as short-term consultants - I'm proposing the establishment of long-term research/NGO collaboration in cases where there is a genuine interest from both partners. This collaboration can be encouraged and facilitated through an appropriate organisational and financing model as well as the establishment of common meeting places in Norway, in the field. In my next presentation, I will come back to concrete models of collaboration.

## **3. Organisational Model**

### **3.1. Funding channels**

There is a need for both academic research, policy-oriented research, and action-related research. My question is, how will action-oriented research be financed?

It is my belief that research activities should have a place within all the funding channels of Norwegian assistance, but that appropriate channels should be established for the varying types of research - as an example:

The Ministry of Foreign Affairs is a natural channel for financing policy-related development research, NUFU/NFR are channels for academic research, and NORAD would be a natural channel for financing action-related research in collaboration with NGOs.

Many of us have proposed the establishment of a synergy pot where universities and research institutions can apply to NORAD together with NGOs on a mutual basis. I have a great belief in this type of financing model.

A concrete suggestion which I would like to propose here is to organize a similar conference for developing a strategy for the research component of the SSE Programme.

### **3.2. Evaluation**

As long as NUFU and the academic community evaluate research activities entirely on the basis of how many articles an individual researcher has managed to publish in international refereed journals - then we can forget the SSE objectives, synergy with NGOs and action-related research.

What we need is a system of evaluation for action-related research - a system which involves both peer review by other researchers and the users of the research.



#### **4. Final conclusion**

In a Programme which sprang from emergency assistance for people who were in dire need - it has been difficult to stop and think - and not only to ask "are we doing things right", but "are we doing the right thing - and for the right reason". As Mike Angstreich said, research is not only here to solve the immediate problems of today, but to provide information which will be useful for the activities of tomorrow.

Given the similar development and ecological patterns within the Sahel region, I believe it is important to continue to consider the SSE Region in its regional context. Conditions are favourable both politically (peace, democracy, role of NGOs in decentralisation processes) and scientifically (growing importance of the role of local universities and research institutions) in Eritrea, Ethiopia and Mali for a success story which can be used as a model for development assistance programmes elsewhere.

A final request to NORAD is to make the successes of the SSE-Programme known to the general Norwegian public and decision-makers - this will help us get institutional backing for what we are trying to accomplish.

As we say in French:

***ON N'ARRETE PAS CE QUI MARCHE .***

## **5 STRATEGY-RELATED SESSIONS**

### **5.1 SSE Programme - Status and future strategy**

Presentation by Gry Synnevåg, Secretary of Strategy Committee

My presentation will be divided in two parts. This evening, I will be giving a brief status of the SSE Programme up to the present - a brief history, an overview of ongoing projects and budget allocations, and the main results obtained. Tomorrow morning, I will present some points of view concerning the future strategy of the SSE Programme. This seminar represents an important opportunity to be able to present your experiences from the SSE Programme and your ideas on how to improve the SSE Programme in the future. My presentations will therefore be followed by two short working group sessions, the first will concern experiences and the second will concern viewpoints on the future SSE Programme.

#### **I SSE Programme - Status**

The SSE Programme was initiated in 1985 as a mechanism for channelling Norwegian assistance to countries in Sub Saharan Africa affected by severe drought, poverty and environmental degradation. The Programme was a political expression for Norway's desire to contribute to development aid over and above emergency relief to countries who were affected by drought. Long term development aid was necessary to improve the countries' ability for self help. Due to the complex nature of the problems in the Sahel area, it was desirable to have an inter-disciplinary approach and to channel the aid through the different organisations, multilaterals, research institutes, international non-governmental organisations (NGO) and Norwegian NGOs. Activities were organized in a Programme where the various were seen as a whole such that the projects would mutually strengthen and supplement each other. The idea behind the SSE Programme was unique in the sense that a single donor launched a Programme to be implemented by different organisations to exploit the comparative advantages of different bodies in pursuing the same overall objective. The Programme was the largest integrated environmental activity in Norwegian aid administration and has accounted for a considerable part of Norwegian assistance to the SSE region.

Geographically, priority was given to Mali, Sudan, Eritrea and Ethiopia, hence the name of the Programme; the Sahel, Sudan, Ethiopia (SSE) Programme.

#### **Programme objectives**

The overall objectives as formulated in the original Programme documents were:

- to improve local food production and food security
- to improve the the natural ecological base in order to develop sustainable production systems.

In 1991 a new objective was added:

- to improve the competence building related to the Programme.

## Programme principles

The main principles for implementation of the SSE Programme were stated in the last SSE strategy document (1991-1996) as:

- minimized dependence of future aid
- recipient orientation and local participation
- specific targeting of women
- poverty alleviation.

## Programme organisation

The SSE Programme is administrated by the Ministry of Foreign Affairs (MFA) and the Directorate for Development Cooperation (NORAD). MFA is responsible for the management of the multilateral organisations. NORAD is responsible for the management of the NGO component. In 1991, the MFA decided to commission an evaluation of the first phase of the Programme 1985-1991. After the Cowiconsult Evaluation Report 2.92, NORAD contracted Noragric as a coordinator and professional advisor for the Norwegian NGO component. The intention was that Norwegian Universities Committee for Development, Research and Education (NUFU) should have the responsibility of managing and coordinating the SSE research component. The Programme organisation and responsibility was thus spread over different bodies.

## Programme status

### a) *Budget allocation to the SSE Programme*

The distribution of the allocation to the different implementing bodies of the SSE Programme in 1994-1996 is shown in table 1.

**Table 1** Distribution of the SSE funding allocated to NGOs, research and multilaterals 1994-1996. NOK mill.

Year	Total	NGOs	%	Research	%	Multilaterals	%
1994	120	69	56	9	8	42	36
1995	146	88	60	11	8	47	32
1996	153	83	54	7	5	63	41

The table 1 shows that, over the last few years, mean 57 % of the SSE funding has been allocated through the NGOs, 7 % to research and 36 % to the multilateral organizations. The NGO share of the funding has increased from the first programme phase when the share was about 44 % of the funding.

### b) *The NGO part of the SSE Programme. Budget allocation and projects.*

In 1996, 8 Norwegian NGOs (CARE Norge, Norwegian Church Aid, Pastor Strømme Memorial Foundation, Norwegian Peoples Aid, Development Fund, Norwegian Red Cross, Redd Barna and ADRA) are implementing 23 projects.

In 1996, 85% of the allocation to the NGOs was channelled through these organisations.

**Table 2 Distribution of the SSE grant to national and international NGOs per country and regions, 1996.**

Country	Implementing NGOs	Project name	Total allocation 1996 Mill. NOK
Ethiopia	REDD BARNA	Gender/Agriculture	25 mill NOK
	CARE Norge	Bolossa Sora	
	NCA	Awash Rama WAG Adi Alherom Rural Dev.	
	NPA	Credit Programme Gender	
	DF	Int. agriculture	
	UICN	Nat. Cons. Strategy	
Eritrea	NCA	Zula region	15 mill NOK
	REDD BARNA	Asmat	
	NPA	Saseba SAH Barka region Veterinary center	
	DF		
Sudan	Norwegian Red Cross ADRA	Sinkat nomads Irrigation	2,4 mill NOK
Mali	CARE Norge	Timbuktu, Rural Development	32,6 mill NOK
	CARE Norge	Macina, Agriculture	
	CARE Norge	Koro, Agroforestry	
	Strømme Memorial Foundation	PIDEB	
	SMF	Action against grasshoppers	
	NCA	Gossi	
	UICN	Sci. Techn. Env. Network	
IIED	PRA-Mali		
Regional grants	ELCI-RIOD Network Desertification PANOS	Comm. Plur. For sustainable development Res. Tenure & Natural Res. Manangement Pastoral and environmental. Networks in the Horn of Africa	3,6 mill NOK
	IIED		
	PENHA		
Noragric			2,5 mill NOK
<b>Total allocation</b>			<b>81 mill NOK</b>

NCA Norwegian Church Aid  
DF Development Fund

NPA Norwegian Peoples Aid  
SMF Strømme Memorial Fund

Support is also channelled through international NGOs: International Union for Conservation of Nature (IUCN), International Institute for Environment and Development (IIED), PANOS, and Pastoral and Environmental Network in the Horn of Africa (PENHA). Support is given to specific projects at a country level or as regional support. In 1996, the support accounted for 12 % of the allocation to NGOs. A total of 7 projects were carried out in 1996.

c) *The research component of the SSE Programme. Budget allocation and projects*

Development research was intended to generate knowledge and build competence relevant to the objectives of the SSE Programme within participating institutions in Norway and Africa. In addition funds were allocated to strengthen research infrastructure within African institutions.

The first research projects were established during 1988 and 1989. The country programme for Mali involved the University of Oslo and various institutions in Mali. The Sudan programme was based on collaboration between the universities in Bergen and Khartoum. In Ethiopia, the research projects involved the University of Trondheim, Centre for International Health (Bergen), Christian Michelsen Institute and the Centre for International Environmental and Development Studies, Noragric (Agricultural University of Norway) and various units of the Addis Ababa University. In addition, there was a project involving the University of Oslo and Ethiopian Wildlife Conservation Organisation.

The research programme was administered under the Research Unit of MFA in Oslo, but transferred to NUFU in 1991.

Most of the projects initiated within the SSE Programme during the first phase of the Programme are still running. However, not all of them are presently financed with SSE funds as they have been embodied in different financing mechanisms.

**Table 3 Research projects financed by the SSE Programme and their allocations in 1995 in mill. NOK**

Country	Project	Institution in Norway	Cooperating institution	Total allocation Mill. NOK
Ethiopia	Wildlife research project NUFU	UiO/Dept. of Biology	Ethiopian wild life conservation	6.4
	Borana Health and nutrition study NUFU	UiB/ Center for international health	Addis Ababa University	
	Environmental and development research	UiO	EWO	
	Cooperative project in social anthropology	CMI	Addis Ababa University	
Global	Rice production and vector borne diseases		WARDA	
	Resource management and ecological knowledge	CMI		4.6
		Noragric adm.costs		
<b>Total</b>				<b>11.0</b>

UiO University of Oslo

UiB University of Bergen

CMI Christian Michelsen Institute, Bergen

In 1995, 6 research projects were still financed by SSE funds, 2 were managed and coordinated by NUFU. The other projects were given direct support from MFA or other sources.

In addition, the Centre for Environment and Development (SUM) at the University of Oslo (UiO) has a programme of collaboration with Malian research institutions as shown in table 4. The projects were initiated in 1991.

**Table 4 Programme of collaboration between the University of Oslo and Malian research institutions represented by the C.N.R.S.T.**

Projects	Allocation in NOK mill. 1991-1996	Cooperating research institutions in Mali	Planned Cooperation with NGOs
Communication of Results of SSE Research Projects	1.5	C.N.R.S.T. M.N.	NCA
Pastoralism and Natural Resource Mgmt (NUFU)	9.0	I.E.R., ENI, I.S.H.	NCA IUCN
Food Security and Nutrition (NUFU)	4.7	I.N.R.S.P.	SMF CARE
Utilisation of Wild Plants for Food, Medicine and Handicrafts (NUFU)	4.5	I.N.R.S.P.	NCA
Ecology and Physiology of Senegalese Grasshopper	4.7	I.E.R.	SMF

Malian research institutions:

Centre National de la Recherche Scientifique et Technologique (C.N.R.S.T.)

Musée National du Bamako (M.N.)

Institute d'Economie Rurale (I.E.R.)

Institute National de la Recherche en Santé Publique (I.N.R.S.P.)

Ecole Nationale d'Ingenieurs (E.N.I.)

Institute des Sciences Humaines (I.S.H.)

The research cooperation between Noragric and Addis Ababa University/Awassa College of Agriculture started as SSE projects, but are today financed by bilateral framework agreements between Norway and Ethiopia.

*d) Budget allocation to the multilateral part of the SSE Programme*

The channelling of aid through the multilateral organisation for part of the SSE fundings was motivated by the fact that these organisations were thematically and professionally geographically orientated, extremely central and well qualified in relation to the Programme's goals. The main multilateral organisations receiving SSE funds are The World Bank (WB), International Labour Organisation (ILO/ACOPAM), United Nations Development Programme/United Nations Sudano-Sahelian Office (UNDP/UNSO) and United Nations International Childrens Emergency Fund (UNICEF). These organisations were supported on condition that their programmed were of use for the NGO and research component in the SSE Programme. Aid has been given to the organisations' regional programmes and to specific projects. Aid to specific projects through SSE funding has been given to Mali only.

Funds channelled through multilateral organisations in 1995 are shown in table 5.

**Table 5 Funds channelled through multilateral organisations in 1995 in mill. NOK**

Country	Organisation	Project	Total allocation Mill. NOK.
Mali	WB	Mopti Area Development Project	13
	WB	Natural Resource Management	
	ILO/ACOPAM	Village Water Supply	
	UNDP/ UNSO	Integrated Development Zone Lacustre	
Regional	UNICEF	Guinea Worm Eradication Programme	34
	ILO/ACOPAM		
	UNDP	Urgent Action Africa	
	WB	Sahelian Operational Review	
	WB	Sahelian Operational Support	
<b>Total</b>			<b>47</b>

ACOPAM received the greatest share of the funding to the multilateral organisations in 1995, 22 mill. NOK, 46 % of the total allocation of 47 mill. NOK.

## Results

It should be stressed that the food security and environmental rehabilitation issues in the Sahel are complex involving many interrelated aspects. If they are to be successfully resolved they will need long term attention through a variety of initiatives with different approaches and in different disciplines. Engagement in these kind of activities requires a long time commitment, and short time results are difficult to obtain. It should also be kept in mind that some of the NGOs have operated under extremely difficult conditions, in areas with war, refugee problems and famine. It is therefore difficult to generalize results achieved because the results have to be seen in the context of the local situation. Still, I will present some reflections, mainly concerning results obtained by the Norwegian NGO's.

### 1 Results obtained by Norwegian NGOs

#### *a) Implementation in relation to the project objectives stated by the different NGOs:*

Generally, emphasis has been put more on crop production and environmental rehabilitation issues and less on pastoral issues. The target groups are mainly agriculturalists or agro pastoralists - only a few NGOs have pastoralists as the main target group. Evaluation reports show that considerable results have been obtained over the last few years. Examples here are improved grain yields, diversified production, maintained soil fertility, reduced soil erosion, reduced deforestation, rehabilitated areas, improved animal health, renewed livestock, regenerated pasture, improved human health and nutrition, diversified and

improved household economy, reduced workload on women, and improved local capacity to identify and solve problems, etc.

In addition to these concrete achievements from the field activities, the NGOs have had a considerable and important influence on processes in the region where they are working on:

- democratization and decentralisation through training and responsibility awareness of the local population
- modification of the top down approach
- gras root mobilization
- education of local leaders and collaboration with local governmental authorities and services
- womens participation
- motivation for environmental issues.

Some of the NGOs who are working in conflict areas have also played an important role as stabilizing and peace-making institutions.

Reviews of annual reports from the different NGO projects carried out by Noragric show that:

- output indicators are normally used as measure for results obtained (number and length of terraces, number of tree plants produced etc..)
- monitoring systems are in some cases focusing on efforts rather than achievements.

Less focus has been put on:

- the impact of the achievements on the local population/nature
- definition of target groups (not always clearly defined)
- amount and type of population affected (resource strong/resource weak households)
- impact on food aid.

#### ***b) Implementation in relation to the SSE principles for implementation***

- *Specific targeting of women*

All projects have activities targeted towards women. Most of them are health, or income generating or training activities. Some projects have targeted women in the agriculture and natural resource management sector.

There has been quantitative improvement concerning women's project participation over the last few years. In 1994, 54% of total SSE allocation went to projects with a women component, in 1995 the same share was 63%. There is still a need to improve the integration of women in project planning, implementation and evaluation, based on knowledge of their role in the local production system and in the local society as a whole, and their specific needs and priorities.



- *Local participation*

Local participation is strongly emphasized in all project documents. All organizations follow a model which emphasizes local participation. It is difficult to evaluate how real participation is without knowledge of the individual project. Some projects use Participatory Rural Appraisals (PRA) where the villagers themselves clarify and prioritize problems, resources and objectives. Local participation in the planning phase of the project is focused on in most of the new projects.

- *Minimized dependence on future aid*

It would appear from the organization's reviews and annual reports that food distribution and food for work is decreasingly used in the projects. Where it is used, funding comes basically from sources other than SSE.

There is, however, a need for a common strategy on development work in food deficient areas. Noragric has been given the responsibility of developing such a strategy. A study is now being carried out to review lessons learned and to discuss different strategies for linking relief and development activities closer together in order to reduce dependency on food aid and food for work.

Clear strategies for phasing out are a weak point in many organizations. Most organizations direct their effort towards local capacity building at the village level and institution building in cooperation with local authorities and local NGOs.

*c) Implementation in relation to the SSE Programme objectives*

Most of the projects are in line with the SSE Programme's objectives, with a clear focusing on food security and environmental rehabilitation. However, there is considerable uncertainty about how the effect of various activities can be documented in relation to the main objectives. Most organizations today try to incorporate relevant impact indicators in order to document improvements for the local population. Noragric has prepared manuals for food security indicators (1994) and indicators for measuring the effect of environmental rehabilitation activities which will be presented during this seminar. Both of these are practical documents which will be of considerable help to the projects.

## **2 Results obtained by the research and multilateral component of the SSE Programme**

The multilateral organizations have long experience from the Sahel region. They have close contacts with government institutions and operate at a diplomatic, strategic and political level. In addition, specific projects have been carried out. The objectives of these projects seem to be relevant to the SSE Programme objectives. Evaluation reports show that results have been obtained. There has, however, been a very limited exchange of results and

information between the multilateral and the other components of the SSE Programme.

It is difficult to assess the quality of research within the SSE Programme which has been carried out so far as no professional evaluation of the SSE research component has been undertaken. A considerable number of working papers have been produced both in Mali and Ethiopia. The Research Programme has contributed to the teaching and training of a number of researchers, to developing methodological insight and data collection and in some cases it has provided valuable equipment and possibilities for post graduate education abroad. In Norway, the Programme has provided a unique opportunity for building up competence and experience with regard to francophone West Africa, while it has consolidated Norwegian competence as regards Ethiopia and Sudan.

The first approach has furnished information on the interaction of social organization and the environment at a local level, agricultural production systems and on the natural resources base. Many results of importance for potential users in the Sahel area and other drylands have been obtained. Results have been obtained within areas such as dry land agronomy, animal husbandry, crop residues, human nutrition, use of wild plants for food and medicine, pastoral managements systems and mapping of natural resources to mention a few. Several projects have approached these questions through interdisciplinary research.

The disbursement of results from practical research to user groups has been limited up to now.

### **3 Results obtained at the SSE Programme level**

It is difficult to evaluate the Programme as such. The different components have obtained results, but as the coordination and collaboration between the different components has been very limited, the intended synergy effect has not been achieved.

The main administrative Programme findings from the Cowiconsult evaluation in 1992 showed that SSE was never implemented as a programme. In practice, SSE had been a budget line for support to multilateral organisations, NGOs and research organisations. The Programme was suffering from the lack of a clear vision of to what extent coordination was needed, and no clear model or organisational set up for how to manage the Programme to achieve synergy effects was elaborated. During the second phase of the Programme, no efforts have been made to improve the organisational set up of the Programme as such. No common centre for coordination, planning and issuing of guidelines for the partners involved has been established.

Previously existing report routines as well as lack of knowledge on and use of different indicators also made it difficult to measure the combined effect of the Programme.

In spite of this, there have been some improvements over the last few years. The SSE seminars that have been organized in the different countries in the latter years have improved communication between the different partners and a flow of information in both directions has led to interesting initiatives where NGOs are trying to incorporate a research component in their projects.

## II SSE Programme - Inputs to future strategy

The SSE Programme strategy which is currently in force, covers the period 1991-1996. NORAD expected MFA to ask for input concerning the revision of the strategy some time during 1996. In an SSE-NGO meeting, NORAD made the NGOs aware of this. The NGOs then established a SSE strategy working group, in order to prepare input representing the NGOs point of view. The group members were Mike Angstreich, CARE; Odd Evjen, Norwegian Church Aid; Arild Hansen, Noragric and Alida Boye, University of Oslo. Gry Synnevåg, Norwegian Crop Research Institute, was engaged by Noragric as secretary for the group. The intention was not that the group should come up with new complete SSE strategy, but to discuss question of importance to the elaboration of the new strategy and to transmit the ideas back of NORAD.

We present here some views we expect to be modified given your comments.

First we will present our proposal for revised Programme objectives. In our opinion, the main objectives of local food security and sustainable management of natural resources should remain the SSE Programme's main pillars, but there should be an opening for the possibility of a stronger emphasis on health and education. In order to retain the specialness of the Programme, we do not recommend opening up for pure health projects, but health as related to food and nutrition security. The target group should be the population in rural districts, small farmers, pastoralists and others and the Programme should have clear poverty orientation. All surveys show that women's inputs play a vital role in food security at household level. Projects with the objective of increasing food security ought therefore integrate women as an important target group.

In order to reach a common understanding of the Programme objectives and for the objectives to be operational, it is important that these are specified and that the central terms is defined.

We propose that the development objective of the SSE Programme be:

**Improved livelihood security for vulnerable rural households in the Sahel**

Livelihood security is defined as adequate and sustainable access to income and resources to meet basic needs. These needs can include adequate access to food, potable water, health facilities, educational opportunities, housing, time for community participation, etc.

**Food security** is defined as an adequate and sustainable supply of food. The food should be adequate in terms of quantity and quality in order to meet the nutritional and cultural needs of the household members.

**Sustainable** is defined as environmentally sound, culturally acceptable and economically viable.

We will present the objectives as objectives trees. The intention is not to use the LFA method at the Programme level, but to attempt to specify the different objectives and show how they relate to each other. Four immediate objectives related to the development objective are shown in figure 1.

Each of the immediate objectives can be divided into sub-objectives related to the immediate objective as shown in figure 2-5. Outputs and activities can be specified and related to each of the objectives.

### **Some concerns about the Programme in the future**

1 The SSE Programme concept should be kept in the future programme phase because:

*a) Complex and long term objectives*

When reviewing the Programme, it is important to have an understanding of how vulnerable the dry lands area is physically and biologically and consequently how difficult it is to develop sustainable production systems. Through project activities we interfere with a complex web of nature, tradition and society. Successful projects will depend on a long term perspective where it is possible to build up an understanding for the physical, biological and social complexity in the areas as well as to develop a relationship of trust with local collaborating partners. The Programme can only provide results by preserving the objectives in the long term.

*b) Need for continuity*

Many of the projects funded through the SSE Programme started as relief projects in food deficient areas. As projects have entered the SSE Programme, implementation strategies have been adjusted towards more long term development projects. During the ten years of the Programme life, considerable experience and knowledge have been accumulated through trying and failing. We now have a good starting point for continuing the work. Many of the projects have been implemented under difficult circumstances such as war and political instability. SSE countries are, however, now in a positive development stage characterized by peace and democratization and the possibilities for obtaining results are greater than ever.

*c) Need to maintain an inter-disciplinary and multi-sectoral approach to solve problems*

Through the years, the SSE family has built up a platform for an interdisciplinary but strongly focused approach to tackle problems in the Sahel region.

This is not the time to weaken the foundation and risk losing the benefits of the investments already made by the Norwegian Government and the population with whom we work.

2 If the SSE Programme is to function as a programme concept and if its objectives are to be achieved, all funding to the region with the same objectives ought to be coordinated under the same umbrella in order to ensure a coherent Norwegian effort. Today, the relationship between SSE funding and other funding channels to the region should be clarified in the light of new country programmes and bilateral aid to Ethiopia, Eritrea and Mali.

3 The geographical concentration ought to be maintained and concentration on activities in Mali, Ethiopia and Eritrea should continue in order to utilize the accumulated experience and ensure an improved coordination of activities. As far as the research component is concerned, it could be an advantage to promote experience for work in the Sahel countries.

## **Future challenges**

### **1 Better collaboration between SSE partners**

#### *a) Improved information on the SSE Programme to all actors involved:*

- Information material, project overviews

#### *b) Stimulate information flow, experience exchanges and collaboration between countries:*

- South-south cooperation, common SSE conferences on specific themes, establishment of connection with networks of special interest to the SSE Programme

#### *c) Stimulate exchanges of information and collaboration between the different SSE partners at country level:*

- Continuation of the SSE seminars dealing with themes of general interest for all participants, and promote workshops on specific themes
- Establishment of specific platforms for collaboration, exchange of information and project planning related to areas of expertise and comparative advantages (Recommendation from the SSE seminar - Sélingue, Mali, 1995)
- Support to and use of existing information networks
- Exchange of project reports and inter visits
- Identify competence, strong sides and needs for collaboration

- Promote collaboration between the NGO and the research component
- Earmark SSE funds for joint projects to promote collaboration (synergy funds)

As mentioned yesterday, according to the evaluation carried out in 1992, the Programme failed to achieve the expected synergy effect between the different partners. The overall impact of the Programme has never been more than the sum of its different elements. One of the reasons for this was the lack of a strong Programme leadership that promoted collaboration between the different partners. It might be possible to improve coordination at programme level and project level, and to promote collaboration between and within countries. It could, however, be discussed if it is desirable and possible to coordinate all the components involved in the Programme today. The most obvious possibility lies in coordinating the NGO and the research component of the SSE Programme.

