

## CORAF/WECARD

### Kano-Katsina-Maradi Pilot Learning Site of the Sub-Saharan Africa Challenge Programme

#### 2005 Call for Submission of Concept Notes

**Call identification number:** CORAF/KKM/SSACP/FARA/03/05

**Call opening date:** Friday 04 November 2005

**Call closing date for receipt of concept notes:** Thursday 12 January, 2006 at 15H00 GMT.

**Reception of proposals:** Signed and officially stamped printed hard copies of concept notes should be sent (by **post**, **hand-carried**, or by **express courier**) to the CORAF/WECARD Executive Secretariat at the following address:

The Scientific Coordinator, CORAF/WECARD,  
7 Avenue Bourguiba, BP 48 Dakar-RP, Senegal.

Electronic copies can be sent to: [marcel.nwalozie@coraf.org](mailto:marcel.nwalozie@coraf.org)

**Modality (language):** Proposal may be submitted in French or English.

#### **Specific focus for this call:**

CORAF/WECARD invites Task Forces to submit Concept Notes for projects which **would improve sustainable agricultural systems and rural household incomes in one of the the following agro-ecological zones of the KKM PLS (see point 7 of the note below) through the delivery of the four *Results* of the KKM Pilot Learning Site as stated below in the presentation of the call for concept notes. (see Annex 1: logical framework for details of these results)**. This implies that there will be a total of 3 TFs

- i. Appropriate technologies/innovations for intensifying smallholder farming systems and improving natural resource management generated and/or promoted.
- ii. Efficient input and output marketing systems made available and accessible.
- iii. Capacity building, information and communication systems and institutional/organisational change for stakeholders enhanced.
- iv. Enabling institutional and policy options for sustainable agricultural systems made available.

#### **Eligibility:**

All actors wishing to work in KKM PLS are eligible to apply.

#### **Total amount available for this call:**

The probable minimum funding for each of the three TFs is US \$100,000 per year while the maximum funding is US \$400,000 per year; a total of 1.4 million dollars is available for task all 3 forces per year; or a total of 7 million dollars for 5 years for the KKM PLS activities

## Evaluation criteria and scores for Project Proposals

Criterion	Score
<b>Criteria of Substance</b>	
1. Organisational and institutional change [Pillar of the SSA-CP]	20
2. Capacity building for project teams and African institutions [Pillar of the SSA-CP]	20
3. Knowledge management and sharing [Pillar of the SSA-CP]	20
4. Monitoring and evaluation and impact assessment [Pillar of the SSA-CP]	20
5. Methodology	20
Sub-total [X]	100
<b>Criteria of SSA-CP supporting objective</b>	
6. Poverty reduction	60
7. Environment	40
Sub-total [Y]	100
Overall Score (Mean of [X] and [Y])	100

## Presentation of this call for Concept Notes

### I. Introduction

1. A concept note (CN) is a short version or outline of a research and development proposal which is submitted by a researcher or group/consortium for funding under the Sub-Saharan Africa Challenge Programme (SSA CP). The objective of the CN is two-fold:

- i) to allow applicants (Task Forces) to submit a proposal in summary form for preliminary assessment and evaluation without the need to prepare a fully-detailed proposal, and
- ii) to allow the Management Committee (MC) of the Kano-Katsina-Maradi (KKM) Pilot Learning Site (PLS) of the SSA CP to make a rapid evaluation of submitted proposals to determine their acceptability and to make recommendations accordingly to the SSA CP Programme Steering Committee (PSC).

2. The CN is the description of an idea or an approach for a project proposal. The review and approval of the CN is the review and approval of the idea/approach. Consequently, large amounts of detail are not required, although it is necessary to provide sufficient detail for the reviewers (and KKM PLS MC) to form a clear opinion as whether or not the idea is suitable for subsequent elaboration into a full proposal for implementation of IAR4D.

3. Under the SSA CP, CORAF/WECARD is calling for submission of concept notes from Task Forces for the Inception Phase of the KKM Pilot Learning Site (KKM PLS).