## **2 Research related to the SSE Programme**

### ***a) Relevance***

The three objectives for the research component:

- support research capacity and infrastructure in Norway
- support research and capacity building in developing countries
- conduct applied research of immediate to partners in the Programme

have been a legitimate but unclear MFA policy; shifting emphasis between them due to shifting administrative and political considerations has created confusion. There has been a clear conflict between SSE objectives and more academic objectives, and several research projects financed by SSE funding have not been relevant to the SSE objectives.

The research linked to the SSE Programme should be relevant to the SSE Programme objectives, and the setting of priorities should be made on the basis of concrete research needs of the Programme.

### ***b) Result and information dissemination***

New knowledge or technology obtained by the research component should be made available, and the research results disseminated to the target group. This requires collaboration with development agencies, NGOs and government extension services and others. Funds for extension or dissemination of research results should be made available.

### ***c) Contact between research institutions and development agencies should be strengthened considerably***

**d) *Research priorities***

A similar research seminar should be held to discuss future research strategies and priorities related to the SSE Programme.

**3 Improved organisation and management of SSE Programme**

The evaluation report noted that the main problem with the SSE Programme was at organisational level. The evaluation looked for "Consistent strategy approved at high levels" (p. 143 Cowiconsult). After the research programme was transferred to NUFU and the private organisation section to Noragric whilst the multilateral section remained at the MFA, it was difficult to retain a totality in the Programme. The individual parts which were designed to support each other were divided without any initiative being taken for a common steering and management of the Programme.

If the Programme is not given the adequate priority, the programme concept will not be fulfilled to any significant degree. In the future, it will be important to have basic guidelines and routines for the steering and management of the Programme, and different models should be considered. The steering model should stimulate coordination of the Programme components and provide a control function of the Programme. There should be a mutual understanding of the Programme's objectives and priorities must be made in relation to the objectives. This will simplify the Programme for the organizations and provide a better starting point for achieving a synergy effect between the individual partners. Common routines for reporting and evaluation of the various sub-components of the Programme will also contribute to an improved measuring of the effect of the Programme.



## **The SSE Strategy Committee proposes:**

### **1 The role of UD**

- a) legitimise and provide institutional backing for the SSE strategy proposed by this workshop
- b) assure that the objectives of the Programme are maintained
- c) facilitate communication, cooperation and synergy between the three partners within the Programme - Multilaterals, NGOs and Research on a regional level
- d) provide general information on trends within drylands management

### **2 The role of NORAD**

- a) provide funding for joint project proposed by NGOs and Research institutions in collaboration - a so-called synergy pot
- b) develop information material about the SSE Programme concept and its implementation to the general public
- c) incorporate SSE Programme objectives in country programmes for the SSE countries

### **3 The role of the SSE coordinators in SSE countries (proposed here)**

- a) facilitate communication, cooperation and synergy between the three partners of the Programme
- b) organize SSE workshops and other common activities at the country level
- c) maintain an overview over and spread information on SSE project activities

### **4 The role of Noragric**

- a) continue as coordinating body for the NGO component
- b) provide technical assistance and professional advice to NGOs

Figure 1

# Proposal: Overall objectives SSE- program

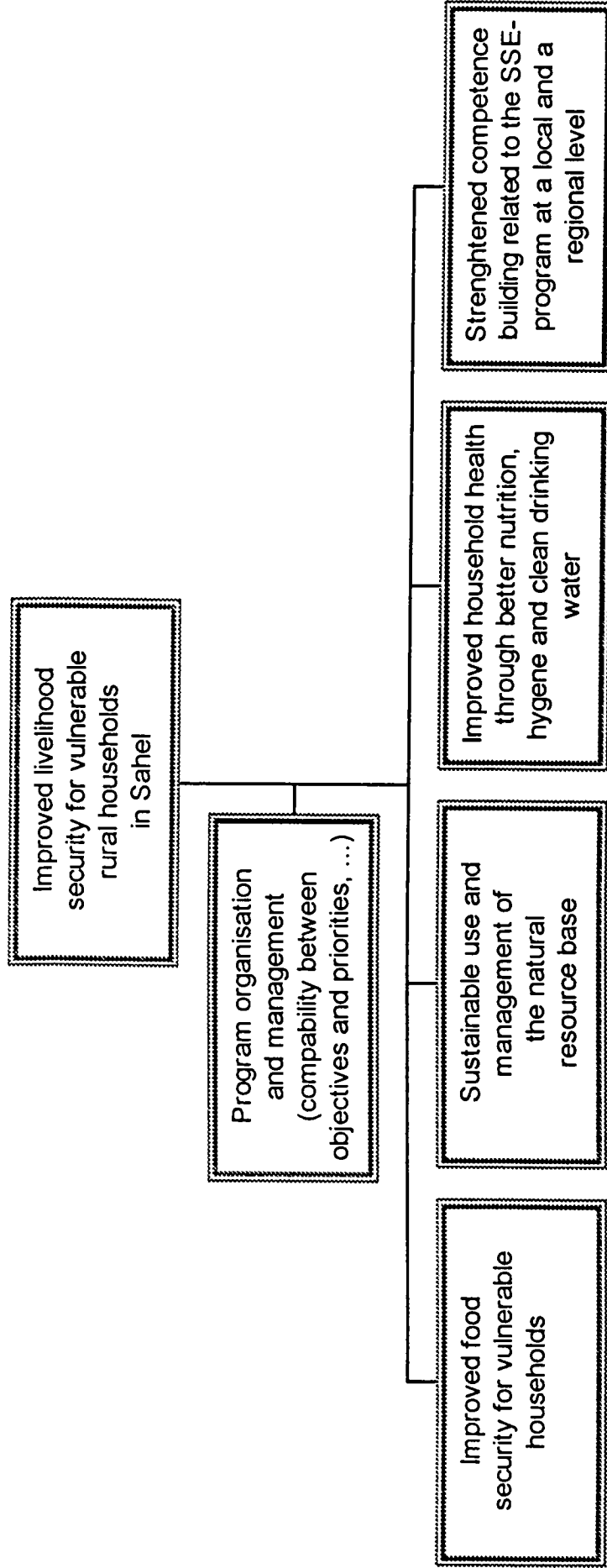


Figure 2

# Proposal: Food security objective SSE- program

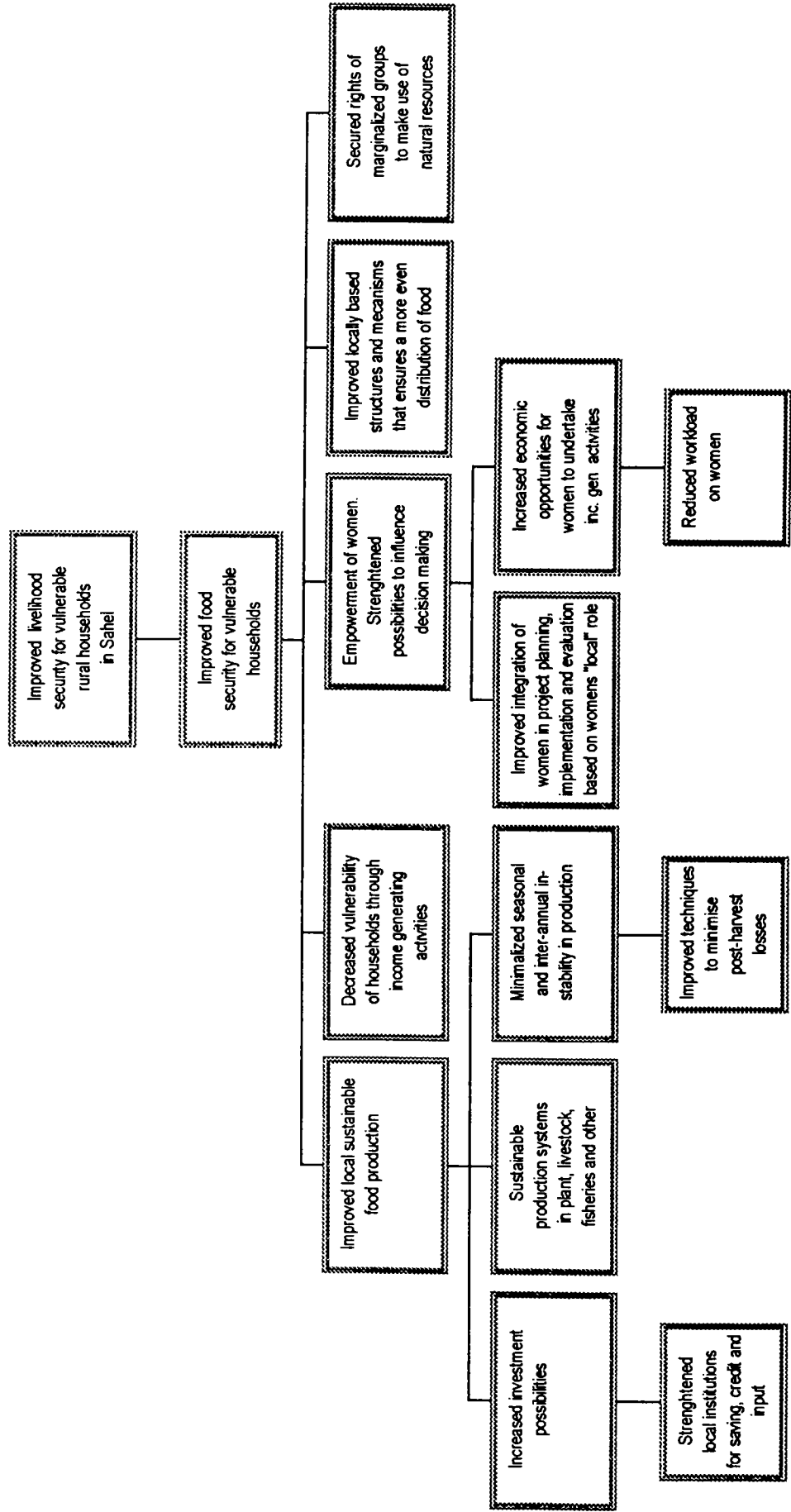


Figure 3

# Proposal: Health objective in the SSE- program

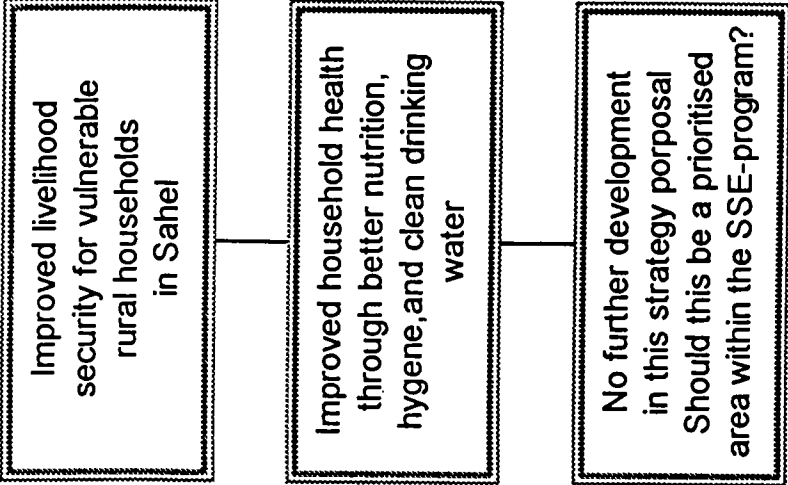
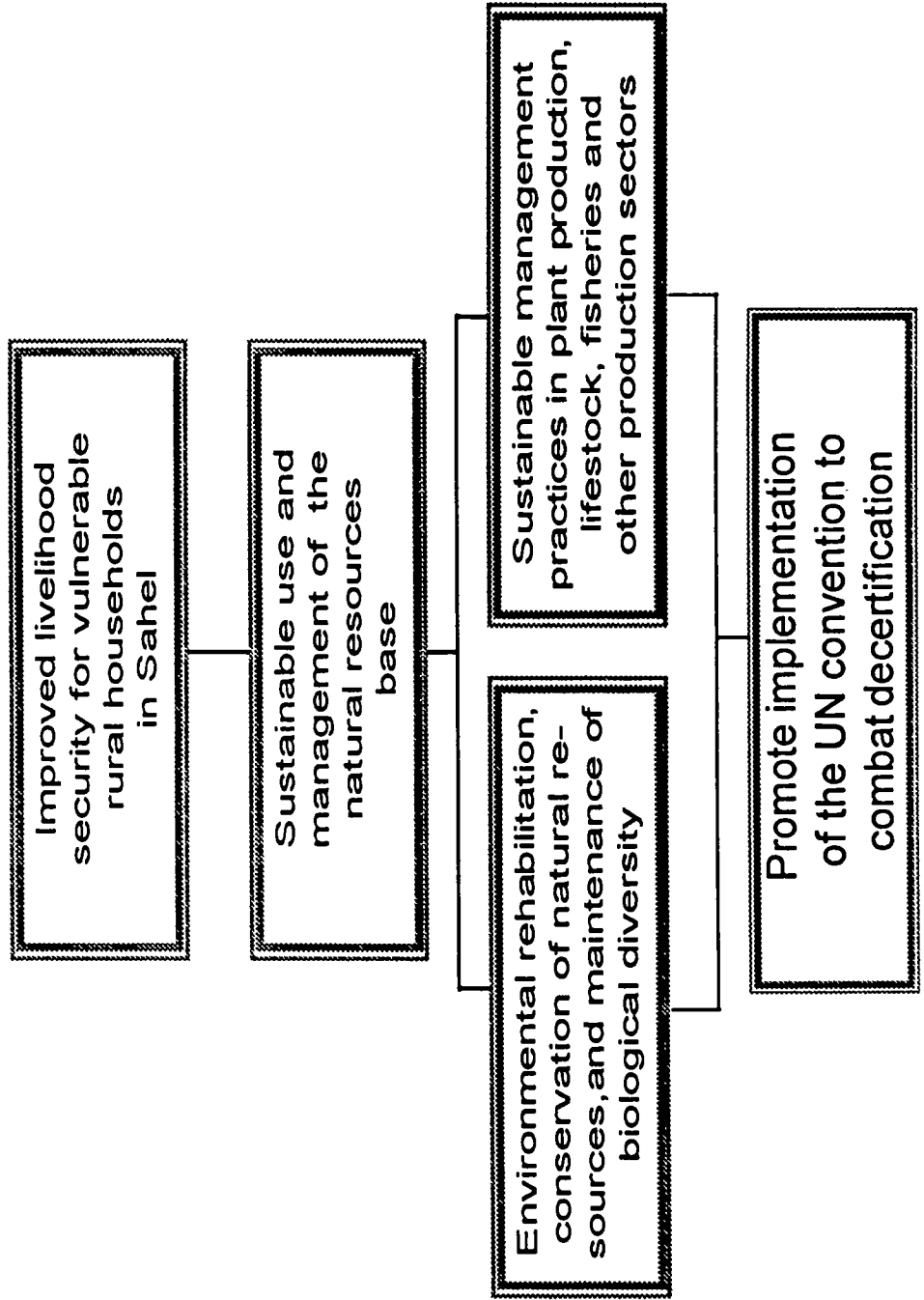


Figure 4

**Proposal: Natural resources objective  
SSE- program**



# Proposal: Competence building objective SSE- program

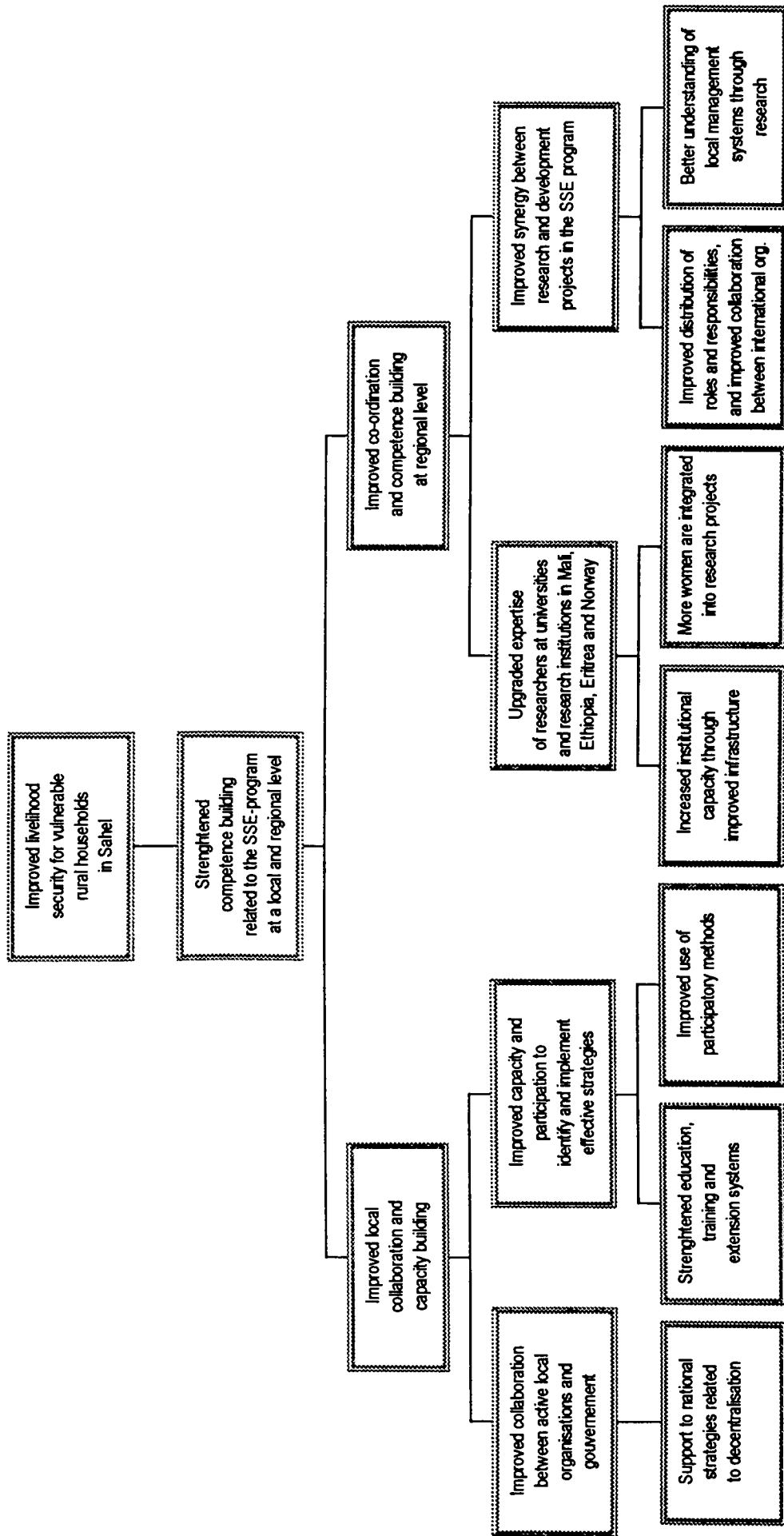


Figure 5



## **5.2 Research and Competence building - presentations**

### **5.2.1 Alida Jay Boye, SUM**

#### **Presentation**

First I would like to express my genuine appreciation to the organizers of this workshop for inviting me to say a few words about competence building and collaboration between research and NGOs. I want to make it clear that I am no expert in the field, but the experience within the SSE programme has given me some insights into the matter which I would like to share with you. It should also be made clear that I do not represent the research component of the SSE nor the individual researchers - although most of my ideas can be attributed to researchers with whom I have close contact.

#### **1. Background**

##### **1.1 General objectives for the SSE**

Returning to a statement I made on the first day of this conference, it has been said that the SSE Programme is one of the few truly visionary programmes in the history of Norwegian Development Assistance.

The aspect which makes the vision of the SSE Programme unique is the expectation that there will be a synergy between the various partners receiving funding.

Here I will discuss primarily collaboration efforts between NGOs and research. I leave the Multilaterals out not because I feel they are not important, but because our experience at this point is too limited.

##### **1.2 Objectives for research component**

The original objectives of the SSE research component were three-fold:

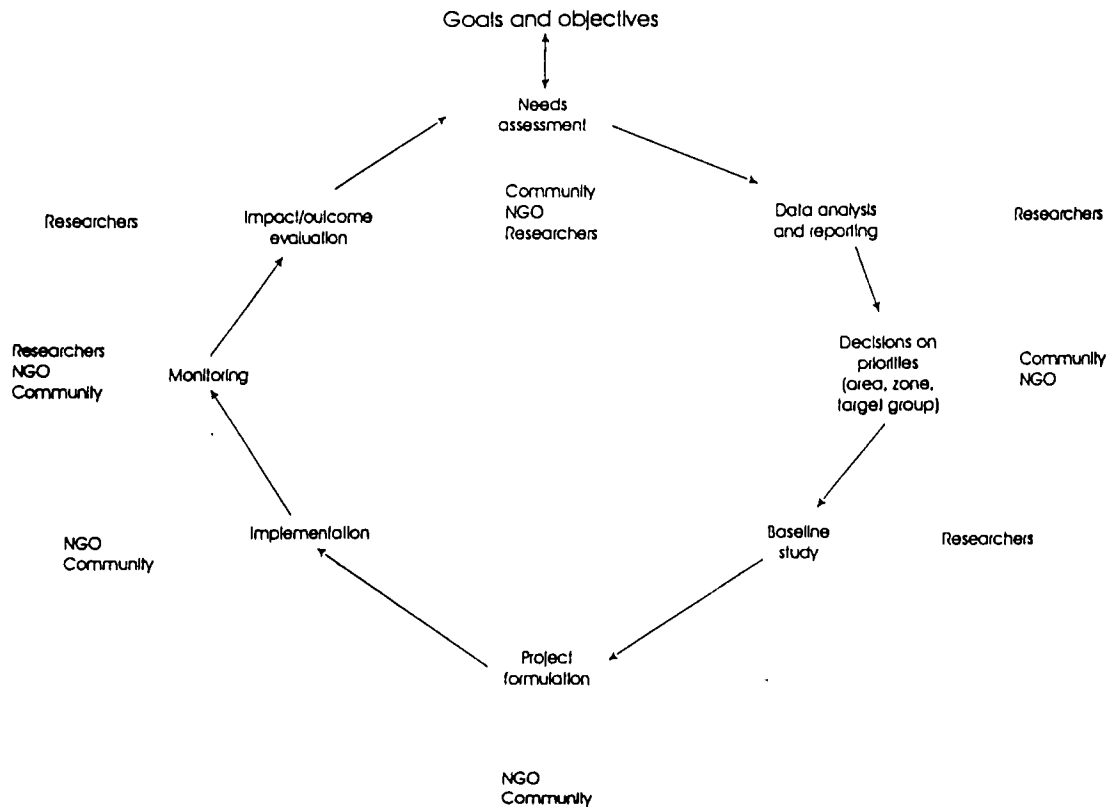
- to upgrade the competence of Norwegian researchers and researchers in the SSE countries to tackle the complex issues in the Sahel and to improve the capacity of research institutions in the SSE countries to carry out research;
- to carry out multi-disciplinary research related to food security and natural resource management in the SSE countries;
- to bring insights and information gained back to developers and national and local government agencies.

As I explained earlier, the validity of these objectives needs to be evaluated in the long-term perspective.



## 2. The role of research in NGO activities

There is, I believe, a role for research in several activities within the NGO project cycle, but not all. Figure 1. shows which activities could benefit from intervention from researchers.



**Figure 1: The Role of Research within the NGO Project Cycle**

Founded on their knowledge within their individual disciplines, researchers can provide analytical tools for assessing livelihood and nutrition status, resource utilisation, environmental conditions in a given area etc. Researchers can make an important contributions to developing, monitoring, and evaluating of development projects in close collaboration with NGOs. It is however the NGOs who sit with the practical knowledge of how such projects should be implemented - and it is therefore natural that NGOs have both the first and last word in the design of their development projects.

In addition to the need to train new researchers, established researchers have a constant need to stay ajoin within their field and to gain new insights within their disciplines. There will therefore always be a need to develop more long-term research activities parallel to links with NGO activities - perhaps through other funding channels. Research themes are here based on international trends within the research community and previous research within the discipline - and will often relate to questions NGOs would never ask. In the long run, NGOs will benefit from insights gained from this type of long-term research.

Fields of common interest to NGOs and Researcher are many and these are far from being sufficiently exploited within the SSE Programme. We need to begin with a dialogue, a common platform and a means of communication.

## **2.1 Advantages:**

What advantages do we have over others for realizing synergy between NGOs and Research?

- common Norwegian financing
- common thematic approach
- favourable political and social environment in the SSE countries
- shared benefits from synergy efforts
- encouraging environment within the SSE family
- long-term collaboration established through university cooperation

## **2.2 Constraints:**

The constraints to NGO/Research collaboration are many:

- acceptance from the academic community - is this science, or a threat to free research?
- resistance from donors and policy makers - can we afford this?
- understanding from the local populations - what's in it for us?
- availability of researchers and NGO staff - is it too time consuming?
- communication problems - can academic jargon be translated to practical terminology?

## **3. Conditions for NGO-Research Cooperation**

According to Inge Heran Rydland, NCA, Ethiopia (Ref. proceedings from SSE Seminar in Ethiopia), there are two principle issues in all partnerships:

- a) partners must meet and address each other on equal ground;
- b) partnership does not mean erosion of one's own identity but rather seeking ways to combine the best of our abilities and resources.

More specifically related to NGO/Research collaboration, one could say that:

- Cooperation requires mutual respect for the career objectives of the individuals involved.
- Cooperation activities should be of mutual benefit and there should be a genuine interest from both partners to cooperate.
- Financing should encourage cooperation.
- Both Research and NGOs should build activities into long-term objectives as well as annual plans in order to assure a synchronized timetable and that sufficient time is allotted to carry out activities.

## **5. Modalities for a NGO/Research Cooperation**

### **5.1 Cooperation models**      *Don't force the collaboration - Think of the long-term benefits*

There are many models to choose from - some simpler to carry out than others - to mention a few:

- Hiring researchers to carry out consultancies: This is what NGO/Research Cooperation usually involves, however our ambitions should be higher.
- Establishment of reference group consisting of representatives from NGO and Research: This is a very simple and effective means of cooperation
- Competence building and training through workshops, information sharing and formal training of NGO staff at Universities.
- Research/NGO collaboration within the project cycle based on a long-term partnership : This includes development of methodological tools for carrying out surveys, assessments, baseline studies and monitoring project activities, and supervision of internal evaluations. (see Figure 1)

Another model which is becoming more and more viable in many countries is active cooperation with national and local government institutions. In the past this type of cooperation has been hindered by lack of confidence between local governments and NGOs, however with the surfacing of decentralisation efforts, links to national extension services are becoming more appealing. The link between national extension services and national research institutions (which already exists) can facilitate cooperation on the local level.

### **5.2 Financing model**

In my presentation yesterday, I posed the question - how will action-related research be financed? At the moment, there seems to be no well-defined policy or strategy - much of development research has been transferred to NUFU or NFR which has shown no interest in funding this type of research. The establishment of a synergy pot at NORAD to support NGO/Research collaboration has been proposed several times at this conference. I believe this could be a viable solution for developing mutual collaboration between partners. At the SSE workshop in Sélinqué, it was proposed that a research component be built into all NGO applications for funding.

### 5.3. Defining research objectives

There are several potential actors in decision-making when research objectives are defined: researchers, NGOs, donors, national research institutions, local government institutions, local populations.

- Who determines the research priorities?
- Who identifies research themes?
- Who asks the questions?

In discussions we have had in the SSE Workshops in Mali, it has been recommended that there should be a consensus between relevant partners using a participatory approach when appropriate.

The following matrix illustrates the potential actors involved in the various levels of decision-making on defining research objectives - from a general to a specific level from determining national research priorities to determining thematic approach to defining the specific research questions to be answered.

**Matrix for Defining Research Objectives**

	research priorities	research themes	research questions
donors			
national research institutions			
researchers			
NGOs			
local govt. Institutions			
local population			

Paradoxically, it is often foreign donors who determine the research priorities for developing countries since much of research in developing countries is externally funded. This seems to be changing. The trend is also that national research institutions rather than individual researchers are determining the general research priorities. There is also a tendency to bring in both NGOs and recently with decentralisation, local government institutions and the local population in defining national research objectives.

## **Recommendations from Segou in 1994**

## **Appendix I**

In 1994 at the SSE Workshop in Segou, Mali, a commitment was made to elaborate schemes for NGO/Research<sup>1</sup> collaboration within the SSE Programme in Mali. Many of these initiatives have been followed up and many are in progress. The declaration stated that efforts should be made :

- 1) to facilitate exchange of information and even personnel;
- 2) to encourage NGOs to make their research needs clear to researchers;
- 3) to determine research themes through a consensus between NGOs and Research from the conception of projects;
- 4) to establish participative research within the NGO activities using NGO personnel to collect data;
- 5) for ongoing projects: to promote a better integration of data collected through research and data collected through NGOs and upgrading data collected within the NGO projects;
- 6) to enhance the value of research activities executed by NGOs through technical support by Research to the NGOs
- 7) to translate results from Research into concrete action;
- 8) to validate the results from Research with assistance from NGOs in the field;
- 9) to obtain financing which promotes collaboration between NGOs and Research within the SSE Programme

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<sup>1</sup> The research community

## Appendix II

### **Concrete proposals from SSE Workshops in Segou and Sélingué in Mali:**

#### 1) Establishment of a NGO/Research Network

- a) to produce a liaison bulletin «Bulletin de Liaison»
- b) to organize periodic meetings on given themes
- c) to establish a data base link between NGOs and Research on the country level
- d) Homepage for the SSE on Internet

#### 2) Activities in the Field

- a) consultations - needs assessments, establishment of monitoring systems, evaluations, baseline studies
- b) verification of research results in the field
- c) communication of research results to local population: e.g. educational pamphlets
- d) enhance the value of research carried out by NGOs - design survey packages to systematize collection and standardize methodology, assist in data analysis and provide data of a quality which can also be used for scientific research
- e) involve local populations in determining research questions

#### 3) Other activities

- a) participation of researchers in technical reference groups for NGOs
- b) inviting resource persons to internal meetings
- c) carrying out collaborative quantitative and qualitative research
- d) organisation of common workshops on common themes
- e) interpretation and execution of recommendations from research

## 5.2.2 Aregay Waktola, Noragric

### RESEARCH AND COMPETENCE BUILDING INTERACTION BETWEEN RESEARCH AND DEVELOPMENT UNDER THE SSE PROGRAMME

#### 1. Introduction

My task this morning is to share with you Ethiopian experiences regard the issue of research and competence building under the SSE Programme. I have been associated with the Programme since 1988, first as co-ordinator of the research collaboration between Ethiopian and Norwegian Universities and later in my association with the projects through Noragric. In this limited time, I will attempt to illustrate the possibility of co-operation between NGOs and colleges of agriculture in both research and competence building.

I am taking examples from the collaboration between the Awassa College of Agriculture (ACA) and the Agricultural University of Norway/Noragric to show that the research activities undertaken are consistent with the SSE objectives. This was not by accident but by design. NGOs can sponsor, support and participate in applied or action oriented research. This is all about the farming systems research approach which also assumes the participation of farmers as well.

Similarly, competence building is a legitimate area of co-operation between colleges and NGOs. I will illustrate this using an example from Mekelle University College (MUC). REST is represented here by a strong delegation and they can explain the nature and level of co-operation they have with MUC. I believe that a lot more can be done if initiatives are taken by both sides to serve common interests.

Before I go into the details, I want to give you the background of the SSE research projects in Ethiopia.

## 2. Background

I see the SSE research projects in two phases. Phase 1 represents the period 1988/89-1991 when we were directly dealing with Ministry of Foreign Affairs. Phase 2 is the period 1991-1996 in the hands of NUFU. The agreements for all of the university projects were concluded in 1988 during Phase 1 and the general objectives remain the same as would be indicated later on. Two projects were started after NUFU took over. It is interesting to see the list of the projects as their relevance to NGO activities under the SSE Programme. These are:

- **Peasant production and development in Ethiopia**  
(The co-operating institutions are Addis Ababa University (AAU) and the University of Trondheim)
- **Agricultural research (studies on farming systems) in southern Ethiopia** (ACA and AUN/Noragric)
- **Borana Health and Nutrition Study** (AAU and University of Bergen)  
**Co-operative project in Social Anthropology** (AAU and CMI)
- **Conservation and use of Barley genetic resources** (PGRC-E and AUN/Noragric)
- **Peasant agriculture, environment and economics of soil conservation** (ESTC and AUN/Noragric)

I was involved in the preparation of the first four projects. In doing so we had conformed with the SSE objectives. If you examine the Awassa project documents in question you would find continued reference to the following objectives even when the source of funding is NUFU:

1. Food security
2. Ecological rehabilitation
3. Women issues
4. Competence building
5. Institution building

At that time, we were not well versed about the details of the SSE Programme Concept . We were more concerned about cross-project co-operation within the University. I must note, however, that the importance of working with and through government agencies and NGOs was long realised and has remained as a tradition in Addis Ababa University.



In 1992 (Phase 2 as referred above), a NUFU sponsored research seminar was held in Addis Ababa. Researchers and research administrators from the SSE countries and Norway were invited to the seminar but not NGOs. Nevertheless, in the course of the discussions, however, the need for co-operation with the NGOs was highlighted. Soon after the draft report of COWI-consult was released which as you know was very critical about the lack of collaboration with NGOs and multinational organisations among other things.

Since then there has been increased effort to address the issue of collaboration. NORAD and Noragric have been pushing the idea at least since 1994 and there are interesting developments as a consequence. Those of you who attended the Mekelle Seminar last November would remember that this issue was raised again and again in various forms. It seems to me that the idea is well taken. There are good prospects for profitable interaction and co-operation between SSE research and NGO development projects. Perhaps what we are lacking now is a proper co-operation and funding arrangement. Examples from Awassa and Mekelle would indicate the possible areas of co-operation.

The following is an extract taken from a report made by the College on the subject.

### **3. Research co-operation with NGOs in Awassa College of Agriculture**

Awassa College of Agriculture was a part of Addis Ababa until recently. It is now an independent institution destined to serve as the nucleus of the Southern University which the Government has planned to develop. The research tradition that the College has inherited emphasises applied research. The scope of academic research is limited very much. Because the national research system is not well developed, the Government insists that higher education institutions should be involved in development oriented research. Core funding is provided to stimulate such research undertakings.

So, at least in the context of the Ethiopian experience NGOs should be reassured that the universities are in a position to and in need of cooperation with them. The example I will be sharing with you will, I hope, illustrate the point and it is from the experiences of only one programme at Awassa, i.e., the Maize Improvement Programme for low rainfall areas. This programme has been receiving external assistance from different sources, including SSF in one way or another. It is interesting to note that the motivation is very clear from the statement of the objectives.

Specific objectives :

1. Exploit the already established link between the different organizations and the farming community to disseminate new innovations.
2. Conduct experiments based on major problems of the farming community and then try to solve the problem in collaboration with responsible NGO and governmental organizations.
3. Get material, area of investigation, and vehicle support\*.

The following table shows the input from both sides, present and future support status.

Organization	Input	Major roles & final output	Types of support	
			Present	Future
Awassa College of Agriculture (started in 1978)	Conduct low land crops basic & applied research	Technical work and supply information as to the outcome	Governmental and NGO supports	Governmental, NGO, and international organizations
EECMY/SES (started long ago)	Provide trial sites, money to buy some equipment and vehicle support	Select on farm sites and disseminate new outcomes	25,000 Birr support for Bidre and Mega trial sites	A request for 35,000 Birr and a vehicle support will be submitted
CARE (started in 1994)	Provide test sites, money to buy equipment & a vehicle support	Select on farm sites and disseminate new outcomes	17,800 Birr (seed multiplication, 15,000 Birr for the trial at Hidi-Ale & a vehicle support	About 20000 Birr for Hidi Ale site plus a vehicle support will be requested
SASAKAWA Global 2000 (started in 1996)	Provide a vehicle and man power support	Select on farm sites conduct on farm trials & disseminate new outcomes	Vehicle support	A request for financial support & a vehicle will be made
Farm Africa (will start in 1997)	Select test sites, provide financial & vehicle support	Select on farm sites and disseminate new outcomes	Not yet started	Depending on the outcome of 1997

### **Some interesting achievements**

Following are few examples of achievements from Awassa which should be interesting to NGOs.

1. One PhD completed and three in progress.  
The project was also instrumental in the training of six staff members at the MSc level. NCA-Ethiopia provided financial support to one of the MSc students. Furthermore nine Norwegian students were enabled to conduct their MSc research in Ethiopia. NCA-E was involved in at least four of them.
2. In Ethiopia, milk production, handling, processing and marketing of the products are largely the responsibility of women. The PhD study mentioned above, has produced knowledge on the local methods of milk handling and processing; the chemical and bacteriological quality of milk production and the properties of local strains of bacteria which are used in the production of fermented milk products. Furthermore the project has contributed a dairy lab to the college.
3. The study on the processing of enset resulted in the production of a multipurpose implement which can be used for all stages of enset processing and it is so simple that it can be made by local craftsmen using only local materials. As in the case of milk products, enset processing and marketing is entirely the duty and responsibility of women.

### **4. NGO co-operation with Mekelle University College (MUC)**

MUC is a young institution just in its third year of development. Yet, the idea of co-operation is well entrenched in the evolving system of education and research at the college. For example, there is already a formal agreement of co-operation signed between the College and REST. A number of co-operative activities are underway between them. If need be, I am sure that Ato Teklewoine can elaborate on this point for us. I have at least one research report to show you. This was sponsored by REST and conducted in co-operation with Noragric and MUC. The other interesting point is MUC's emphasis on practical training. They have introduced a student attachment programme which is quite unique to the country. They have sought and secured the co-operation government agencies and several NGOs as listed below.

Thus, the college is sending out its third year students for 5 months to work and get exposed to the realities of rural Ethiopia. There are 28 students and their distribution by the co-operating institutions is as follows.

Irish Aid	3
FARM Africa	3
REST	8
BoA	3
GTZ	3
World Vision	5
IAR	1
DHP	1
TDA	1
<b>Total</b>	<b>28</b>

The point I would like to make is that there are considerable opportunity for colleges and NGOs to cooperate in research and competence building if they can get closer and exchange each others' experiences and capacities.

## **5. Conclusion and recommendation**

From the experiences noted above, collaboration between colleges and NGOs is feasible and rewarding. However, there is a need to create a workable co-operation model and funding arrangement. As we discussed in Mekelle, SSE research -NGO collaboration should be worked out with a long term perspective. Short ad hoc arrangements can be useful but will not generate lasting effects. External assistance would be necessary but only to complement own resources.

## Ongoing SSE/NUFU Research Projects in Ethiopia

- Peasant production and development in Ethiopia (Addis Ababa University (AAU) and the University of Trondheim)
- Agricultural research (studies on farming systems) in southern Ethiopia (ACA and AUN/Noragric)
- Borana Health and Nutrition Study: AAU and University of Bergen Co-operative project in Social Anthropology (AAU and Christian Michelsen Institute, CMI)
- Conservation and use of Barley genetic resources (PGRC-E and AUN/Noragric)
- Peasant agriculture, environment and economics of soil conservation (ESTC and AUN/Noragric)

1. Food security
2. Ecological rehabilitation
3. Women issues
4. Competence building
5. Institution building

### 5.2.3 Johannes Sannesmoen, SMF

Thursday

Inter-action between the Research People and the NGOs. Some examples.

The Cowiconsult Evaluation Report says that the SSE programme was a total failure when we look at it from the synergy side. In fact, among its many omissions is the one that a cooperation between the Institute of biology at the University of Oslo and the Strømme Memorial Foundation started practically at the same time as the SSE Programme.

In fact, it appears that the Ministry of Foreign Affairs approached professor Sømme, an entomologist at the University of Oslo, with a request to start tests with reduced doses of toxic pesticides in Yelimane in Mali. This was after the Foundation had started an activity to reduce toxic doses and FAO together with the big international producers of pesticides were strongly opposed to it and had complained to the MFA. This was the beginning of a long and fruitful collaboration between the foundation and the University of Oslo.

Professor Sømme and his assistant Preben Ottesen were conducting research programmes in Yelimane and I know of at least three master students who prepared their thesis on the problem of doses of toxic pesticides. As I have said earlier this week, this collaboration did not come about because it was part of our program but because we were forced to do it by external circumstances. However, the research helped tried to help as find the answer to a question that we did ask.

In the last few years the Strømme foundation and the University of Oslo have been cooperating in a research program aiming at determining what factors are decisive in ending the diapause in the life cycle of the species *Oedalus Senegalensis*. This is a fundamental question that we as an NGO would never ask. Still we have been kind enough to help contribute to the solution of a number of practical problems.

But the close cooperation between people from the field and people from the research has led to other interesting results. Because this collaboration has developed over time we have had the time to discuss various problems and after two years of intense studies and discussions we (the SMF) together with the Institute of Biology at the University of Oslo as well as an Industrial enterprise have come up with a joint project in order to find new ways to improve monitoring of locust movements. I cannot say anything more about this project as it is only in its preparatory stages. However it shows something important. When research people and development people have the opportunity to be together for longer periods of time the crossfertilization of ideas may lead to stunning results. This is why I think it is important to move from a consultancy type of relationship to a more lasting state of cooperation.

**We have also had discussions with the researchers of the Institute for Nutrition at the University of Oslo about a possible collaboration with our Project for Integrated Development in Bafoulabe in Mali (Pideb). In this project we provide public health services to a large area, but our knowledge of reasons for malnutrition and certain diseases are limited.**

**At last year's SSE-conference in Selingué in Mali we had a wonderful marriage between research and development work as we were in equal numbers approximately. Not like this time where there is just one research lady to be shared by 70/80 development people.**

**Well, as a logical consequence of last years fruitful debates people from the SMF, Pideb and the SSE research division had discussions in Bamako where we laid the ground work for a future collaboration, a collaboration which is supposed to be totally different from us buying consultancy work from the research people, but a collaboration which is supposed to be a mutually beneficial partnership that shall last for several years.**

**After the Bamako meeting - we may call it the Bamako Initiative II - a workshop was organised in Bafoulabe where all stakeholders were actively taking part, from the research people to the local population.**

**On the basis of the discussions in that workshop a policy document was elaborated called the PLATFORM FOR A COLLABORATION BETWEEN PIDEB AND THE SSE RESEARCH TEAM.**

**On the basis of this platform we have formulated a request for 1997 for the funding of this collaboration.**

**So far the only way we have to obtain funding for it is going through the Pideb budget. However, personally I would have preferred - in order to encourage this kind of collaboration - to have a special fund for the financing of collaboration projects, exactly as proposed by Gry Synnevåg on Tuesday.**

**This project however does open up for a large number of questions that have yet to be solved - and they need to be solved in close cooperation between the involved parties. We need to elaborate a model of cooperation. Who are the parties involved, NGO, UiO, Malien Research (represented by whom), who will be the employer of whom, what are the salaries and emoluments to be used, what role should the SSE-office in Bamako play here (if any) and so on.**

**You will understand that this marriage between research and development certainly contains elements that will enhance the quality of both and thus produce a synergy effect. However it will also necessitate a number of decisions that need mature reflection as the result may have longterm effects on the future cooperation. Hopefully these discussions will lead us closer to each other and thus produce a number of beautiful and healthy babies.**





## 5.3 Groupwork - Monday/Tuesday

### 5.3.1 Groupwork assignment

#### Day 1

#### Experiences from participation in the SSe Programme. Retrospect

##### *Question 1*

- a) What are the most important results achieved in the individual SSE projects up to now and how have these results led to improvements for the local population?
- b) What have been the most important limitations/bottlenecks for obtaining results in relation to:
  - a) The projects' own objectives?
  - b) In relation to the SSE principles for implementation of projects:
    - minimized dependence of future aid
    - recipient orientation and local participation
    - specific targeting of women
    - poverty alleviation

##### *Question 2*

Have there been any significant changes politically, economically and socially in the Sahel countries during the last 5 years?

- a) What are the most important changes?
- b) How have the changes influenced the implementation and content of the individual projects?

##### *Question 3*

About the SSe Programme generally

- a) Have you a feeling of being a part of the SSe Programme?
- b) What information have you on the SSe Programme?
- c) Is there consistency between the projects' and the Programme's objectives?

*Any other experiences*

## SSE Programme - Status and future strategy

### Group work

#### Day 2

### SSE Programme's future. Inputs to a new SSE strategy

#### *Question 1*

Is the SSE Programme's objectives, target groups and principles relevant in relation to:

- a) local population
- b) National priorities
- c) International conventions on environment and development

Suggest possible changes.

#### *Question 2*

How can collaboration between participants in the SSE Programme be improved at:

- local level
- national level
- regional level

#### *Question 3*

How shall the short relief support be balanced with long term development in the future?

*Other input?*

## 5.3.2 Groups' presentations

### Group I - SSE Programme - Status and future strategy

#### Monday: Experiences from participation in the SSE Programme. Retrospect

##### Question 1

From the exploitation perspective, a point of departure for a discussion on the main guiding lines for the future, we have the following points:

- All the SSE countries are similar politically, economically and socially
- We maintain that there should be results, which should be very important results, in the first instance material results (drilling, wells, cultivated areas, schools etc), but particularly institutional results such as:
  - The emergence of the woman in society as a participant in the development process, and
  - The integration of groups, particularly in remote areas, in the development processes
  - The cultural and spiritual opening of the population through the functional elimination of illiteracy.
- We have noticed, in particular, a far too short a planning horizon which has been an obstacle in the past. It has also been too sector-based.
- In addition, there is a lack of knowledge of the fundamental causality because research has not been included in the development.

##### Question 2

- emergence of democratization
- devaluation of the FCFA in the relevant countries
- peace
- politics of decentralization

##### Question 3

- Nobody has the feeling of belonging to a programme, particularly the local inhabitants, because of the lack of information.
- However, the general objectives are the same, thus the programme should be continued.

#### Tuesday: SSE Programme's future. Inputs to a new SSE strategy

We have decided to concentrate on the essential points as outlined by Gry Synnevåg this morning. Grosso modo, we are in agreement with what has been said but would stress the following points:

##### A Continuation of the programme

We insist on results in the area of local organisations. We are already in the middle of a long and certain process which is developing very positively. In order to maintain this process, it is necessary to have a longterm plan.

##### B Financing

It would seem that the Minister wants a country approach, but we feel that for each country, notably Mali, financing ought to be coordinated through sectors and operators.

##### C Collaboration between SSE partners

It is necessary to re-enforce the information inside the programme, as well as informing the public about results.

*Organisation and cycle of the SSE programme*

- On the question of the programme cycle , we feel that in the financing framework of the common projects between the NGOs and research, the NGOs ought to ask/formulate the questions.
- We equally propose that the SSE forum should be revitalised - as a consultation organ - exchanges of experience - planning
- We also propose that an SSE coordinator is nominated - alternating among the Norwegian NGOs present in Mali.

## Group II - SSE Programme - Status and future strategy

Monday/Tuesday

Experiences from participation in the SSE Programme. Retrospect

Question 1

a) *Important results*

- Strengthening of the populations' competence in natural resource management
- Increased production in agriculture and forestry
- Sufficient popular natural resource management techniques
- Development of activities which generate income for women

*Concrete results*

- Energization of traditional structures
- Impact of women's activities
- Synergy between participants
- Population participation
- 
- Role of restoring the peace

b) *Hinderances*

At project level:

- Cultural hinderances
- Insecurity
- Land tenure disputes
- Changing emergency aid - development
- Lack of guarantee for longterm financing

At programme level:

- Poverty: The programme only touches on certain sectors
- Dependence: The problem of natural hazards

Question 2

- Democracy
- Devaluation
- Decentralisation
- Social/insecurity disruptions

Question 3

- Yes, at country level (Mali). But at a higher level...?
- Not with the other SSE Programme countries
- For NGOs, yes, but the different strategies well defined

### SSE Programme's future. Inputs to a new SSE strategy

- The objectives are pertinent to what concerns the local populations
- Increasingly what concerns national priorities (ref. forestry code, political climate generally)
- International conventions: lack of information

*Modifications:*

The group recommends a country by country study within a time limit set by this conference.

- Discussion of the term:
- secularization
  - improvement
  - vulnerability

SSE Programme - Status and future  
Summary of group discussion on Day 1 & 2 assignment  
Group V

Group V considered Question 3 first and then moved to the others. The points made were as follows.

**Day 1**

Question 3

3 (a). Yes,, all members said that they felt members of the SSE family because they shared the common vision, objectives and principles of the SSE Programme.

3 (b). Yes, members had information on SSE all though they did not know what other SSE funds recipient were doing.

3 (c). There is consistency between the projects and the Programme's objectives. There may be a need for further work on this.

Question 1

1 (b). In relation to the SSE principles, the Group proposed the following changes

- minimized dependence of future food aid
- local initiatives and responsibility
- gender balance approach to include both men and women
- poverty orientation
- synergy effects

2. Regarding changes, the Group observed that there have been considerable political, economic and social changes in Eritrea, Ethiopia and Mali in favour of project implementation.

**Day 2**

Because of shortage of time, the Group did not consider the questions in detail. There was a general understanding that SSE Programme's objectives, target groups and principles were relevant to local population, national priorities and the international conventions on environment and development.