4. Each Task Force (TF) should ideally comprise multidisciplinary and multi-institutional team of individuals from a range of stakeholder groups, namely:

- i) Farmer groups and farmer organizations;
- ii) Private sector agri-business enterprises and organizations – small, medium and large;
- iii) Public and private extension agencies, including public/state extension services, NGOs and CBOs;
- iv) National agricultural research institutes (NARIs) and Universities – public and private; and
- v) International agricultural research centres – IARCs – including CGIAR Centres and other IARCs, overseas advanced research institutes/organizations and relevant overseas universities.

5. More specifically, members of TF must come from a minimum of four (4) of the five stakeholder groups in (4) above.

6. Task force partners are expected to come from both the public and private sectors, with inclusion of women's and other marginalized groups (e.g. youths) particularly encouraged. In general, teams are expected to include not only well established institutions, but also smaller and/or less experienced or endowed organizations and groups. However, this arrangement of the so-called asymmetric partnership will apply only to African groups and institutions. In other respects, the assessment criteria will favour the assembly of the strongest teams from the ranks of all stakeholders, African and non-African, public and private.

7. The KKM PLS comprises three agro-ecological zones (AEZs), namely,  
(a) Northern Guinea Savanna (NGS)  
(b) Sudan Savannah (SS), and  
(c) The Sahel.

8. CORAF/WECARD invites Task Forces to submit Concept Notes for projects which **would improve sustainable agricultural systems and rural household incomes in one of the above three AEZs, through the delivery of the four *Results* of the KKM Pilot Learning Site as stated below. (see Annex 1: logical framework for details of these results)**. This implies that there will be a total of 3 TFs
  - v. Appropriate technologies/innovations for intensifying smallholder farming systems and improving natural resource management generated and/or promoted.
  - vi. Efficient input and output marketing systems made available and accessible.
  - vii. Capacity building, information and communication systems and institutional/organisational change for stakeholders enhanced.
  - viii. Enabling institutional and policy options for sustainable agricultural systems made available.
  
9. Task Forces shall be formed as specified above (4 – 8) and no institute or organization would be allowed to lead on more than one of the TFs. However, representation from a single institute/organization in all three of the TFs would be permitted.
  
10. The CN should be prepared according to the format provided in II below and must include a logical framework (logframe). Concept notes should be succinct; guidance on the expected contents and lengths of the different sections of the CN is given in Section II below.
  
11. CORAF/WECARD and the KKM PLSMC will organize peer review of CNs by an independent team. The criteria for development and review of CNs are provided in section III below, while the actual points allocated to the different assessment criteria are indicated in Section IV.
  
- 12 Task Forces of selected CNs will be given small grants to assist them with **continued** consultation with partners, team building, and project design necessary for developing comprehensive proposals for full implementation of IAR4D in KKM PLS.
  
13. All, or a representative proportion of, TF members will be given a course on writing winning proposals, to ensure that good proposals are ready for peer review within six weeks.
  
14. Please note that acceptance of a CN and an invitation to prepare a full proposal are not guarantees that the TF's proposal will necessarily be accepted for funding by the SSA CP.
  
15. The probable minimum funding for each of the three TFs is US \$100,000 per year while the maximum funding is US \$400,000 per year; a total of 1.4 million dollars is available for task all 3 forces per year; or a total of 7 million dollars for 5 years for the KKM PLS activities.
  
16. The maximum period for project implementation is 5 years.
  
17. The Explanatory Narrative for the KKM Pilot Learning Site Logical Framework is attached as Annex 2. TFs may find it useful in understanding the Logframe (Annex 1) and in formulating the logframe for their CN.
  