## 5.4 Groupwork - Thursday

### 5.4.1 Groupwork assignment - Honne declaration draft

#### **Honne declaration.**

(Proposal)

1. **SSE program concept should be maintained in the future because:**
  - a common strategy is needed for drought prone and environmentally degraded countries
  - complex and longterm objectives
  - need for continuity
  - need to maintain an interdisciplinary and multisectoral approach to solve problems
  - 
  - 
  -
2. **Overall objectives of SSE programme.**

The main objectives of the food security and sustainable management of natural resources should remain the SSE Programme's main pillar, but there should be an opening for the possibility of a stronger emphasis on health and education. Health should be related to food and nutrition security.

(see Proposal: Overall objectives schema)

  - 
  - 
  -
3. **Programme principles**
  - minimized dependence of future aid
  - recipient orientation and local participation
  - specific targeting of women
  - poverty orientation
  - partnership approach
4. **Geographical concentration**
  - Geographical concentration should be limited to Ethiopia, Eritrea and Mali
5. **Future SSE partners**
  - International NGOs
  - Norwegian NGOs and local partners
  - Research institutions
  - 
  -
6. **Cooperation**
  - Project cooperation should be stimulated at regional and country level
  - Research should be an integrated part of NGO project activities
  - Information flow, experience exchanges and collaboration between countries should be stimulated
  - Exchange of information and collaboration between the different SSE



partners at country level should be stimulated

-  
-

## **7. Funding**

- 100% project funding
- 5 year contract periods

-

## **8. Program organisation and management.**

The role of MFA.

- Legitimize and provide institutional backing for the SSE steering unit

The role of NORAD

- Provide funding for a joint project proposed by NGOs and Research institutions in collaboration, a so-called synergy pot
- Develop SSE related information to the general public information

The role of the SSE steering unit

- In order to have a program, one must establish a responsible steering program unit. The mandate of the steering unit should be:
  - legitimize and provide institutional backing for the SSE strategy proposed by this workshop
  - assure that the program objectives are maintained
  - facilitate communication, cooperation and synergy between the partners within the program
  - establish SSE coordination units in all SSE countries

-  
-

The role of the SSE coordination units in the SSE-countries

- Facilitate communication, cooperation and synergy between the partners of the programme
- Organise SSE workshops and other common activities at the country level
- Maintain an overview over and spread information on SSE project activities

The role of NORAGRIC?

OTHER MOMENTS?

-  
-  
-

## 5.4.2 Groups' presentations

### Group I

#### Honne declaration.

#### (Proposal)

1. SSE programme concept should be maintained in the future because:
  - a common strategy is needed for drought prone and environmentally degraded countries
  - complex and longterm objectives (minimum 15-20 years)
  - need for continuity in order to re-evaluate knowledge and experience
  - need to facilitate and maintain an interdisciplinary and multisectoral approach to solve problems
  - 
  -
2. **Overall objectives of SSE programme.**

The main objectives of the food security and sustainable management of natural resources should constitute the SSE Programme's main pillars, Health and education should be the complementary axes.  
(See Proposal: Overall objectives schema)

  - 
  -
3. **Programme principles**
  - minimized dependence of future aid
  - recipient orientation and local participation
  - specific targeting of women
  - poverty orientation
  - partnership approach
4. **Geographical concentration**

The countries included in the SSE programme should be Eritrea, Ethiopia and Mali
5. **Future SSE partners**
  - International NGOs
  - Norwegian NGOs and their local partners
  - Norwegian and national research institutions
  - 
  -
6. **Cooperation**
  - NGO cooperation should be stimulated at regional and country level
  - Information flow, experience exchanges between countries should be stimulated
  - Exchange of information and collaboration between the different SSE partners at country level should be stimulated
  - 
  -

**7. Funding**

- 100% project funding
- 5 year contract periods
- 

**8. Programme organisation and management.**

The role of MFA

- legitimize and provide institutional backing for the SSE steering unit

The role of NORAD

- Provide funding for the financing of projects within the SSE Programme
- Develop SSE related information to the general public

The role of the SSE steering unit

- In order to have a programme, one must establish a responsible steering programme unit. Noragric should be responsible this unit. The mandate of the steering unit should be:
  - legitimize and provide institutional backing for the SSE strategy proposed by this workshop
  - assure that the programme objectives are maintained
  - facilitate communication, cooperation and synergy between the partners within the programme
  - establish SSE coordination units in all SSE countries
- 
- 

The role of the SSE coordination units in the SSE-countries

- Facilitate communication, cooperation and synergy between the partners of the programme
- Organise SSE workshops and other common activities at country level
- Maintain an overview over and spread information on SSE project activities

The role of NORAGRIC?

OTHER MOMENTS?

- 
- 
-

**Group II**  
**Honne declaration.**  
(Proposal)

1. SSE programme concept should be maintained in the future because:
  - a common strategy is needed for drought prone and environmentally degraded countries
  - complex and longterm objectives require continuity
  - need for continuity in order to re-evaluate knowledge and experience
  - this strategy requires a multisectorial and interdisciplinary approach
  - provides an invaluable model of experiences which can be applied in other areas
  -
2. **Overall objectives of SSE programme.**

The main objectives of the food security and sustainable management of natural resources should constitute the SSE Programme's main pillars, Health and education should be the complementary axes.  
(See Proposal: Overall objectives schema)

  - the term "households" should be replaced by "populations"
  -
3. **Programme principles**
  - minimized dependence of future aid
  - recipient orientation and local participation
  - specific targeting of women
  - poverty orientation
  - partnership approach
  - the term "partner" should be defined
4. **Geographical concentration**

The geographical concentration should be maintained.
5. **Future SSE partners**
  - International NGOs
  - Norwegian NGOs and local partners
  - Norwegian, national and local research institutions
  - Declaration of intent of collaboration multi/international NGOs
  -
6. **Cooperation**
  - NGO cooperation should be stimulated at regional and country level
  - NGOs should consider research as an integrated part of the projects  
(See the recommendations from Selengué 1995)
  - Exchange of information and collaboration between the different SSE partners at country level should be stimulated
  - 
  -

## 7. Funding

- 100% project funding
- 5 year contract periods
- Declaration of intent for a 10 year period

## 8. Programme organisation and management.

### The role of MFA

- constitute an administrative structure for the programme
- legitimize and provide institutional backing for the SSE steering unit

### The role of NORAD

- Provide funding for the financing of projects within the SSE Programme
- Develop SSE related information to the general public

### The role of the SSE steering unit

- In order to have a programme, one must establish a responsible steering programme unit. Noragric should be responsible this unit. The mandate of the steering unit should be:
- legitimize and provide institutional backing for the SSE strategy proposed by this workshop
- assure that the programme objectives are maintained
- facilitate communication, cooperation and synergy between the partners within the programme
- establish SSE coordination units in all SSE countries
- 
- 

### The role of the SSE coordination units in the SSE-countries

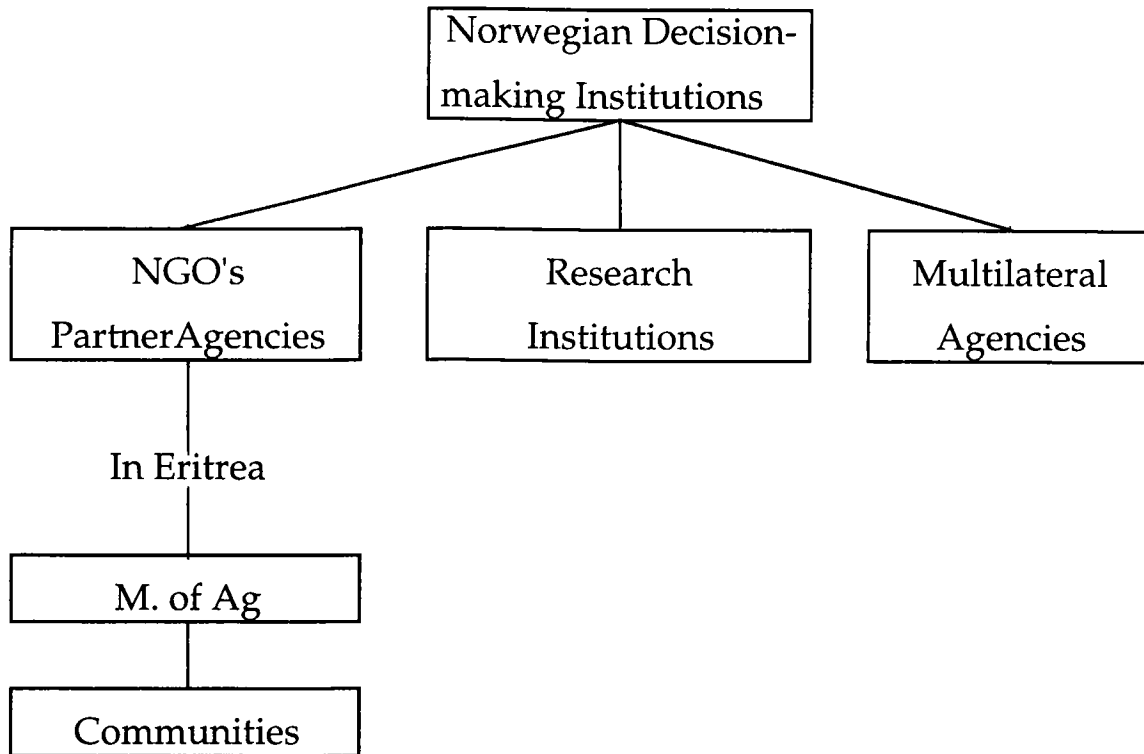
- Facilitate communication, cooperation and synergy between the partners of the programme
- Organise SSE workshops and other common activities at country level
- Maintain an overview over and spread information on SSE project activities
- The NGOs should in turn take the role of coordinator of SSE activities

### The role of NORAGRIC?

### OTHER MOMENTS?

- 
- 
-

## Group III



1.(4) Should read: "Need to develop an..."

2. Should one use "Food security" or "Livelihood security"?

Also: Should strengthening local institutions and local capacity building not be included as an objective.

3.(4) Poverty alleviation.

5. The role of multinational agencies should be limited to research related work.

6. Project correlation should be stimulated.

8. -If a separate SSE unit is created, it should coordinate rather than steer.  
-The major challenge is, however, to improve coordination at country level.

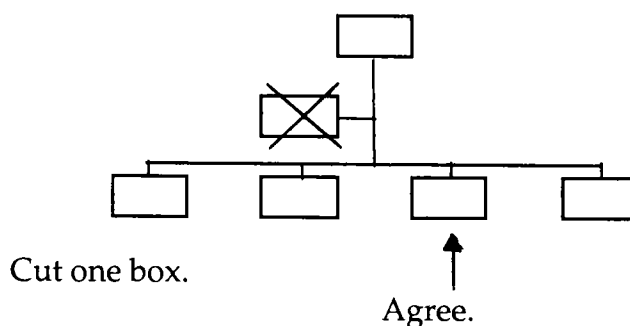
## Group IV

1. SSE-program concept should be maintained because:

- a common strategy is needed for drought prone and environmentally degraded countries, so that lesson learned can be shared.
- complex and long-term objectives.
- need for continuity (of SSE-focus on access, not only availability).
- need to maintain interdisciplinary & multisectoral approach.
- new -livelihood security approach in the region is necessary to reduce need for future emergency food aid.

2. Overall objectives of SSE-program:

OK  
Objectives tree?



3. Programme principles:

- revised -appropriate use of food aid.
- recipient orientation and local participation.
- specific targeting of women.
- discuss -poverty alleviation (absolute poor or the relatively poor).
- partnership approach.
- new -research should be client and household focused.

4. Geographical concentration.

OK in principle. Need for a separate and specific discussion on Sudan.

5. Future SSE-partners.
- NOT multilateral yet. Partnership approach. Place for government/public institution (where relevant).
6. Co-operation.
- co-operation at local, regional, country level (need for list of NGO-experts).
  - research integrated project activities.
  - stimulate information flow (more translation).
  - exchange between partners at country level.
7. Funding.
- 100 %
  - 5 years.
8. Programme organisation and management.
- \*Role of MFA
    - OK
  - \*Role of NORAD
    - legitimise strategy, SSE-objectives, co-operation with partners. Overall responsibility that SSE is implemented.
    - develop SSE-information to public.
    - information to MFA.
    - not "synergy pot" for research.
  - \*Role of steering unit (recipient NGO's, NORAD)
    - loose co-ordination, facilitation body, not controlling body.
    - problem solving.
    - interdisciplinary forum.
    - Otherwise OK.
  - \*Role of SSE-co-ordination unit
    - points OK
  - \*Role of NORAGRIC
    - need for third body: NORAGRIC/NORAD/X?
    - review body for applications.
    - NORAGRIC technical project support.
    - NORAGRIC secretariat to steering committee.
    - further discussion on NORAGRIC's role.
9. Research.
- SSE-research should be client oriented research.



## GROUP V

### Honne declaration.

(Proposal)

1. **Rationale for continuation of the SSE programme:**

- *The initial challenges that necessitated the initiation of the SSE program remain largely unsolved*
- *The complexity of the issues involved demand continuity of the focused objectives based on long term perspectives*
- *The accumulated knowledge and experience acquired through the SSE Programme form a solid base for a continuation of the programme*
- *The geopolitical environment in the form of peace and stability has become much more favourable for development interventions as compared to the inception phase of the programme*
- *A common vision and approach is needed in order to more effectively address the developmental challenges of the drought prone and environmentally degraded areas of Mali, Ethiopia and Eritrea defined as the SSE programme area.*
- - *The need remains to maintain an interdisciplinary and multisectoral approach to solve problems*

2. **The Vision of the SSE programme**

- **Improved livelihood security for vulnerable rural households in the SSE programme areas.**

3. **Overall objectives of SSE programme.**

The main objectives of the food security and sustainable management of natural resources should remain the SSE Programme's main pillar, but there should be a limited opening for the possibility of a stronger emphasis on health, education and potable water relating to food and nutrition security.

- The 4 overall objectives that feed into achieving the vision of the SSE Programme are defined as:

1. **Improved food security for vulnerable households**
2. **Sustainable use and management of the natural resource base**
3. **Liberation of human resources through increased access to community based health, education and potable water.**
4. **Strengthen competence building related to SSE programme at local and regional levels**

3. **Programme principles**

- Impact orientation
- minimized dependence on external food aid to avoid enforcing a dependancy syndrome
- recipient orientation and local participation
- specific targeting of women
- poverty orientation
- partnership approach

- Collaboration leading to synergy effects
- 5. **Future SSE partners**
  - International NGOs
  - Norwegian NGOs and their national partners
  - Research institutions
- 6. **Cooperation**
  - Increased focus on integration of research and NGO cooperation will be stimulated at regional and country levels
  - Information flow, experience exchanges and collaboration between countries will be stimulated
  - Exchange of information and collaboration between the different SSE partners at country level will be stimulated
  - Exchange of experience and results will be facilitated
  - A joint fund for joint projects proposed by NGOs and Research institutions, a so-called synergy pot, will be established.
- 7. **Funding**
  - 100% project funding
    - The SSE Programme should have a designated budget line within NORAD to support and enforce the NGO/research collaboration
  - 3 year contract periods
- 8. **Program organisation and management.**

**The role of MFA.**

- Legitimize and support the SSE programme
- Designate funds to be administered by NORAD

**The role of NORAD**

- Administer funding secured from MFA for the SSE programme.
- Delegate responsibility to NORAGRIC for :
  - a. Professional advice to NORAD in administering the Programme
  - b. Professional advice to NGOs and their partners
  - c. Facilitate collaboration between NGOs and between NGOs and research institutions to enhance synergy effects
  - d. Coordinate and facilitate the functioning of the SSE Steering Unit
- Be accountable for developing SSE related information to the general public

**The role of the SSE steering unit**

- In order to have a program, one must establish a responsible steering program unit. The mandate of the steering unit should be:
  - legitimize and provide institutional backing for the SSE strategy proposed by this workshop

- assure that the program objectives are maintained
- facilitate communication, cooperation and synergy between the partners within the program
- establish SSE coordination units in all SSE countries

The role of the SSE coordination units in the SSE-countries

- Facilitate communication, cooperation and synergy between the partners of the programme
- Organise SSE workshops and other common activities at the country level
- Maintain an overview over and spread information on SSE project activities

The role of NORAGRIC?

- a. Professional advice to NORAD in administering the Programme
- b. Professional advice to NGOs and their partners
- c. Facilitate collaboration between NGOs and between NGOs and research institutions to enhance synergy effects
- d. Coordinate and facilitate the functioning of the SSE Steering Unit

- 
-

- 6. Professional sessions. LFA and indicators
- 6.1 Documents on livelihood security, LFA and use of indicators
- 6.1.1 Backup material for presentation on food security - experience and new strategy

**Measuring Household Livelihood Security:  
An Approach for Reducing Absolute Poverty**

by

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CARE-USA

March 29, 1996

## **I. Introduction**

Large scale poverty persists in the world today due to a number of interrelated economic, political, social, and environmental change processes taking place within developing countries and globally. Economic crises experienced in the last two decades have forced many developing countries to make cutbacks in social services, weakening the ability of governments to provide social safety nets for their poor populations. Job creation has not kept pace with population growth, and inequalities in the distribution of income, resources and opportunities have increased. Political changes in the 1980s and 1990s have resulted in instability and military insecurity, contributing to increased global poverty. Complex emergencies having both political and natural dimensions are on the rise, such that 59 million people have been directly affected. In addition, population growth rates have outstripped the environmental carrying capacity in most parts of the world, leading to tremendous environmental degradation. This is manifested in the destruction of tropical forests, the loss of biodiversity, and water and air pollution. These environmental pressures have also increased the intensity and frequency of natural disasters. Finally, the HIV/AIDS pandemic has reached crisis proportion in the developing world. By the Year 2000, 90% of the infections (estimated to be over 90 million cases) will be in the developing world.

As a result of these interrelated factors, poor peoples' basic livelihoods are being threatened the world over, especially in South Asia and Africa. In 1992, 1.3 billion people (more than 20% of the world's population) lived in absolute poverty, and were not able to meet their basic needs in terms of access to adequate food, clean water, shelter, education, and basic health care. Nearly two-thirds of these people live in South Asia or Africa. By the year 2010, the numbers in absolute poverty in the world could reach 1.8 billion.

To help the poor maintain or achieve secure livelihoods in order to meet their basic needs, CARE must take into account the broader socio-economic context of poverty. This involves addressing the various obstacles confronting households such as poor access to resources and social services, limited employment opportunities, political instability, unchecked population growth and environmental degradation. To address these multifaceted and interrelated problems, CARE's program vision and strategy will need to be comprehensive yet flexible in

order to address context specific constraints. Program initiatives will also have to span the relief-development continuum since livelihood systems are not static and are constantly threatened by natural disasters and complex emergencies.

Recent steps have been taken to develop a new vision and program strategy that will help CARE address the array of problems facing poor households. The central focus of this vision is household livelihood security as an organizing principle or integrating framework for CARE's work across the relief-development continuum. This approach does not call for a resurrection of integrated rural development, but rather gives emphasis to the development of strong sector-specific programs that are linked synergistically in a shared framework.

The advantages of using a common framework include: 1) the various sectors can share resources in conducting joint assessments and baselines, and measuring program impact; 2) intervention priorities can be established cross-sectorally depending upon the major constraints facing households; and 3) sector-specific programs can be targeted to the same regions to obtain a multiplier effect on the beneficiary population.

This paper begins with a review of literature on poverty, and discusses why a basic needs approach to absolute poverty is an appropriate poverty alleviation strategy for CARE to pursue. Next it defines household livelihood security, and summarizes the types of interventions that are used along the relief-to-development continuum. Third, it discusses a phased process for implementing a household livelihood security program. Finally, the paper summarizes how household livelihood security impacts will be measured.

## **II. Measuring Poverty**

### **A. Conventional Income Approaches to Poverty**

Poverty is a complex phenomenon making the development of effective strategies for poverty alleviation a very difficult task. This is because the roots of poverty are multiple, and may result from war, over-population, epidemics, lack of skills and education, etc. Because of this complexity, the term "poverty" has different meanings for different people (Baulch, 1996). These different perceptions manifest themselves in the debates about poverty measurement and the strategies adhered to for poverty alleviation.

Conventional approaches for poverty alleviation developed by economists define poverty primarily in financial terms, that is, the availability of income per capita. These economic approaches use estimates of income or consumption expenditure levels that are required to meet the minimum food energy needs per capita to construct summary measures of the extent of absolute poverty in the population.

The problem with these conventional income/consumption approaches is that they primarily view poverty from a "means" perspective; giving greater concern to the adequacy of resources at the disposal of the poor rather than the outcomes of the deprivation. Differing

cultural, political and social norms can constrain the extent to which different sub-populations of the poor are able to convert rises in income into improvements in individual well-being (Baulch 1996). An "ends" perspective is also needed to determine the extent to which basic needs are not met.

## **B. A Basic Needs Approach to Poverty**

Conceptualizing poverty as an inseparable relationship between means and ends, the following definition of absolute poverty provided by Gross et.al., 1995 is appropriate:

- **Absolute poverty exists when individuals or groups are not able to satisfy their basic needs adequately.**

Needs are basic if they must be satisfied in order to secure the physical development of the individual according to their genetic potential (Gross et. al., 1995). Basic needs consist of food, health services, favorable environmental conditions (potable water, shelter), primary education, and community participation. Inadequate access to any of these related essential resources means absolute poverty.

Making these essential resources available does not mean that households or individuals can access them. Households may lack the finances, skills, time or social position that enables them to obtain the essential resources necessary to meet their basic needs. Thus, poverty alleviation measures must not only focus on making essential social services available, but also the means to secure them.

A households' or individual's social position in a community or society also has a determining affect on their access to essential resources. Differences in gender, cultural values, ethnic or religious affiliation can contribute to unequal expenditures and chances of accessibility to resources (Gross et. al., 1995). To address these social status differences, a comprehensive empowerment approach is needed that focuses on educational opportunities, community mobilization, and political advocacy.

To summarize, absolute poverty has three dimensions: 1) the availability of essential resources to meet basic needs; 2) the financial and other means of households and individuals to access these essential resources; and 3) the physical, social and cultural status and position of households and individuals that influences their access. The degree of absolute poverty is the collective gap between the availability of the essential resources and the households ability to meet basic needs (Gross et. al., 1995) (See figure 1). An effective poverty alleviation strategy must address all three dimensions.

## **C. Optimization Problems Facing Households in Meeting Basic Needs**

When the availability of essential resources for meeting basic needs are not readily available, and a household's means are limited, households may be forced to make difficult trade-offs

in the satisfaction of different needs. For example, spending income for primary education which is located a considerable distance from the village may limit the resources available to a household for spending on health services. Similarly, if resources for education were saved from reduced food expenditure, hunger may hamper the success of the education program. In addition, people with sufficient social status in a community may have easier access to opportunities to meeting basic needs than households with relatively low status. The cost of meeting basic needs would be higher for these poorer households. Thus, when calculating the minimum income required for meeting basic needs, it is important to take into account these differences in the availability of essential resources and means .

Governments also face optimization problems in the allocation of scarce resources. When funds are limited and the government is organized vertically into strong sector lines, intervention efforts may focus on the development of selected resources only (Gross et. al., 1995). For example, the development of primary education may compete with the restoration of basic health services. Thus isolated goals may become counterproductive for balanced overall development.

Balanced approaches to poverty alleviation must address the means and ends simultaneously. To do this effectively, a conceptual framework is required that will enable development practitioners to take all of the dimensions of poverty into account in diagnosis, problem analysis, and intervention selection. The household livelihood security approach provides such a framework.

### III. Household Livelihood Security: A Conceptual Framework

#### A. A Definition of Household Livelihood Security

Household livelihood security is defined, in general terms, as adequate and sustainable access to income and other resources to enable households to meet basic needs (including adequate access to food, potable water, health facilities, educational opportunities, housing, time for community participation and social integration, etc.). (See figure 2). More specifically, livelihoods can be seen to consist of a range of on-farm and off-farm activities which together provide a variety of procurement strategies for food and cash. Thus, each household can have several possible sources of entitlement which constitute its livelihood. These entitlements are based on a household's endowments, and its position in the legal, political, and social fabric of society (Drinkwater and McEwan 1992). The risk of livelihood failure determines the level of vulnerability of a household to income, food, health and nutritional insecurity. The greater the share of resources devoted to food and health services acquisition, the higher the vulnerability of the household to food and nutrition insecurity. Therefore, livelihoods are secure when households have secure ownership of, or access to, resources and income earning activities, including reserves and assets, to off-set risks, ease shocks, and meet contingencies (Chambers 1988).

A livelihood is sustainable, according to Chambers and Conway (1992), when it "can cope with and recover from the stress and shocks, maintain its capability and assets, and provide sustainable livelihood opportunities for the next generation..." (Frankenberger 1992). Sustainable refers to the maintenance or enhancement of resource productivity on a long-term basis (Chambers 1988:1). Unfortunately, not all households are equal in their ability to cope with stresses and shocks. Poor people balance competing needs for asset preservation, income generation, and present and future food supplies in complex ways (Maxwell et al. 1992). People may go hungry up to a point to meet another objective. For example, de Waal (1989) found during the 1984-85 famine in Darfur, Sudan that people chose to go hungry to preserve their assets and future livelihoods. People will tolerate a considerable degree of hunger to preserve seed for planting, cultivate their own fields, or avoid selling animals. Similarly, Corbett (1988) found that in the sequential ordering of behavioral responses employed in periods of stress in a number of African and Asian countries, preservation of assets takes priority over meeting immediate food needs until the point of destitution.

Thus, food and nutritional security are subsets of livelihood security; food needs are not necessarily more important than other basic needs or aspects of subsistence and survival within households (See figure 3). Food insecure households juggle among a range of requirements, including immediate consumption and future capacity to produce.

Livelihood systems in many areas of the world are likely to become more structurally vulnerable due to one or a combination of the following factors: 1) increasing population growth out-stripping the carrying capacity of local resources; 2) recurrent droughts; 3) loss of economic opportunities during transitional periods of market liberalization (e.g., structural adjustment measures); and 4) complex emergencies where political instability has increased. In addition, the HIV/AIDS pandemic has taken its toll on the productive members of poor households. A number of communities are experiencing a progressive erosion of their basis of subsistence, leading to the further degradation of their natural resource base to compensate for these shortfalls. Community level buffers against periodic income and food shortages are beginning to disappear. At the same time, the allocation of government resources to social services, food transfers and agricultural development have been significantly affected both by structural adjustment measures and by resource allocation to emergency or drought relief operations. As a result, livelihood systems in many parts of the world are becoming less sustainable through time.

## **B. The Relief-Development Continuum**

CARE recognizes that poor households are not static in their ability to make a living. A range of intervention options need to be made available for the various circumstances that face poor populations. To enhance the livelihood security of vulnerable populations found at different levels, a three pronged approach can be used. This livelihood systems approach is based on the notion that relief, rehabilitation/mitigation and development interventions are a continuum of related activities, not separate and discrete initiatives (See figure 4). Household



food, nutrition and income security can be enhanced by one or a combination of the following three intervention strategies.

**Livelihood Promotion**-involves improving the resilience of household livelihoods to meet food and other basic needs on a sustainable basis (development). Interventions of this type often aim to reduce the structural vulnerability of livelihood systems by focusing on: 1) improving production to stabilize yields through diversification into agro-ecologically appropriate crops, and through soil and water conservation measures ( agriculture and natural resource-type measures); 2) creating alternative income generating activities (small economic activity development-type interventions); 3) reinforcing coping strategies that are economically and environmentally sustainable (e.g., seasonally appropriate off-farm employment); 3) improving on-farm storage capacity to increase the availability of buffer stocks; and 4) improving common property management through community participation. Promotion-type interventions could also deal with meso-level development, where the linkages between food surplus areas and food deficit areas could be strengthened through investment in regional infrastructure and market organization. Such interventions could help improve the terms-of-trade for the poor by improving local access to income, food availability and lowering food prices. In addition, livelihood promotion activities could focus on preventive measures that improve the health and sanitation conditions and the population/resource balance to insure that any income and production gains are not lost to disease and unchecked population growth.

**Livelihood Protection**-involves protecting household livelihood systems to prevent an erosion of productive assets or to assist in their recovery (rehabilitation/mitigation). These types of interventions entail timely food and income transfers that can reduce long-term vulnerabilities resulting from the forced selling of productive assets to meet immediate food and other needs. The negative impacts of livelihood insecurity can be reduced by: 1) timely detection of where livelihood and food insecurity are likely to occur; and 2) establishing contingency plans that can be implemented in a timely fashion before a significant erosion of household assets occurs and other erosive coping strategies are activated. The capacity to detect changes in livelihood and food insecurity at an early stage and to respond in a timely fashion could considerably reduce the costs of dealing with a full blown emergency. Protection-type interventions include infrastructural improvements or soil and water conservation measures carried out through food or cash for-work or some other means, to enhance the longer-term viability and resilience of the communities. Child survival and other timely health interventions that prevent the population from becoming more vulnerable to disease and malnutrition would also fall under this type of intervention approach. Recovery measures such as infrastructure repair and rehabilitation, distribution of seeds and tools, reforestation, and repair of water sites are also included in this intervention set. The types of interventions pursued would be selected and implemented by the communities themselves.

**Livelihood Provisioning**-involves providing food and meeting other essential needs for households to maintain nutritional levels and save lives. These types of interventions usually entail food and health relief for people in an emergency or people who are chronically vulnerable. Chronic vulnerability is usually long-term in nature. Targeted food and health relief is critical and should be combined with promotion interventions, where possible, to phase out the food transfers. In relief situations where people have been displaced from their homes (refugees and internally displaced populations) promotion interventions will be limited to those that can be brought to the camps (e.g., health and nutrition education and family planning initiatives). Community focused interventions may be necessary for chronically vulnerable populations (e.g., MCH programs) to allow for the provisioning activities to be taken over by the community on a sustainable basis.

This three-pronged approach should be seen as a whole rather than as separate parts, since the ultimate goal of any development intervention is to promote sustainable livelihood systems in targeted areas. This has often not been the case with most development agencies which view relief activities as distinct from development. Especially in emergency situations, provisioning of relief food and health measures has tended to be seen as an end in itself, rather than as part of a continuum oriented towards securing beneficiaries' livelihoods.

To help households meet their basic needs, three types of interventions will be given emphasis. These are: 1) interventions focusing on expanding the income and resource base of the poor (means); 2) interventions focused on empowering households and communities to improve their access to services through expanded educational opportunities, community mobilization, and political advocacy; and 3) interventions focusing on expanding the access of poor households to basic services. In addition to these micro-focused interventions, Country Offices and CARE Headquarters will give increasing attention to the role of advocacy and broader development initiatives in improving the opportunities of households in meeting their basic needs.

It is important to note that households are considered one unit of analysis, and impact will be measured at this level. However, households are not necessarily the only unit of analysis, level of impact or intervention. Thus, improvements in household livelihood security can be brought about by interventions operating at various levels--at the household or community level through improved access to income, resources or services; at the regional level through improved access to markets, employment and services; at the national level through improved policy changes that affect the poor; and at the international level through improved policy changes of donor governments. The utility of the household livelihood security concept is that basic needs can be met through improving the immediate conditions for participants and their families, strengthening community organizations and local support networks, and/or influencing public policies, practices and attitudes to confront the causes of poverty rather than merely alleviating the symptoms.

Household livelihood security, by definition, incorporates sustainability as an essential element. Of the many potential aspects of sustainability, CARE will accord highest priority

to the following three: 1) greater focus on partnerships, institution-building, and other forms of capacity building; 2) sound natural resource management and concern for the protection of the environment; and 3) more explicit focus on issues of social equity, including gender equity.

#### **IV. A Phased Approach to Household Livelihood Security Interventions**

To effectively implement a household livelihood security approach, the following steps are proposed.

- 1) The first activity involves identifying potential regions for program targeting (geographical targeting) by utilizing existing secondary data to identify areas where absolute poverty is concentrated.
- 2) The second phase involves identifying the various vulnerable groups in the area and the major livelihood constraints they face. This information would be collected through a cross-sectoral rapid livelihood security assessment. During this phase, decisions are made on which target groups will be focused on, what set of interventions are most appropriate for enhancing livelihood security, and the minimal data set to be collected in a baseline.
- 3) The third phase involves collecting a baseline and identifying a set of indicators that will be monitored and evaluated for measuring impact.
- 4) The fourth phase involves selecting the set of communities for program interventions. These communities should be chosen in such a way that they have similar characteristics to a larger group of communities in order to maximize the multiplier effect of successful interventions.

By using such an approach to targeting and design, the opportunity for cross-sectoral synergy and integration can be enhanced. Instead of having an incremental or single-sector approach that results in widely dispersed project sites, areas of concentration can be chosen for coordinated sectoral programming to achieve a multiplier effect on the beneficiary population. Even in regions where CARE sectors are not jointly operating, coordinated programming can be pursued with other institutions such as other NGOs or government agencies. The main objective is to enhance the livelihood security of the local population through coordinated programming.

#### **V. Measuring Household Livelihood Security Impact**

Indicators used in a household livelihood security approach to poverty alleviation must serve a variety of purposes. They are used for identifying poor populations; measuring the magnitude and severity of poverty; providing information on the specific causes, nature and effects of poverty; serving as criteria for the selection of certain households or individuals to

include in project activities; and to give valid and reliable information on the success or failure of poverty alleviation efforts. One indicator alone cannot provide all of the required information. Thus in selecting the indicator to use, it is important to know what the purpose of the indicator is, the decision that will be based on the use of the indicator, the level of specificity required, and how quickly the information is needed.

In designing monitoring and evaluation systems using a livelihood security perspective, indicators will need to be identified at three levels. The first two levels will be project and site specific, while the third level will apply across projects. The first level will consist of indicators that measure project delivery and output. These indicators measure the results of project activities (e.g. goods and services), and are usually quantified and have timeframes. The second level consists of indicators that measure the effect of the project (e.g. intermediate goal level). These are changes in knowledge, attitudes or practices that result from the use of goods and services provided by the project. The third level will consist of indicators that measure impact, or the fundamental change in human conditions or "well being". This is the final goal level for most CARE projects (See figure 5).

#### **A. Potential Conditional Level Indicators**

##### **1) Nutritional Security as an Overall Measure of Well-Being**

If absolute poverty is to be defined as a condition in which basic needs of human beings are not met, anthropometric data from pre-school children (the most vulnerable part of the population) should be used as the key indicator for measuring poverty outcomes (Gross et al., 1995). This is because anthropometric indices represent the cumulative effect of access to food, access to health services, environmental health conditions and education. The height-for-age index of children 6 months to 5 years is recommended as the key indicator because it represents long-term deprivation. This index can only be used for a classification of a population. Portions of the population that fall 2 standard deviations below the reference population are at high risk, and should be classified as being below the absolute poverty line.

In terms of short-term nutritional monitoring, especially under emergency conditions, weight-for-age and weight-for-height may also be used for targeting and monitoring purposes. Weight-for-height is the preferred measure for emergency situations because it is sensitive to short-term changes in nutritional status. Weight-for-age does not discriminate between long- and short-term changes in nutritional status.

Although height-for-age is a good measure of poverty outcomes, it does not reveal the causes for poverty. For this reason this measure is suitable for identifying poor populations, the magnitude of absolute poverty, and measuring changes in malnutrition. Another set of indicators is required to analyze the causes of absolute poverty.

## 2) Indicators that Reflect the Causes of Absolute Poverty

Other indicators that can be used for measuring improvements in well-being are directly tied to the specific basic needs and the means to obtain them. These can be grouped into indices that reflect health security, food security, educational security and economic security. Although these indices are still being formulated, the following indicators are possible candidates.

- a) **Health Security**-Four sets of indicators might be compiled under this index. These could include health service access (measured in distance or time); health service use patterns (immunization, MCH referral for ORT and ARI); environmental health (access to sufficient quantities of potable water, access to latrines, maintenance of facilities); and birth spacing (% under 24 months).
- b) **Food Security**-Three sets of indicators could be compiled under this index. These include a food security index (frequency and severity of coping strategies); dietary intake to get at changes in quantity and quality of food consumed (24 hour recall); and % change in self-provisioning point (a change in the proportion of household consumption that is met by household production).
- c) **Educational Security**-The indicators that might be used in this index could include literacy rate (disaggregated by gender); % of children under 16 years of age completing the 4th level (disaggregated by gender); and % of wastage (drop and repetition) (disaggregated by gender).
- d) **Economic Security**-The types of indicators that could be considered for this index might include access to assets; diversity and importance of income sources; productivity per unit of land; per capita household food expenditure; change in the number of retail businesses in the target area; % of eligible children in school; and % of loans given directly to women.

The same set of indicators can be used across projects because conditional changes can be brought about by improved availability of services or improved access to income and resources. By measuring these well-being or livelihood security indicators across projects, we can monitor program impact. If improvements occur at the outcome and effect level but are not recorded at the conditional level, then additional interventions may be required to address the constraints overlooked the existing projects. These interventions can be either at the micro or macro level.

It is unrealistic to expect all field offices to be able to move on measurement of household livelihood security impact at equal speed given the variation that exists in data collection, staff skills and geographic spread of projects. A more realistic expectation is to establish the process for measuring impact and begin to implement this strategy over the next three years.

Finally, in the promotion of good household livelihood security monitoring systems, it is important to give equal emphasis to both qualitative and quantitative measures. As CARE strives strengthen its quantitative skills, it is important to recognize that qualitative measures help interpret the quantitative information through the identification of trends and disruptive events. Thus both types of skills need to be embedded in CARE's country offices.

## VI. Summary

Absolute poverty must be viewed both from a means and ends perspective; poor people lack adequate resources and suffer from the consequences of deprivation. Absolute poverty exists when households are not able to satisfy their basic needs adequately. The three dimensions of absolute poverty that must be addressed in any poverty alleviation strategy include: 1) the availability of essential resources to meet basic needs; 2) the financial and other means of households used to meet needs; and 3) the social and cultural status and position of households in the community that influences their access to needs. The degree of poverty is the collective gap between the availability of the essential resources and the households ability to meet their basic needs.

Balanced approaches to poverty alleviation must address the means and ends simultaneously. The household livelihood security approach being developed by CARE provides a conceptual framework that will enable development practitioners to take all of the dimensions of poverty into account in diagnosis, problem analysis, and intervention selection.

To determine whether CARE programs have been effective in reducing absolute poverty, a number of indices will be used to measure fundamental changes in human conditions or well-being. Nutritional security is considered the best measure of poverty outcomes because it represents the cumulative effect of access to food, access to health services, environmental health conditions and education. The height for age index of children 6 months to 5 years is recommended as the key indicator because it represents long-term deprivation. However, nutritional status reveals little about the causes of absolute poverty. Another set of indicators is required that is more directly tied to the specific needs and the means to meet them. These conditional change indices include measures of health security, food security, educational security, and economic security. The same set of indicators can be used across projects because conditional changes can be brought about by improved availability of services or improved access to income and resources. By measuring these well-being or livelihood security indicators across projects, we can monitor program impact.

Figure 1

# Components of Livelihood Security

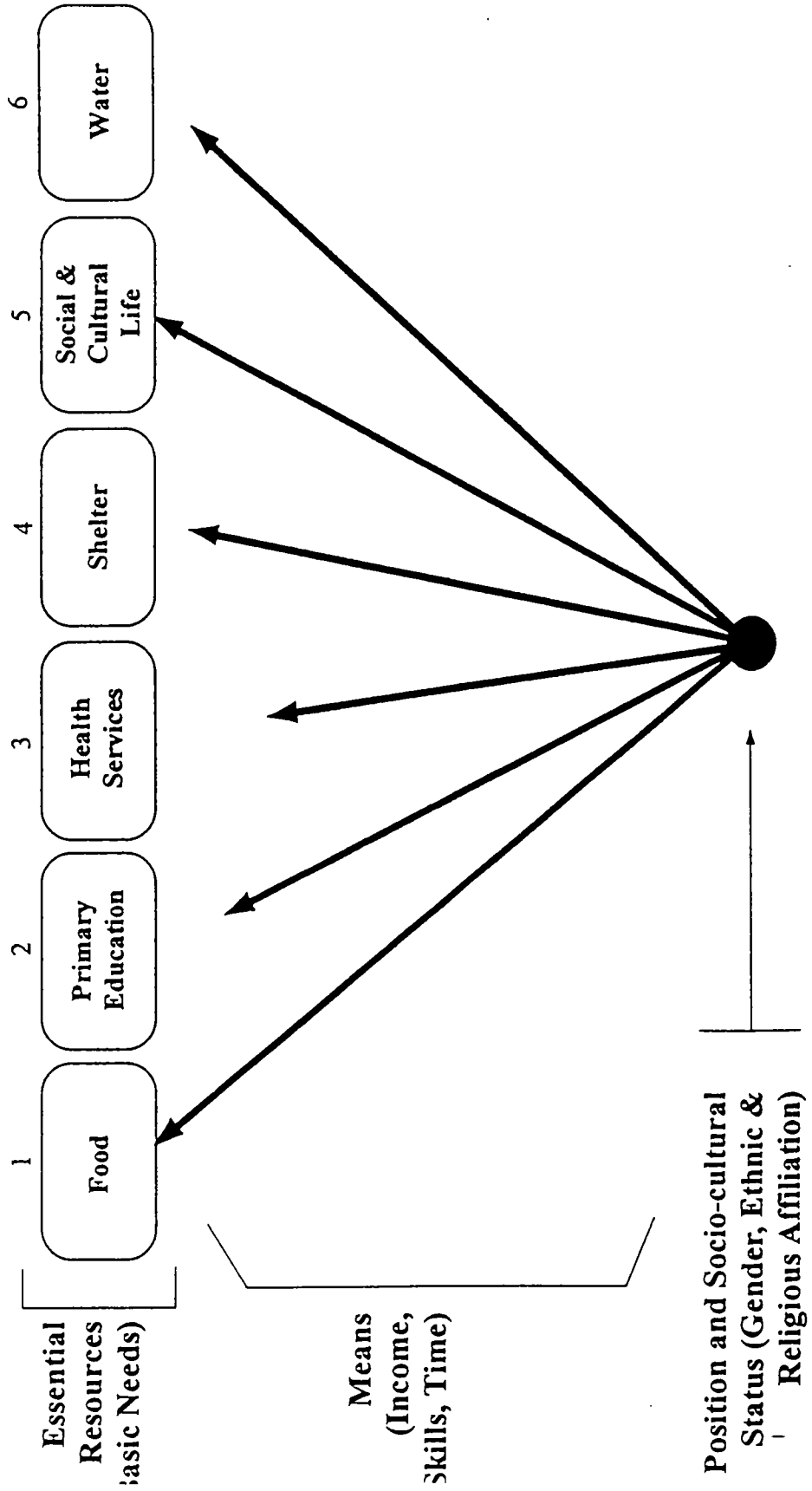


Figure 2

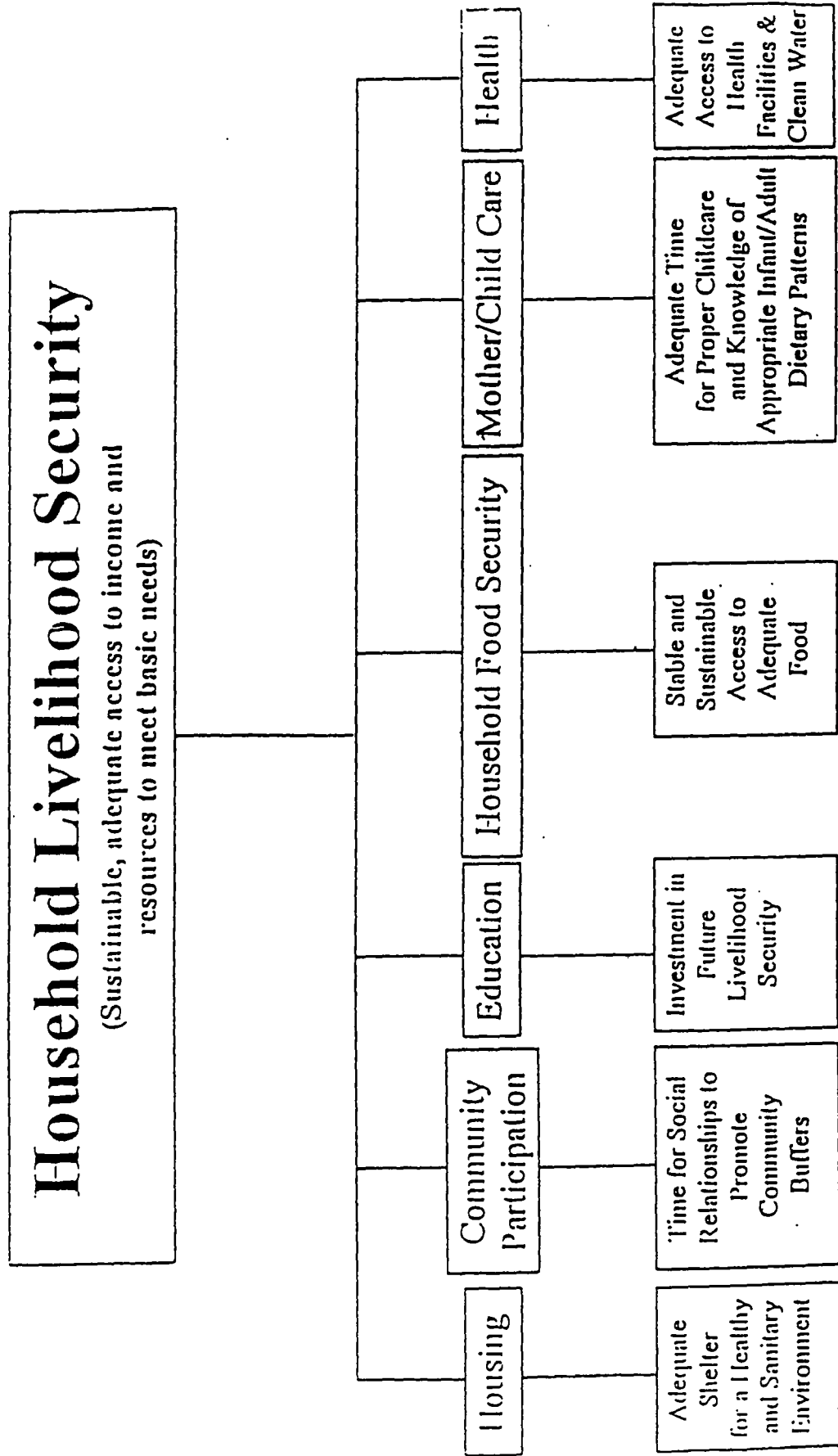




FIGURE 3

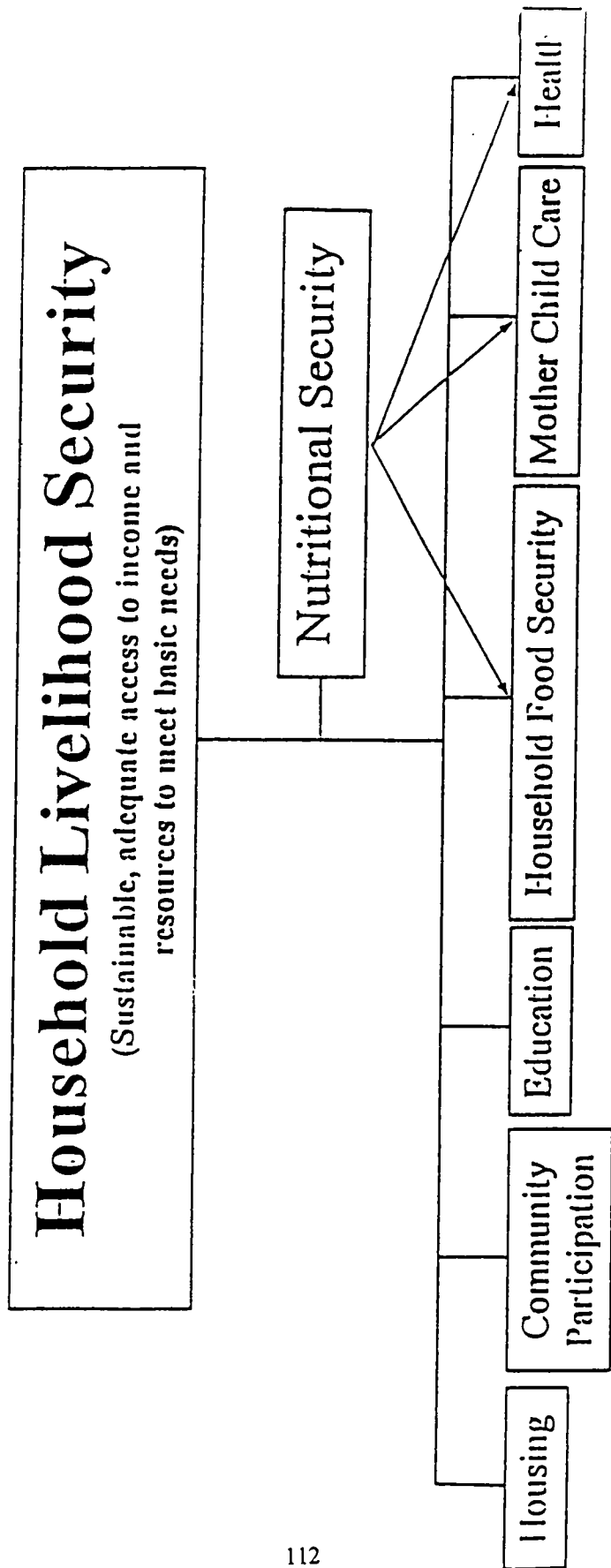


FIGURE 4

# LIVELIHOOD FRAMEWORK

Short  
Term

Long  
Term



Relief

Rehab/Mitigation

Development

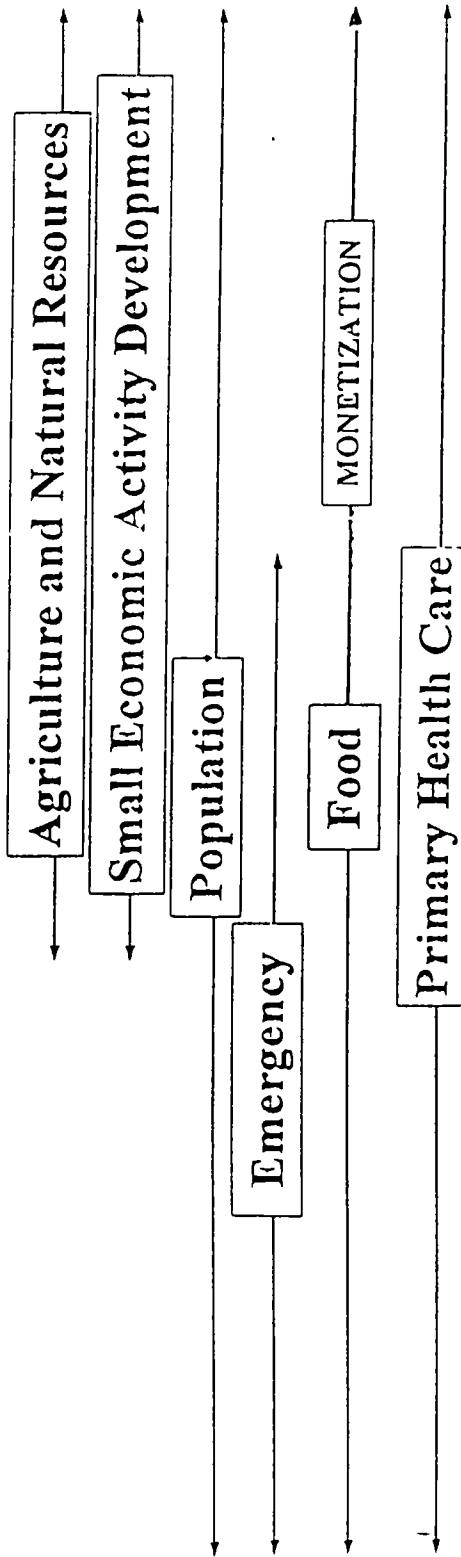
## LIVELIHOOD INTERVENTIONS

Livelihood Provisioning  
(Food & Health Aid)