18. Before developing the Concept Notes, Task Forces are expected to be fully familiar with:
  - (i) Sub-Saharan Africa Challenge Programme: Programme Proposal Volume 1, June 2004
    - This was distributed earlier but can be accessed at FARA Website: [www.fara-africa.org](http://www.fara-africa.org) ; [www.coraf.org](http://www.coraf.org) .
  - (ii) The Report of the Validation Team (September 2005) of the Kano-Katsina-Maradi Pilot Learning Site: Synthesis Report of 20 Village Reports and Three Area Reports
    - This was distributed earlier but can also be accessed at CORAF/WECARD Website: [www.coraf.org](http://www.coraf.org)

**19. Hard and electronic copies of the CN must be received by the KKM PLS CORAF/WECARD, not later than 1700 hrs GMT on Thursday December 15, 2005.**

Applications received after this date will not be considered. Hard copies should be addressed to:

Scientific Coordinator; CORAF/WECARD;  
7 Avenue Bourguiba,  
BP 48 Dakar-RP; Senegal.

Electronic copies should be sent to: [marcel.nwalozie@coraf.org](mailto:marcel.nwalozie@coraf.org).

## **II: Format For Submission of Concept Notes.**

The submitted Concept Note (CN) document shall consist of three parts, namely:

- i) Header Sheet (project identification or cover sheet),
- ii) Logical Framework (Logframe), and
- iii) Information on Concept (the Concept Note proper)

### **2.1 Header Sheet Format**

The format for the Header Sheet, together with explanatory notes, is given below. The clean copy without explanatory notes is provided in Annex 3(i)

#### **KKM PLS CN Header Sheet**

Taskforce Coordinator	This is the person with the overall responsibility for the application and the implementation of the project
Address	Contact details for the Taskforce Co-ordinator, including her/his organisation
Telephone	
Fax	
Email	
Taskforce Members	Details of Task Force members involved in initial project development and implementation.
Project Title	Title should concisely and accurately describe the scope and scale of work
Entry Point	The specific AEZ of KKM PLS being addressed by the CN
Project Location	The region, districts and villages for the proposed project
Total Cost of Project	Total budget required to implement the full-term project (See item 15 of section I above for minimum and maximum budget limits)
Duration of the Project	How long will the project last, the maximum is five years.
Date of CN Submission	The date the CN was dispatched to the LI

### **2.2 Logical Framework Format**

Only an outline of the Logical framework should be attached as an integral part of the CN. This should follow the normal rules of logframe construction and be used as the basis for the development of the CN.

- It should be reviewed and revised BEFORE preparation of full proposal
- The narrative should be nested within the logframe of the PLS
- Objectively verifiable indicators (OVIs) need be given in outline and general terms only.
- Means of verification (MOVs) should be based on generalized OVIs
- Indicative budgets and inputs should be based on broad *Activities*
- *Assumption* should be coherent with narratives.

The Logframe format is given in Annex 3(ii).

### **2.3 Format for Information on Concept Note.**

The format for development of CNs and a few notes to guide Task Forces in preparing their CNs are presented below. A clean copy of the format without the notes is attached as Annex 3(iii).

#### **KKM PLS Information on Concept**

##### **Background (Guideline 400 words)**

- Background information should include a description of the importance of the opportunities and/or constraint(s) that the project is addressing.
- Very brief summary of any significant work already carried out in this area by TF members and others
- Outline of what makes the CN different and special (originality)

##### **Partners and Partnerships (Guideline 100 words)**

- How will partnerships be developed and utilized?
- What are the roles of the different partners in implementation?
- Roles of partnerships should be defined
- How will partnerships operate and partners benefit?

##### **Project Objective (Goal) – Guideline 100 words**

What will the achievement of the purpose contribute towards – impacts?

- The objective (goal) of the project should be the whole or some disaggregated element of the KKM PLS Objective (Goal) as described in the KKM PLS logframe (Annex 1)
- There should be an explanation of what the statement means and implies (see example in Annex 2)

##### **Project Purpose – Guideline 150 words**

What will delivery of the *Results (Outputs)* Achieve?

- The purpose of the project should be the whole or some disaggregated element of the KKM PLS purpose as described in the KKM PLS logframe (Annex 1)
- There should be an explanation of what the statement means and implies (see example in Annex 2)

**Project Results (Outputs) – Guideline 300 words**

What will be delivered by the Project?