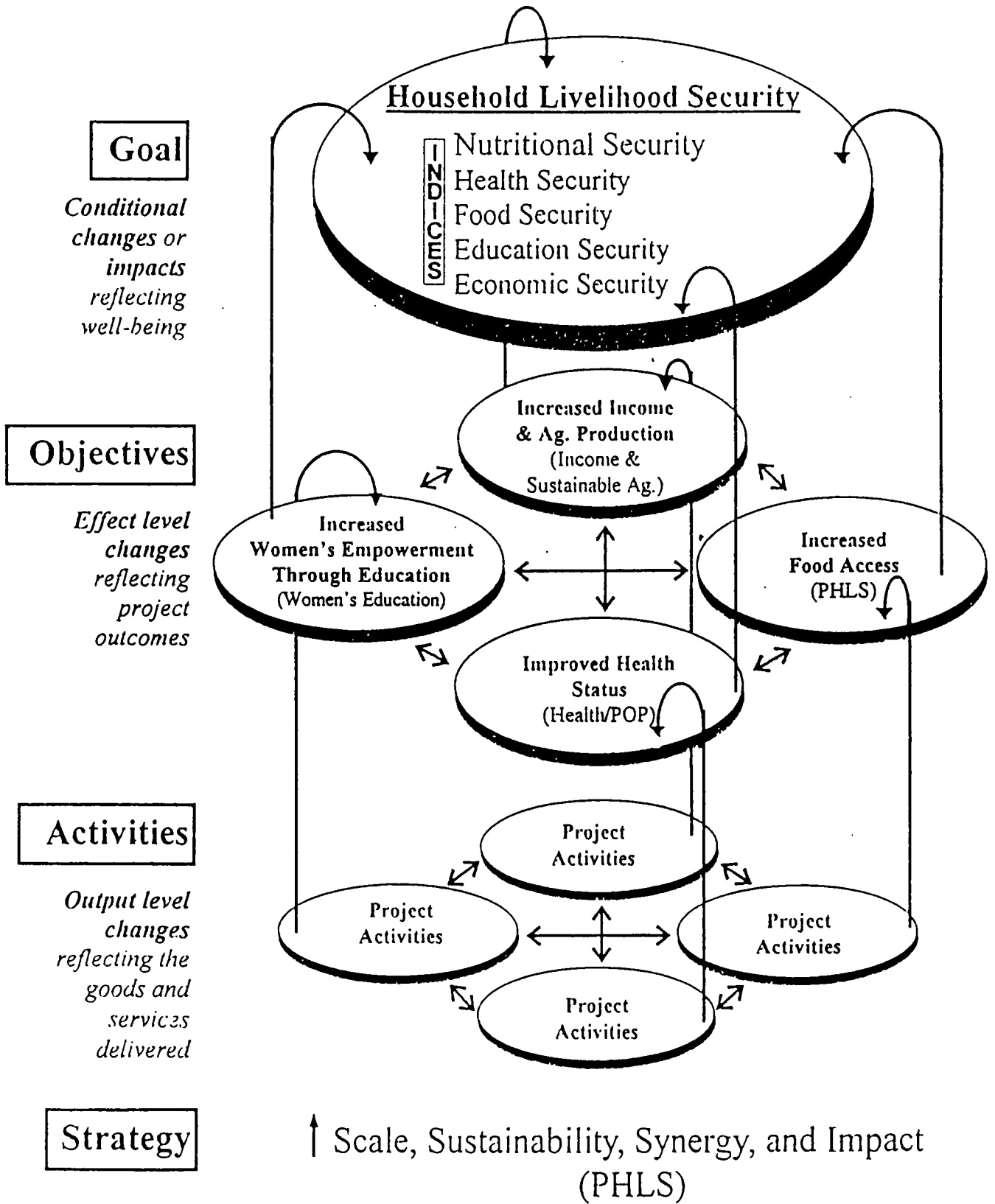
Livelihood Protection/  
Recovery

Livelihood Promotion  
(Sustainable Development)

## PROGRAM FOCUS



# Household Livelihood Security Framework



# ***Program Measurement: Impact Household Livelihood Security Indices\****

*(Potential Set of Indices)*

## **Key index for measuring poverty outcome**

### **Nutritional Security Index**

Children: Height for Age (6 months-5 years)

## **Indices Required to Analyze Causes of Absolute Poverty**

### **Health Security Indices**

Health service access (distance and time)

Health service use patterns (immunization, MCH  
referral for ORT and ARI)

Health environment (access to potable water & latrines, maintenance)

Birth spacing (% under 24 months)

### **Food Security Indices**

Food security index (Frequency and severity of coping strategies)

Dietary intake

Percent change in self-provisioning point

### **Educational Security Indices**

Literacy Rate

Percent of children under 16 yrs of age completing the 4th level

Percentage of wastage (Drop and repetition)

### **Economic Security Indices**

Access to assets

Diversity and importance of income sources

Productivity per unit of land

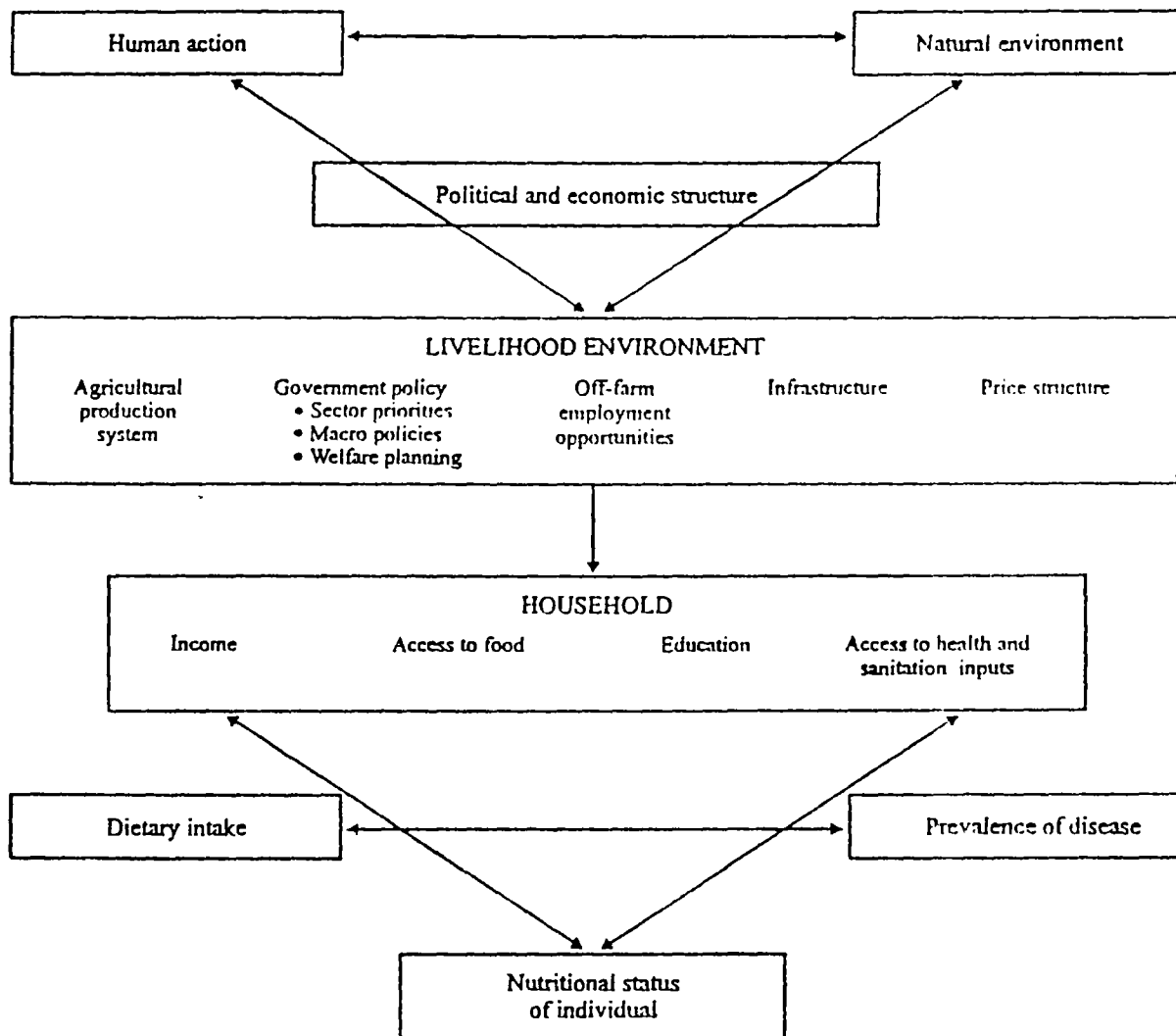
Change in # of retail businesses in the target area

Percentage of eligible children in school

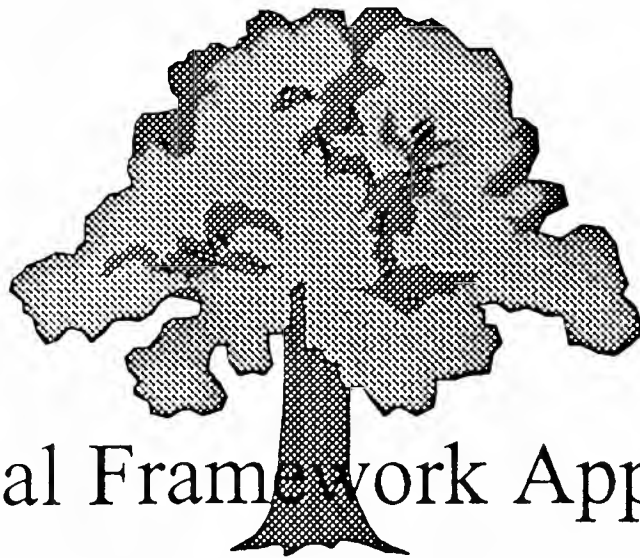
Percent of loans given directly to women

\*All of these indices are disaggregated by gender if not already specified.

Figure —Factors linking environment and human nutrition



6.1.2 Logical Framework Approach  
Introduction to LFA planning method



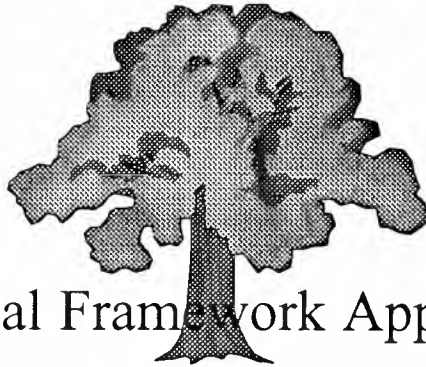
# Logical Framework Approach

Introduction to LFA planning method

SSE seminar

Honne September 2-6, 1996

*Best Beslutningsstøtte AS*



# Logical Framework Approach

Introduction to LFA planning method

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Best Beslutingsstalle AS

## Why bother about planning?

- You harvest what you sow!
- Proper planning is the first key to success!
- If you fail to plan, you plan to fail
- If you aim at nothing, you're sure to hit it!



# Goals

“Please tell me which direction to go to get away from here”, Alice said  
“It depends where you would like to go!”, the cat said  
“It doesn’t really matter!”, Alice replied  
“Then it doesn’t really matter which direction you go either”, the cat said  
“If I just get somewhere”, Alice added to explain  
“Oh, you’ll sure get there!”, the cat said. “If you walk far enough!”

*Lewis Carroll: Alice in wonderland*

“He jumped on the horse and rode off like mad, -  
in all directions”

*From an essay, written by a young student*

## Goals continued

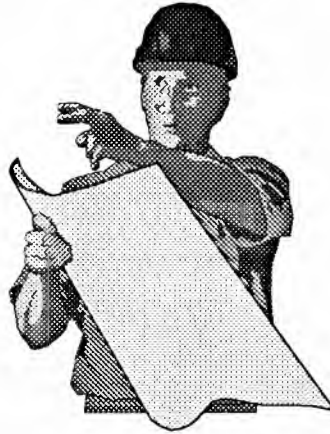


- Organize seminar
- Provide LFA training to 50 people
- Project leaders start using better planning tools
- Improved project output because of better planning
- Reach overall objectives through ...



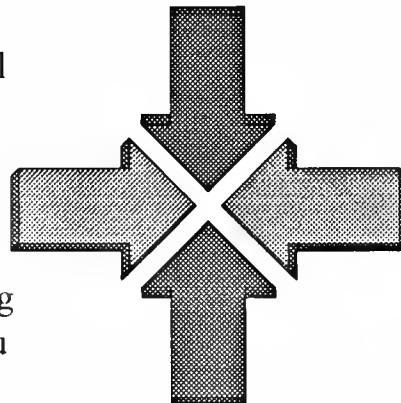
## Steering! 3 principles

- The IJH-principle  
(It Just Happened)
- The Budget principle  
(Keep the budget)
- The Steering principle  
(Reach your goals by  
using your assets)
- To go for alternative  
3, you need a plan!

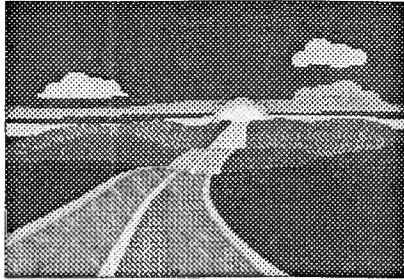


## Planning methods

- A planning method is a  
tool, not a goal
- A planning method shall  
help you work out a  
project plan  
(objectives, strategy,  
activities, budget,...)
- There are many planning  
methods: Make sure you  
use one that gives what  
you need!



# Logical Framework Approach

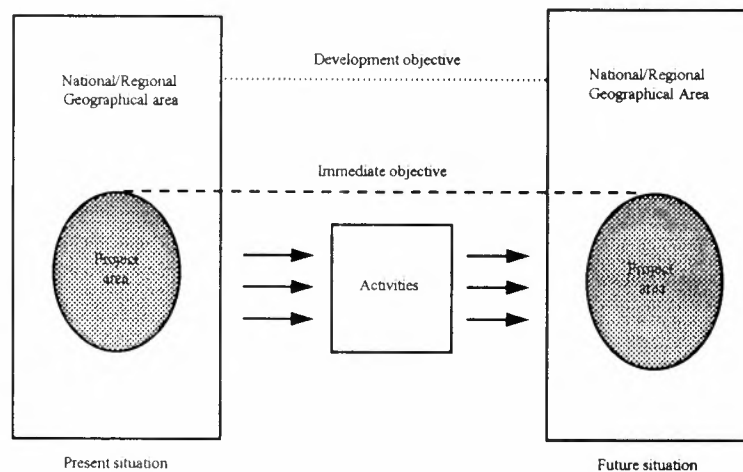


- An analytical tool for objective-oriented project planning and management
  - Objective oriented
  - Target group oriented
  - Participatory

## Using LFA helps:

- Identify and integrate involved groups/persons
- Clarify purpose (Why have this project?)
- Identify information needs (Do we know what we need to know to do proper planning?)
- Clearly define key elements of a project
- Analyze the project setting at an early stage
- Identify how to measure success/failure
- Facilitate communication between all parties involved

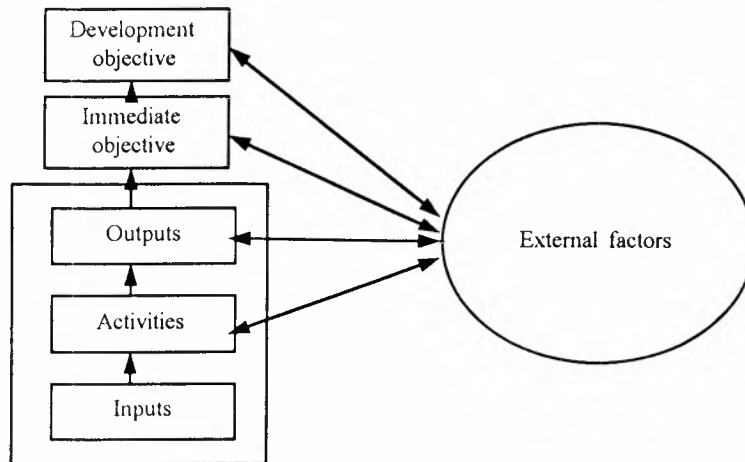
## Defining the LFA concepts



## Important definitions

- **Development objective:** The main overall objective that the project is meant to contribute to in the long run, and which explains the reason why the project is implemented
- **Immediate objective:** The immediate reason for a project. The effect which the project is expected to achieve if completed successfully and on time
- **Output:** The results that can be guaranteed by the project as a consequence of its activities
- **Input:** The funds, personnel, materials etc..... of a project which are necessary to produce the intend output
- **Activity:** Action taken or work performed within a project in order to transform inputs into outputs
- **Indicator:** An indicator defines the performance standard to be reached in order to achieve an objective
- **External factor:** Event, condition or decision which is necessary for project success, but which are largely or completely beyond the control of the project management

## Basic elements and thinking



## The Project Matrix (PM)

<p><b>Development objective:</b> The higher level objective towards which the project is expected to contribute (Mention target groups)</p>	<p><b>Indicators:</b> Measures (direct or indirect) to verify to what extent the development objective is fulfilled</p>	<p><b>External factors:</b> Important events, conditions or decisions necessary for sustaining objectives in the long run</p>
<p><b>Immediate objective:</b> The effect which is expected to be achieved as the result of the project (Mention target groups)</p>	<p><b>Indicators:</b> Measures (direct or indirect) to verify to what extent the immediate objective is fulfilled</p>	<p><b>External factors:</b> Important events, conditions or decisions outside the control of the project which must prevail for the development objective to be attained</p>
<p><b>Outputs:</b> The results that the project management should be able to guarantee (Mention target groups)</p>	<p><b>Indicators:</b> Measures (direct or indirect) to verify to what extent the outputs are produced</p>	<p><b>External factors:</b> Important events, conditions or decisions outside the control of the project management, necessary for the achievement of the immediate objective</p>
<p><b>Activities:</b> The activities that have to be undertaken by the project in order to produce the outputs</p>	<p><b>Inputs:</b> Goods and services necessary to undertake the activities</p>	<p><b>External factors:</b> Important events, conditions or decisions outside the control of the project management, necessary for the production of the outputs</p>

## LFA step by step

- **Analyzing the situation**
  1. Participation analysis
  2. Problem analysis
  3. Objective analysis
  4. Alternatives analysis (strategy)
- **Designing the project**
  5. Project elements (PM)
  6. External factors (PM)
  7. Indicators (PM)

## Participation Analysis



- Identify all parties involved
  1. Write down all persons, groups and institutions involved
  2. Categorize them
  3. Discuss whose interests to be given priority

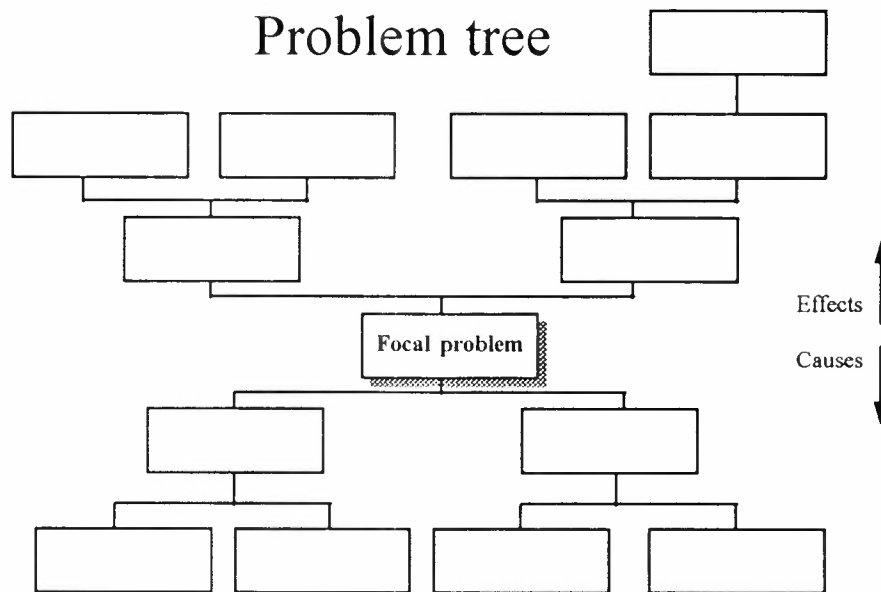
## Problem analysis

- **Formulate problems**
  1. Identify existing problems
  2. A problem is not the absence of a solution -but a negative state
  3. Visualize. Use cards, only one problem pr card



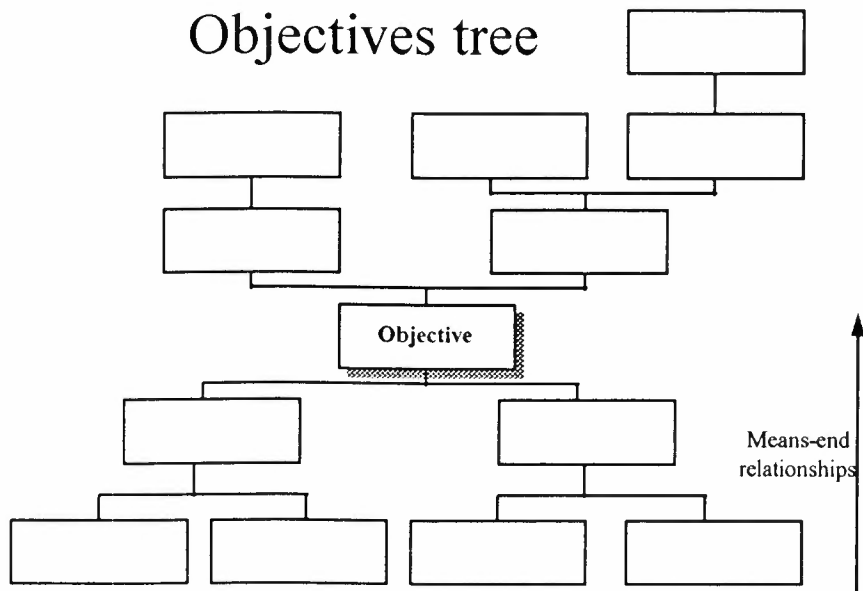
## Develop the problem tree

- Identify major existing problems based on available information
- Select one focal problem for the analysis
- Identify substantial and direct causes
- Identify substantial and direct effects
- Construct a problem tree showing the cause and effect relationships
- Review, verify, adjust



## Objectives analysis

- Reformulate all elements in the problem tree into positive desirable conditions
- Review the objective tree. Make sure that all boxes are linked together in means-end relationships
- If necessary:
  - Revise statements
  - Delete objectives which appear unrealistic and unnecessary
  - Add new objectives where necessary
- Draw connecting lines to indicate means-ends relationships



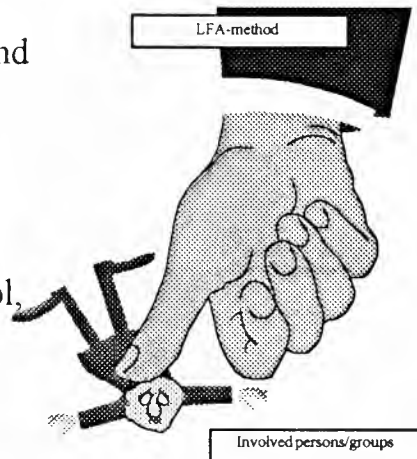
## Alternatives (strategy) analysis

- Identify different “means-ends” ladders
- Eliminate objectives
  - not desirable
  - not achievable
  - not within goals
  - taken care of by other projects
- Discuss implications for affected groups
- Select strategy
  - Analyze feasibility of the different alternatives
  - Select one project strategy
  - If no agreement: introduce additional criteria. Discuss and adjust



## Critical aspects

- Is the LFA-method simplifying reality beyond what is acceptable?
- How to handle projects with more than one immediate objective?
- Remember: LFA is a tool, not a goal. Agree on adjustments if necessary



## Summing up

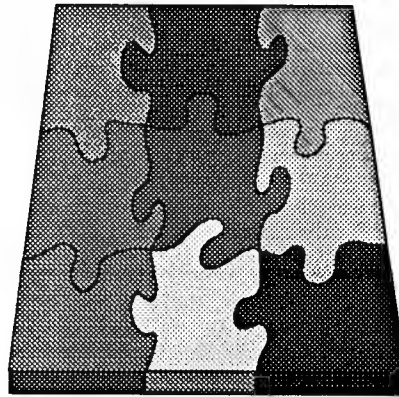
Now we have:

- Identified parties involved and set priorities
- Formulated problems (now situation)
- Transformed problems to objectives (future)
- Scrutinized objectives
- Selected a strategy



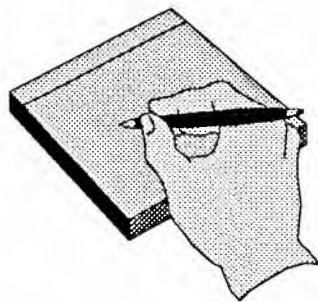
## Identify main project elements

- Once the main strategy has been chosen, the main project elements may be derived from the objectives tree and transferred to the Project Matrix (PM)



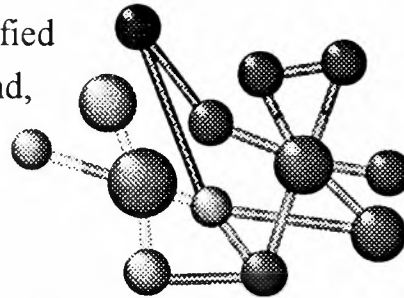
## Filling in the PM

- From the work we have done, we should now be able to fill in first column of the PM:
  - - Development objective
  - Immediate objective
  - Outputs
  - Activities
  - Inputs



## Development objective

- Consistent with development policies
- Represents a sufficient justification for project
- Not too ambitious
- Target groups are specified
- Expressed as desired end, not as means
- It is expressed in verifiable terms
- Always remember:  
We are dealing with simplified planning models, with selected parts, reality is more complex.

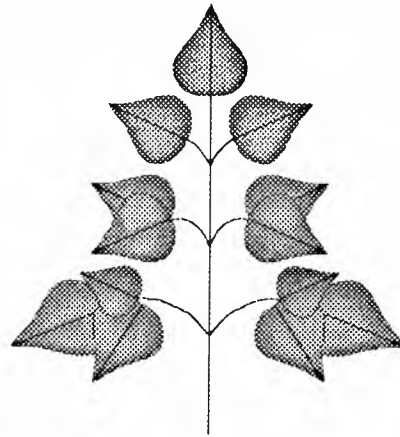


## Immediate objective

- One objective (if other objectives, make another PM)
- Target groups defined
- Contribute significantly to the fulfillment of the development objective
- Realistic
- Outside the immediate control of the project
- Formulated as a desired state, not as a process
- Precisely and verifiably defined

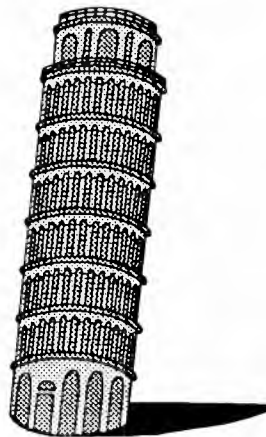
- All essential for achieving the project objective are included
- Only outputs which the project can guarantee
- Means to achieve immediate goal
- Precisely and verifiably defined

## Outputs



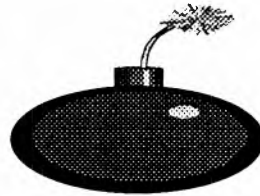
## When filling in the PM:

- Examine from bottom to top of PM to see:
  - will input, activities, output etc... give wanted results?
  - which external factors may influence the work? (check for each level)



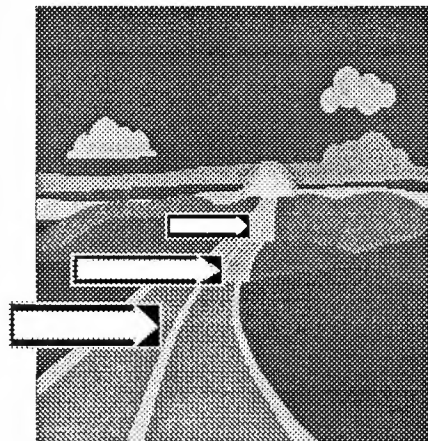
## External factors

- External factors:
  - can be derived from objectives three
  - are linked to different PM-levels
  - are weighted according to importance and probability
- If an external factor is very important for the project, but not likely to occur, - then it is a killing factor!
- Killing factors should lead to re-design or rejection of project!



## Indicators

- Road-marks to indicate if you are on track or not
- Reality is complex, and it is difficult to find good indicators
- Evaluate your indicators



## Goals-indicators



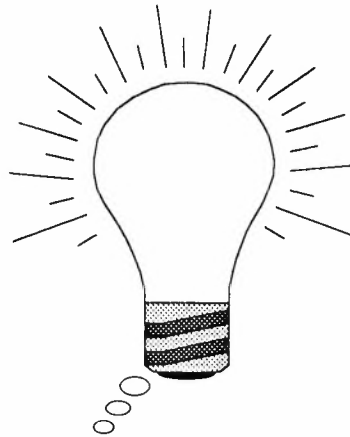
- Indicators must always be linked to a goal!
- Indicators should give relevant information. Are we heading towards the goal?
- You often need several indicators to evaluate if/when a goal is reached

## How to find indicators?

- Indicators should be specific related to:
  - target group
  - quantity
  - quality
  - time frame
  - location
- If possible, combine these aspects
- A good indicator is:
  - well defined
  - relevant to the goal
  - “objective” (factual)  
different people get the same result)
  - sensitive to change
  - possible to measure
  - data on indicators is available

## Usefulness of indicators

- Is information related to the indicator available?
- Is the information reliable?
- Is special data-gathering required?
- If yes: Do the benefits justify the costs?



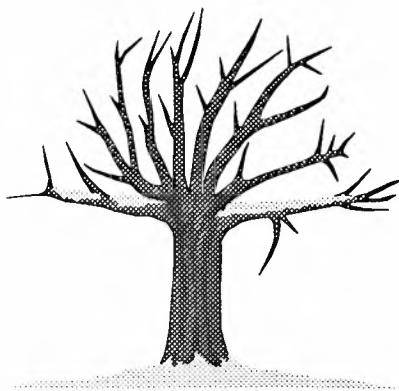
## Relevance of indicator

- Indicators should be related to correct level
- Several indicators are usually better than one
- Direct indicators reflect changes sought by the project directly (number of people trained, tons produced..)
- Development objectives and immediate objectives often require indirect indicators (find measurable, reliable information related to aspects which e.g.. improve livelihood security)

## Indicators

- In the context of LFA, indicators specify the performance standard to be reached in order to achieve the development objective, the immediate objective and the outputs
- Indicators should specify:
  - Target group (for whom?)
  - Quantity (how much?)
  - Quality (how well?)
  - Time (by when?)
  - Location (where?)
- Indicators provide a basis for monitoring and evaluation
- Indicators are making up the middle column of the LFA PM

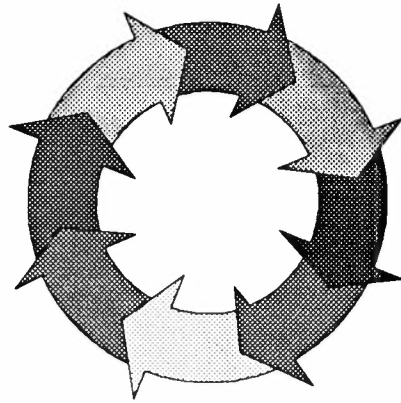
## Checking project design



- Whether project design is the result of a LFA workshop, or another process, it is useful to make a final overall check of the result
- The PM summarizes the elements of the project. Check it!



## LFA Project organization



- Identification
- Feasibility study
- Project Design
- Detailed planning
- Monitoring
- Project review
- Evaluations

### 6.1.3 Presentation on experiences with the use of LFA in REST

## LOGICAL FRAME WORK

It consists of two types of thought processes:

1. Vertical logic - that clarifies why projects are undertaken (project design).  
-Goals, purpose, outputs, and inputs.  
-Characterise a project and are linked by set of hypotheses.
2. Objective verification - the horizontal logic.  
-defines the evidence required to demonstrate a given event. Clarifies the nature of event itself.  
-identifies the evidence required to demonstrate accomplishment.

STARTING 1994 REST is exercising the FLA to formulate project proposals, implementation, monitoring and evaluation of programmes.

### STEPS REST USES IN LFA are the following:

#### Step one - Participatory analyses

Participants are registered from key informants, bitos members, influential persons, knowledgeable farmers, local institutions, line bureaux etc. The registered participants are

- classified/categorised -Actors  
-Beneficiaries
- characterise and analysis
- described
- evaluated

Finally, selection is made.

#### How is it done ?

- 1) **Collection of information** from the individuals and groups connected or influenced by the projects.
- 2) **Categorise them as** - beneficiaries  
- actors  
- potentials (sxw)
- 3) **Characterise and analyse** -interest motives and attitudes  
- needs, priorities  
- opportunities/threats  
- etc.
- 4) **Identify consequences** for the program work, e.g. - reactions of the work  
- implications  
- actions to be taken

## Step two - Core problem analysis

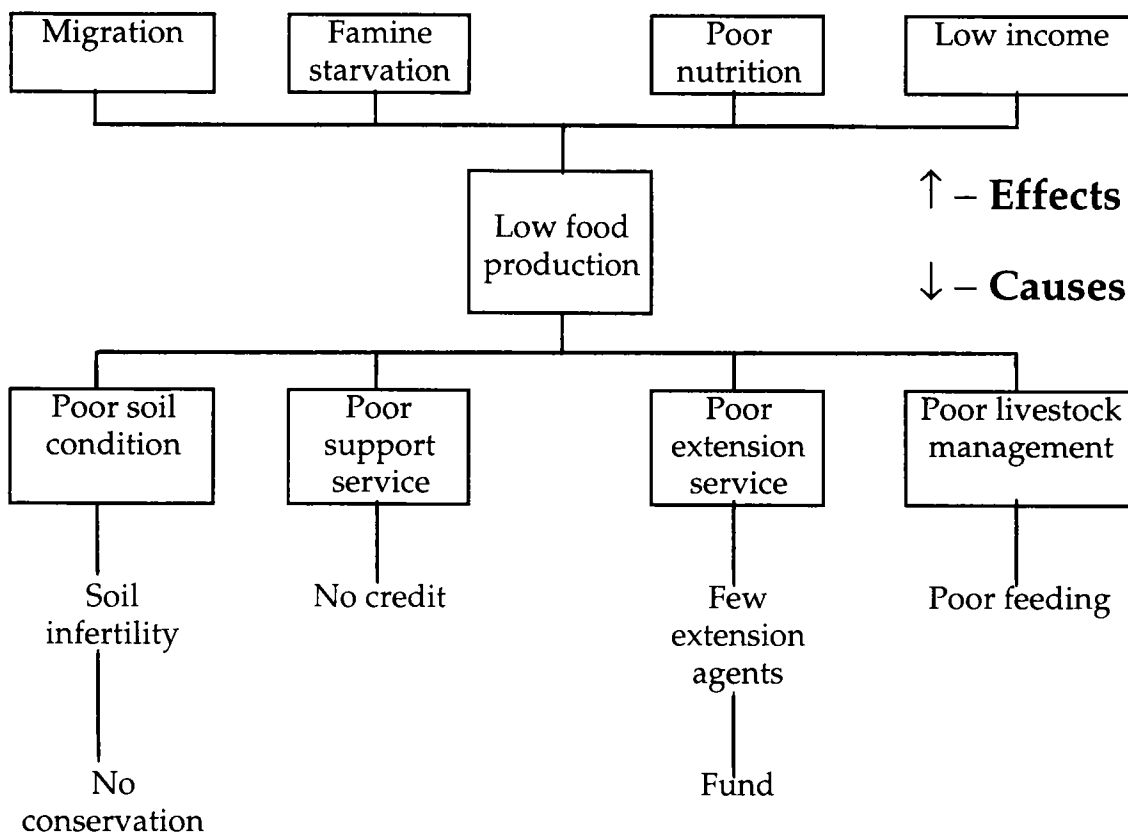
Set of techniques used:

- 1) analyse the existing situation
- 2) identify the major problems
- 3) select the core problem of the situation

Agreement should be reached on one single core problem formulation.

\*Bito system is the basis for all REST policies & programmes.

## Step three - Core problem analysis based on cause and effect



### Step 4 - Objective analysis

The core problem analysis (which is the problem tree) are transformed to objective analysis.

The problem trees are set as a negative condition which transformed to objective analysis (tree) it takes the form of positive condition to achieve.

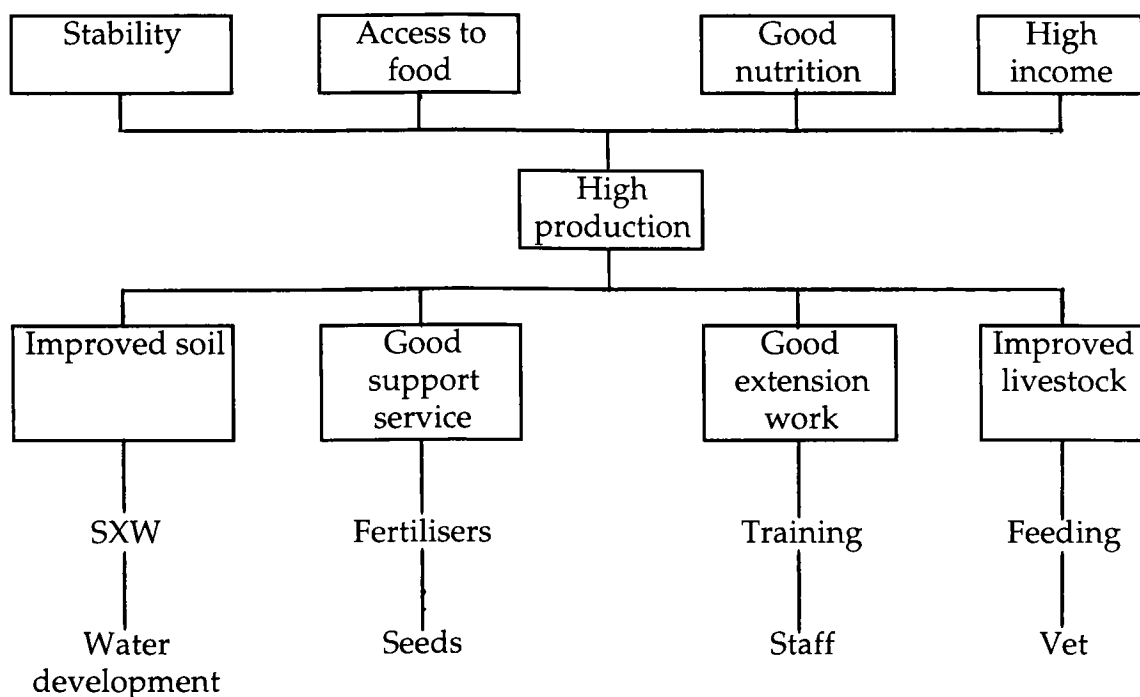
### Step 5 - Alternative strategic analysis

- Set of techniques are used to identify alternative strategies/solutions.
- By selecting one or more project strategies and decided upon one or more depending on the long term of the programme.

Techniques used

- development policies/priorities
- suitability of the alternative solution - financial
  - technical
  - capacity (human)
- funding availability
- complementary activities by others
- etc.

### Sample alternative tree



**Step 6 - Formulation of project planning matrix (PPM)**

	Objective verifiable indicators	Means of verification	Assumptions
Goal			
Purpose			
Outputs			
Activities			

**PPM** - provides summary

**Why** - a project is carried out

**What** - Expectation

**How** - going to achieve results

**Which** - external factors are crucial for the success of the project

**How** - success to be assessed

**Where** - required data can be found for M/E/assessment

**What** - project cost

→ Objectively verifiable indicators

**Quantity** -How much

**Quality** -What how well

**Time** -By when

**Location** -Where

→ Basis for monitoring/evaluation

→ Means of verification (MOV)

-Reliable resource

→ Assumption

-External factors

6.1.4 Presentation on indicators for environmental rehabilitation

*Environmental indicators for development activities by  
Norwegian NGO's in the SSE countries*

*By*

*Ruth Haug  
Jens B. Aune  
Fred Johnsen*

*Noragric, Agricultural University of Norway*



### **Purpose of this paper:**

- types of indicators
- criteria for selection of indicators
- indicators in different types of project
- indicators in environmental monitoring

The overall objective of the paper will be to promote an interest among NGO's for environmental monitoring and for identification of locally adopted indicators

### **Definitions of indicators**

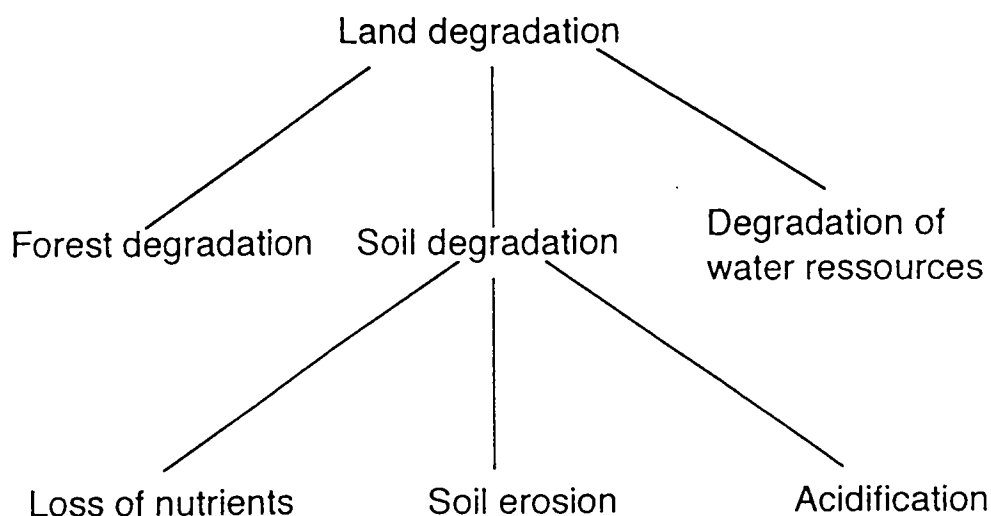
Indicators can be considered as significant information in a summary form.

Indicators provide qualitative and quantitative information, simplify complex phenomena that can be readily understood by decisionmakers, and can best capture improvement or deterioration in environment and land resource quality (WRI, 1995).

### **Types of indicators:**

Direct indicators  
Indirect indicators

### Forms of land degradation:



### Pressure-state-response framework:

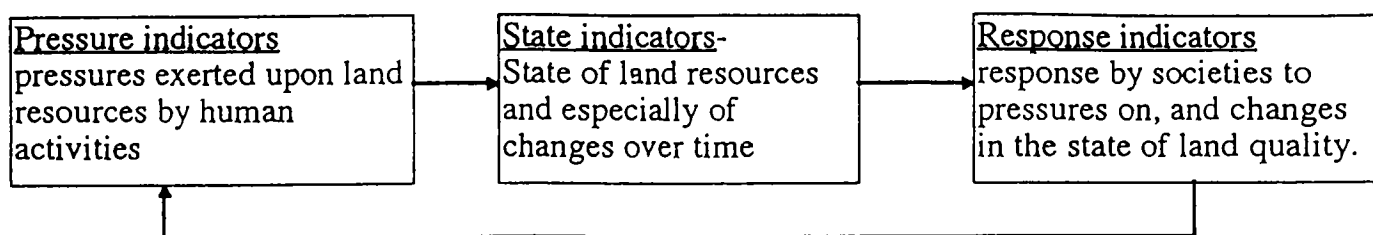


Table 2. PSR framework: soil fertility decline (World Bank, 1995)

Pressure indicator	State indicator	Response indicator
extent of cropping intensity	<ul style="list-style-type: none"> <li>• nutrient input/output ratio</li> <li>• cultivated/cultivable land ratio</li> <li>• soil conserving/soil degrading crops</li> </ul>	<ul style="list-style-type: none"> <li>• off-farm employment</li> <li>• diversification</li> </ul>
inappropriate land use pattern	<ul style="list-style-type: none"> <li>• change in erosion level</li> <li>• loss of top soil visible</li> <li>• sign of erosion (gullies)</li> </ul>	<ul style="list-style-type: none"> <li>• adoption of erosion control &amp; conservation practices</li> <li>• adoption of alternative land use systems</li> </ul>



**UNDP has developed the following indicators:**

**Indicators of surface erosion**

- a stream turns muddy just after a rain
- roots of trees and scrubs are exposed
- small cracks form in a cobble pattern in the bare soil surface that are several cm deep
- rills or small channels form on sloping land
- the amount of soil humus is reduced

**Socio-economic unsustainability:**

- shortening of fallow period
- price on fuelwood and dungcakes
- traditional medicine become commercialised rather than a common good
- increase in the time required to gather and carry fuelwood
- increasing conflicts relating the use of the commons
- agricultural residues such as stalks, dung, cobs are increasingly substituted for firewood



**Criteria for the choice of indicators:**

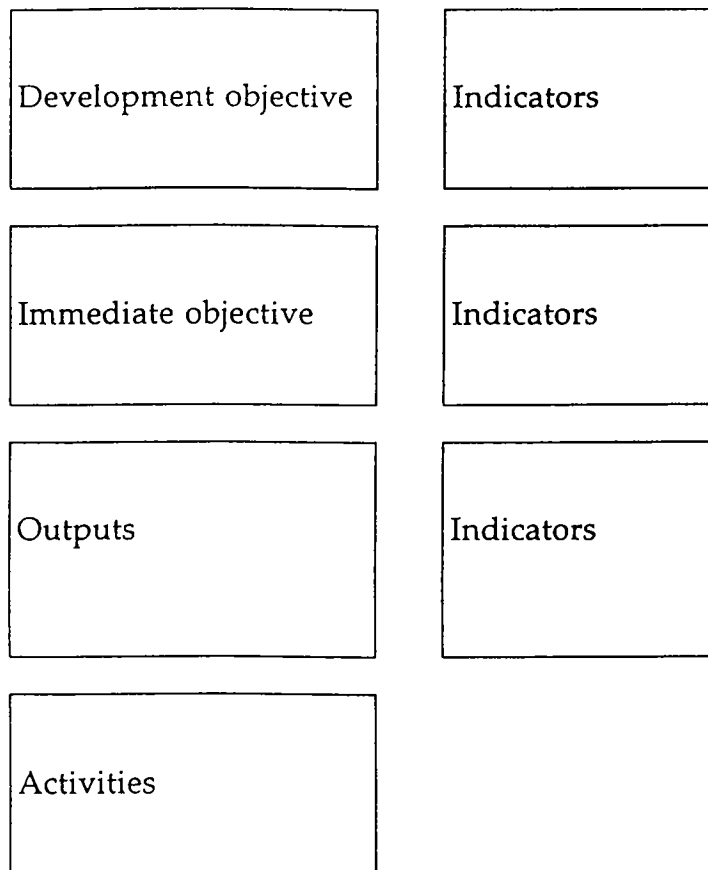
1. **Reliable.** It must give a reliable measure of the parameter considered
2. **Specificity.** The indicator should be specific to the parameter measured.
3. **Low cost.** It should be possible to undertake the assessment at low-cost
4. **Reproducibility.** Different observers should be able report the same status of the indicator. It is normally more easy to reproduce results related to physical measurement such as tonn, meters , height etc. Even for indicators of social change, the method should be such that it is possible to reproduce the results.
5. **Independency of weather.**
6. **Acceptability.** The indicator has to be acceptable to all users

Sources of information on indicators:

1. Direct counts , measurements, registration, yield measurements
2. Interviews, key informants, PRA techniques
3. Marked surveys

Several indicators are usually better than one

**Project matrix:**



The output of a project is results that the project management should be able to guarantee.

The immediate objective is the effect which is expected to be achieved as a result of the project

Indicators in soil conservation programs in a Logical Framework Approach

	Indicators	Measurement
<b>Immediate objective</b> Farmers adopt soil conservation practices	<ul style="list-style-type: none"> <li>- no. of farmers practices soil conservation</li> <li>- depth of gullies (rill mapping)</li> <li>- increased use of perennials</li> <li>- maintenance of soil conservation structures</li> <li>- conservation structures build on own initiative</li> <li>- changes in soil management practices</li> <li>- price of land increases</li> </ul>	<ul style="list-style-type: none"> <li>- counts</li> <li>- measurements</li> <li>-----</li> <li>-PRA techniques (key informants, group interviews, calendars) etc.</li> <li>-questionnaire survey</li> <li>-----</li> <li>-market studies</li> </ul>
<b>Output</b>	<ul style="list-style-type: none"> <li>-m. of terraces built</li> <li>-no. courses organised</li> <li>-no. of trained farmers</li> <li>-no. of techniques tested</li> <li>-no. of credit schemes established</li> </ul>	registrations
<b>Activities</b> -training courses - strengthening extension service - development of credit schemes		

Soil fertility indicators in LFA

	Indicators (impact and output)	Measurement
<b>Immediate objective</b> Farmer use soil fertility enhancing methods	<ul style="list-style-type: none"> <li>- no. of farmers practising soil fertility enhancing methods</li> <li>- area treated with fertility enhancing methods</li> <li>- input/output of nutrients</li> <li>- trends in soil chemical properties</li> <li>- no. of years with continuous cropping</li> <li>- use of legumes, residues, manure, fertiliser, lime</li> <li>- sale of seeds of nitrogen fixing species</li> <li>- sale of fertiliser</li> <li>- price fertiliser /price of grain</li> <li>- increased price of land</li> </ul>	<ul style="list-style-type: none"> <li>- counting</li> <li>- measuring</li> <li>- chemical analyses</li> <li>-----</li> <li>-PRA (interviews, etc.)</li> <li>- survey</li> <li>-----</li> <li>-market studies -PRA</li> </ul>
<b>Output</b>	<ul style="list-style-type: none"> <li>- no. of courses organised</li> <li>- no. of farmers trained</li> <li>- no. credit schemes supported</li> </ul>	registrations
<b>Activities</b> -training courses - development of credit schemes		

### Water availability indicators in LFA

	Indicators (impact and output)	Measurement
<b>Immediate objective</b> Improved access to water	<ul style="list-style-type: none"> <li>- no of dikes and pumps maintained</li> <li>- ground water level in wells</li> <li>- degree of salinity</li>   <li>- farmers making use of irrigation facilities</li> <li>- degree of investment in irrigation facilities on own initiative</li> <li>- funds set side for maintenance</li>   <li>- increased price of land</li> <li>- sale of materials for irrigation purposes</li> </ul>	<ul style="list-style-type: none"> <li>- counting</li> <li>- measuring</li> <li>- soil chemical analyses</li> <li>-----</li> <li>- PRA (interviews and other techniques)</li> <li>- questionnaire survey</li> <li>-----</li> <li>market studies/PRA</li> </ul>
<b>Output</b>	<ul style="list-style-type: none"> <li>- area with access to irrigation facilities</li> <li>- no of dikes constructed</li> <li>- no of farmers trained</li> <li>- no credit schemes supported</li> </ul>	registrations
<b>Activities</b> -dike construction -support to credit schemes		

### Indicators of fuelwood availability in LFA

	Indicators (impact and output)	Measurement
<b>Immediate objective</b> Energy more easily available	<ul style="list-style-type: none"> <li>- no. of surviving trees</li> <li>- circumflex of marketed fuelwood</li> <li>- species used for fuelwood</li>   <li>- percent of improved stoves in use</li> <li>- hours per day spent to collect fuelwood</li> <li>- use of wood saving devices in households</li> <li>- cowdung and residues used for fuel</li>   <li>- price of fuelwood</li> <li>- price ratio fuelwood/consumer goods</li> </ul>	<ul style="list-style-type: none"> <li>- registration</li> <li>-----</li> <li>- PRA (interviews etc.)</li> <li>- survey</li> <li>-----</li> <li>- market survey</li> <li>- PRA</li> </ul>
<b>Output indicators</b>	<ul style="list-style-type: none"> <li>- no of improved stoves built</li> <li>- no of trees planted</li> <li>- no courses organised</li> </ul>	registrations
<b>Activities</b> - Supply of planting material - training -building of improved stoves		

Indicators of improvements in pastoralists welfare in LFA

	Indicators (impact and output)	Measurement
<b>Immediate objective</b> Improved management of pastoral resources	<ul style="list-style-type: none"> <li>- incidence of disease of cattle</li> <li>- distance between wells</li> <li>- no of wells maintained</li> <li>- participation in pastoralist organisation</li> <li>- access to pastures</li> <li>- drought preparedness (cereal banks etc.)</li> <li>- less conflicts related to user rights</li> </ul>	<ul style="list-style-type: none"> <li>-registration</li> <li>-----</li> <li>-PRA (interviews etc.)</li> <li>-survey</li> </ul>
<b>Output</b>	<ul style="list-style-type: none"> <li>- no of cows vaccinated</li> <li>- no pastoralist's organisations formed like credit schemes, cereal banks</li> <li>- no attending literacy programmes</li> </ul>	-registration
<b>Activities</b>	<ul style="list-style-type: none"> <li>- vaccination programmes</li> <li>- digging of wells</li> <li>- literacy programmes</li> </ul>	

Output and impact indicators in relation to activities

Activity	Output indicator	Environmental impact indicators	Food security impact indicators	Means of measurement
<b>Afforestation</b> farmer nurseries, tree planting, forest conservation, fruit trees, live fences, windbreaks, training	<ul style="list-style-type: none"> <li>- no of seedlings produced</li> <li>- no of farmers participating in treeplanting etc.</li> <li>- no of courses conducted</li> <li>- no of farmers trained</li> </ul>	<ul style="list-style-type: none"> <li>- no of seedlings planted</li> <li>- tree survival rate</li> <li>- increase in fuelwood &amp; building material availability</li> <li>- decrease in hours pr day spent collecting fuelwood</li> <li>- price of fuelwood</li> <li>- price of building material</li> </ul>	<i>Food security impact indicators</i>  <i>Nyborg &amp; Haug (1994)</i>	<ul style="list-style-type: none"> <li>- registration</li> <li>- vegetation analysis</li> <li>- PRA</li> <li>- survey</li> <li>- market studies</li> </ul>



Will projects get better as results of establishment of indicators and monitoring systems?



or is it just an extra burden to your project activities?

**Why establish a monitoring system:**

**Purpose:**

Document improvements in environmental quality as a result of project activities to target group, to the project staff, financing institutions and to the public

It is important to clarify for whom are we developing indicators and monitoring systems?

1. Local farmers
2. Project
3. Funding institution
4. Public institutions, extension service, local governments, etc.

## Key elements of a monitoring system:

1. Which indicator to use
2. How to measure the indicator
3. When to measure
4. Target level:
  - quantity
  - quality
  - time
  - location
  - target group
5. Change in external factors: weather, price of inputs, improvement/deterioration of infrastructure



## Conclusions

- it is possible within the limited budget of NGO's to monitor effects of project activities on environment; always use observations; if funds allow, use more sophisticated methods (aerial photos, soil chemical analyses)
- the indicators chosen are based on local assessment
- development of indicators and monitoring systems can only be useful if results from monitoring form an integral part of project activities

## 6.2 Groupwork - Wednesday

### 6.2.1 Groupwork assignment and cases

#### GRUPE WORK, WEDNESDAY 4/9 / TRAVAIL EN GROUPES, MERCREDI 4/9

1. Assess and, if necessary, reformulate Development Objectives and Immediate Objectives.
2. Establish planning matrix with Objectives and corresponding Indicators

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1. Évaluez et evt. reformulez l'Objectif de Développement et les Objectifs intermédiaires.
2. Établissez une matrice cadre logique avec des Objectifs et des Indicateurs correspondants.



## **CASE STUDY FOR GROUPS I and II**

### **RURAL AGROSILVICULTURE PROJECT AT KORO CARE INTERNATIONAL, MALI**

#### **1 Analysis of problem**

Severely afflicted by drought for 20 years, Koro and the region surrounding it are experiencing a rapid degradation of its environment. This is having direct repercussions on the agricultural and pastoral production systems, affecting even the level of food production and the well-being of households.

The soil in the area, principally sandy, is poor. Apart from its structure, sand retains organic matter and humidity badly. Long fallowing is one solution for the fertility problem as it favours the accumulation of vegetable debris which is transformed by microorganismes. Now-a-days, the fallowing process is either shortened or eliminated without additional enrichment and the soil is becoming considerably degraded.

The increase in population has also increased the rural population (80% of the population in Koro lives on agriculture) and has contributed to the degradation through erosion (caused by extensive tree cutting, transhumance, cultivation of marginal lands, exposed soil, etc).

An increase in population means an increase in herds, and thus greater demands on watering places. Nevertheless, the transhumance phenomenon is disappearing in the region as pastureland is becoming rarer. Conflicts between stockbreeders and farmers are becoming more marked. One response to the problem of soil fertility is to be found in integration of stockbreeding with farming enterprises, stockbreeding produces a supply of dung which can be used to enrich the fields.

The socio-economical status of women in the Koro area is still precarious. Despite their important contribution to the tasks linked to production (agricultural work, craft industries, transformation of foodstuffs, etc) and reproduction (childcare, preparation of meals, household duties, etc), society has scarcely recognized their rights. Women do not have the right to inherit or own land - generally it is the head of the family (the man) who retains the right to make decisions relating to allocation of resources. Given the lack of benefits from their work, women are little motivated to participate in environmental protection.

The lack of ready finances for investment, the attitude of the local people to encourage avoiding the risks, insecurity in land tenure and the shortage of workers during peak periods are all factors which contribute to the environmental degradation in the Koro region.

## **CASE STUDY FOR GROUP III**

### **REFORESTATION, SOIL AND WATER CONSERVATION PROJECT, ASMAT, ERITREA**

#### **Project description:**

##### **Objective**

The long term objective is to improve living conditions in Asmat through the rehabilitation of natural resources. The project's objective is to counteract erosion and to generally improve the soil and water systems.

##### **Target group**

The target group is the rural population in a limited area of the Ministry of Agriculture and regional authorities' total programme in Asmat. The project is a cooperation between the regional authorities and relevant ministries and is totally integrated in the Ministry of Agriculture's project.

##### **Project content**

The project includes:

Tree planting, construction of dams, fish dams and wells. The introduction of new production methods, including relevant technology, introduction of fertilizers, disinfecting agents and new seed sorts. As there is a lack of social services in the area, the programme includes participation by local inhabitants in building clinics, schools and further establishment of credit programmes.

##### **Time perspective**

The project period is 1995-1996.

## WAG ENVIRONMENTAL REHABILITATION PROGRAMME

**Background**

Ethiopia is a poor country with per capita income being one of the lowest in the world. The underlying problems include environmental degradation, drought, population growth and poverty. The forest coverage of the country has decreased from 40% to less than 3% in the century.

Wag is located in one of the most desolate and barren parts of the country. Decade of over-exploitation of the natural resources coupled with being a battle field for more than 20 years have forced the people into situations of permanent food shortage, severely limited resource base and with a few options left to elevate themselves out of their misery. This programme, therefore, focuses on fundamental human needs related to environmental rehabilitaion, agricultural extension, community health, income generation and infrastructure development.

**Goals, Objectives and Aims**

The overarching mission of the Wag Environmental Rehabilitaion Program is to work for improved living conditions of the people living in 6 pesant associations constituting the programme area. This mission has been operationalized the following major goals to be achieved through specific ojectives:

Goal 1	Environmental Rehabilitaion
Objective	Soil and Water Conservation and Reafforestation
Aim	To rebuild and preserve the available natural resources in the area. Provide the area with commercial fuel and fruit trees.
Indicators	Terraces, stone and soil bund constructed and maintained. Number of seedlings produced, planted and survived.
Goal 2	Agricultural Extension
Objectives	Providing farmers with farming inputs
Aim	To raise the level of food security.

Indicators	Decrease in relief supplies.
Goal 3	Community Health
Objectives	Potable water supply & clinic construction
Aim	To upgrade the health status of people through providing safe water and medical services.
Indicators	Decrease in incidents of water borne deceases.
Goal 4	Income Generation
Objectives	Provision of means of raising income. Developing infrastructures.
Aim	Help communities develop own resources
Indicators	Purchasing power of people increased. Feeder road constructed and maintained.

### **Target Groups**

The activities centering in on environmental rehabilitaion and agricultural extension, are directed towards the 6 peasant associations. Income generation activities through credit facilities are directed towards interest groups with major attention to women. Community health towards the entire community and school facilities is focused towards children.

### **The Short Term and Future Prospects of the Programme**

The Programme is run by the Ethiopian Orthodox Church (EOC), one of the largest Christian indigenous Churches of the African Continent. Latest estimate put the membership of the followers of EOC at about 38 million members with about 400,000 clergy and 25,000 parish Churches.

The project is planned for the years 1995 - 97 with budget of NOK 5 million from NCA side and a considerable input from EOC. EOC has a grass root capacity which will enable her to operate various activities on her own.

The programme is carried out in an integrated style. Integration here stands for community participation on all levels. The local government structure together with the project beneficeries is part of the programme through written agreement with line ministries.

## 6.2.2 Groups' Presentations

### Groups I and II Group work

#### 2.1 Final goal

To reinforce the production capacities of the populations in the surrounding villages by developing activities which guarantee their food security.

##### *Indicators*

1. Food security in the surrounding villages
2. Environmental protection by the populations themselves

#### 2.2 Intermediate objectives

2.2.1 To help 80% of the 50 voluntary production units to increase their agricultural production to 98 by the adoption of at least 2 techniques

##### *Indicators*

- 1 Increase in production by at least 30% in 80% of the production units
- 2 Rearing practice and manure production practice by 80% in the production units
- 3 Use of at least one new production by 80% in the production units

##### *Expected results*

- 6 improved popular varieties
- 80% of the production units adopt the improved varieties
- 600 composters are installed
- 250 production units producing quality seeds
- 140 ha de Zai produced by 270 production units
- 30% increase in agricultural yield
- 20 km of low stone dykes
- 200 ha of earth reclaimed from the stone dykes
- 15 ha of dunes secured by diverse techniques
- 3 stone dykes constructed
- 10 networks for sale of functional seeds
- 4 demonstration plots for forage crops
- 120 tons of forage crops produced
- 10,000 draught animals and cattle vaccinated and/or deparasited
- 3,000 volunteers trained in animal keeping techniques
- 3,000 defined burti
- 1 private, operational veterinary network
- 500 volunteers trained in haymaking
- 250 improved parks constructed
- 5,000 market gardens trained in production techniques
- 3 varieties of vegetables introduced
- 300 market gardens trained in open air drying
- 5 sales networks for functional market gardening seeds
- 150 people trained in culinary demonstration

2.2.2 To increase income of at least 1 person to 30% of the production units by 1998 across the economic activities.

##### *Indicators*

- 1 Support of the type "development of small economic activities"
- 2 Access to credit for at least one woman per production unit to manage income generating activities
- 3 Well organised promoting networks

## Group I

### 2.1 Final goal

To reinforce the production capacities of the populations in the surrounding villages by developing activities which guarantee their food security.

### 2.2 Intermediate objectives

2.2.1 To help 80% of the 50 voluntary production units to increase their agricultural production to 98 by the adoption of at least 2 techniques

2.2.2 To increase income of at least 1 person to 30% of the production units by 1998 across the economic activities.

2.2.3 To develop the competence of the population of 50 villages in the concept and to implement the development and rural area management plans.

GOAL AND OBJECTIVES	INDICATORS
<u>Final goal</u> To improve food security in the project zone (protection of the environment ?)	
<u>Intermediary Objectives</u>	
1 To increase production of 80% of the production units in 50 villages with 1998	-developing land -number of livestock -number of improved varieties -average productivity per farm -number of months of between seasons
2 To increase income of 30% of the production units across the economic activities	-number of groups/production units -number of members/beneficiaries -benefits realised per group -repayment rate
3 Development of organisational and institutional capacities with a view to maintaining the durability of the results	-number of illiterate persons -number of operational organisations

## Group II

OBJECTIVES	INDICATOR
<u>Global objective</u> To help the production capacity of X surrounding villages in the Cercle de Koro up to the year Y in order to guarantee food security at a sustainable manner.	-number of days of between seasons -degree of malnutrition -production rate
<u>Intermediary objective</u>	
1 To help X % of the production units to increase their agricultural production	
2 To increase the income of at least 1 person with X % of the production units across the economic activities	

*Expected results*

20 saving and credit organizations in operation  
1,000 women connected to these in small economical activities

- 2.2.3 To develop the competence of the population of 50 villages in the concept and to implement the development and rural area management plans.

*Indicators*

- 1 Village areas developed and well managed
- 2 50 organizations operational in 50 villages

*Expected results*

190,000 trees established in diverse types of plantations  
1,350 ha vegetation cover established, 350 hedges maintained on 15,000 m  
100 local people trained in the conception of development planning

**3 Target group**

The target group consists of local inhabitants from 50 villages distributed throughout the districts in Koro region. This represents about 80,000 persons, taking into account the effect of the training and the number of years the project in the region has run.

As most of the target group, 85%, is illiterate, it will be important to use effective means of communication. These means include visual and sound support and field visits.

## GROUP III

### PROJECT OBJECTIVES

#### 4.1 Long term objective

The long term objective of the project is to enhance food security by increasing agricultural production and rehabilitate the environmental conditions in Asmat.

#### 4.2 Immediate objectives

The immediate objectives of the project include:

1 - Increasing food production by conducting crop area improvement using terracing practices and providing basic agricultural inputs to the farming community in the area.

2 - Improvement of the ecological condition of the project area through reforestation and soil and water conservation practices.

3 - Improving water supply for domestic use and animal husbandry.

4 - Improving livestock production and animal health maintenance activities.

	Objectives	Indicators	External Factors
I	Development Objectives	Nutrition status of people	Climate Peace/Stabilization Government policy Landuse policy
II	Immediate Objectives		
	1. Food production	Cereals production Horticulture production	Climate, pests, government policy, labour available
	2. Water supply	Hours spent for fetching water Prevention of water-borne diseases	
	3. Livestock production	Milk production Number of animals	
III	Output		
	Vaccination of animals	No	
	Construction of wells	No	
IV	Activities		
V	Input		



## Group IV

### Goal of Program Livelihood Security for GPA in WAG

1. Environmental Rehabilitation (Strategic Element).  
TARGET Group - Food and livelihood insecure with access to land (land size, assets, sources of income).

Development Objectives	Indicators
1. Sustainable household Food security	# of months of self provisioning diet diversity # of meals per day
2. Sustainable household income generation (Economic security)	# of kids in school Asset accumulation Income balance

} FS.  
proxies

Immediate Objectives	Indicators
1. Stable access to food	% change in yield for X % farmers
2. Access to fuelwood	% change in ha
3. Access to fodder	% change in fuelwood access (time/cash)
4. Reduction of soil loss	% change in fodder access (time/cash) cm soil level

Outputs	Indicators
Trees planted Farmers trained # terraces built # of nurseries est	# per year completed in relation to targets

2. Agricultural Objectives (Strategic Element).

Development Objectives	Indicators
Same as above	Same as above

Immediate Objectives	Indicators
Increase of food production of wheat, barley, vegetables.	% change in yield for X % farmers % change in ha Reduction in dependency on food aid

Outputs	Indicators
Farmers trained Seeds distributed Tools distributed Draft animals distributed Value of loans distributed % loan repayment	# per year in relation to target

3. Community Health (Strategic Element).

Development Objectives	Indicators
1. Improved health security 2. Improved food security 3. Improved economic security	Community perceptions of morbidity + mortality changes Nutritional status Reproductive health proxies Reduced cost of health Water services

Immediate Objectives	Indicators
1. Improved access to sustainable potable water	Time spent fetching water # of target population using sufficient + safe water supply Increased per capita consumption of water
2. Improved access to health facilities and services	Ratio doctors, health practitioners to beneficiaries Distance/time to health facility Use patterns (immunization rates)

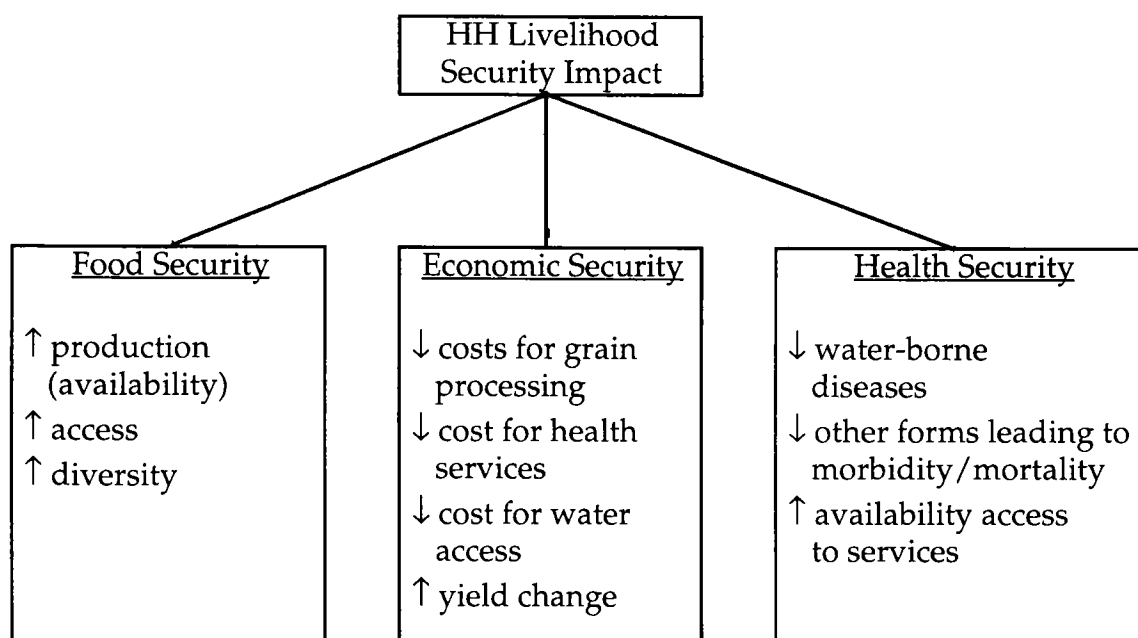
Outputs	Indicators
# structures built or rehabilitated Personnel trained Medical supplies provided	

4. Income Generation Through Cost Reduction (Strategic Element).

Development Objectives	Indicators
1. Economic security 2. Food security	Asset change Income balance (see item 1)

Immediate Objectives	Indicators
Reduce cost of grinding grains	Cost per kilo Reduction in labour Reduction in time/distance

Outputs	Indicators
# of mills built # of PA formed # of trained personnel	



## Group V

<b>Objectives</b>	<b>Indicators</b>
<u>Development Objective:</u>  Improved livelihood security for 6 villages in Wag (households).	-Decrease in relief assistance, availability of food in stores. -Decreased mortality.
<u>Immediate Objective 1:</u>  Improved agricultural productivity through improved soil and water conservation practices.	Yield per ha. Survival rate of trees. Filled gullies. Vegetation cover. Farmers adapting new techniques(#).
<u>Outputs:</u>  Trained farmers and priests. Knowledge acquired on objectives. Conservation measures.	# of check dams constructed or meters of terraces. # of planted trees. # of farmers and priests trained. Area closed (# ha).
<u>Activities:</u>  Checkdam construction. Building terraces. Planting of trees. Training of farmers and priests. Area closure.	
<u>Inputs:</u>  Agricultural implements. Labor, money, skills.	

<b>Objectives</b>	<b>Indicators</b>
<u>Development Objective:</u>  Improved livelihood security for 6 villages in Wag (households).	Decrease in relief assistance, availability of food in stores. Decreased mortality rate.

<p><u>Immediate Objective 2:</u></p> <p>Improved community health.</p>	<p>Reduced epidemics.  Reduced waterborne/-related diseases.  Access to improved health and water services.</p>
<p><u>Output:</u></p> <p>Clinics in operation.  Functioning wells.  Informed community members.</p>	<p># of clinics constructed and equipped.  # of trained people.  # of wells constructed and maintained.  Supply of water per family per day.  Time used to collect water.  # of latrines built.  # of patients treated.</p>
<p><u>Activities:</u></p> <p>Construction of clinics.  Construction of wells.  Development of springs.  Hygiene education.  MCH - care.</p>	
<p><u>Inputs:</u></p> <p>Implements, equipment, labour, money and skills.</p>	