- Should be directly related to project purpose
- Nested within the *Results (Outputs)* of the KKM PLS LF
- These may be *inter alia*, manuals, audio-visual products, agricultural products, infrastructure, marketing or information systems, institutional change, technologies.
- The expected *Results (Outputs)* should be necessary and sufficient to achieve the project purpose; and include identified promotion pathways to intended users.
- **Intended users** are those formal or informal groups which will take up the *Results (Outputs)* of the proposed work and engage in the process of further increasing the numbers of users of the knowledge, technology or methodology (i.e. engage in out- and up-scaling of results).

**Project Activities (Guideline 400 words)**

How will the project be implemented?

- An outline of the studies, surveys, experiments and *Activities* which are to be designed and implemented in order to deliver the *Results (Outputs)* of project.
- There should be an *Activity* or group of Activities associated with each *Result (Output)* of the project, the *Activities*, defining the action strategy for accomplishing each Output.
- *Activities* define budgets and inputs required for delivery of each *Result (Output)*
- Include any facilities or expertise available to the TF and/or other partners which will be utilized in the implementation of the project
- In addition, the location of specific components of the work, and any special resources required should be included.

**Major Assumptions**

- Include those factors which might contribute to the project failing to achieve the objectives
- Important assumptions are external conditions or factors over which the project does not have control, but on which the accomplishment of objectives depends
- Important assumption should be identified and included n outline logframe.

**Financial Summary – Indicative Budget**

<sup>1,2</sup> Proposed Activities	Year 1	Year 2	Year n	Total
Activity 1		An estimated expenditure based on projected Activities is required after Year 1		
Activity 2				
Activity n				
<sup>3</sup> Overheads				
Total				

<sup>1</sup>Rates for travel and subsistence should be according to the institutional norms of the organizations involved in the TF application. Certified, documentary evidence is required with the CN that these are official rates. These should be kept to a minimum consistent with achieving the *Results (Outputs)* described in the CN.  
<sup>2</sup>A full justification for the purchase of equipment will be required in the project proposal but not in the CN.  
<sup>3</sup>Overheads should not exceed 15% and should, in any case, be kept to a realistic minimum

### III Criteria for Concept Note Development and Review

1. In this section, the criteria which reviewers will use to evaluate and rank CNs are described in detail under seven broad categories. In developing Concept Notes, Task Forces are strongly advised to study carefully the issues and questions in the different sub-sections together with the guiding notes on “Information on Concept” in section II.
2. SSA-CP is not designed or intended as fund to support **all** aspects of agricultural research and development. In cases where proposals are not appropriate for support, although they may be important or worthwhile activities, reviewers should comment as such, and make recommendations accordingly.
3. Reviewers should remember that although a proposal may be well written, and good basic or strategic research, it may **not** be appropriate for SSA-CP funding.
4. The following groups of criteria are inter-related, and should be considered in the context of the overarching principle of the SSA-CP, namely to *build sustainable livelihoods through integrated agricultural research for development*.

#### Criteria for Concept Note Development and Review

##### 1. Organisational and institutional change [1 of the 4 Pillars of the SSA-CP]

1. To what extent will the proposed approach change and develop the thinking and *mind-sets* of participants, encouraging *business unusual* in the IAR4D paradigm?
2. Have issues of institutional [informal and formal *rules of the game*] change been directly addressed and recognised in the development of the CN?
3. Have organizations, other than those normally associated with agricultural research, been involved in the CN and partnerships, including *inter alia*, schools, community groups and non-agricultural departments of universities?
4. The institutional and organisation issues relate to all levels from village to international, has sufficient thought been given to this range of stakeholders?

##### 2. Capacity building for project teams and African institutions [1 of the 4 Pillars of the SSA-CP]

1. The development of opportunities to address constraints and issues identified by partners forms one of the cornerstones of the IAR4D paradigm. Does the CN indicate how and to what extent stakeholders will be exposed to and mentored on the issues and concepts of IAR4D? Is this an integral part of the CN?
2. Have opportunities that will be used to explicitly develop capacity of various stakeholders, been identified? Are options to be used for mentoring and support during implementation embedded in the CN, for example as part of the *Result* delivery?
3. Are implicit opportunities for capacity building inherent in the design of the CN? Is the role of non-research partners in the development of the CN likely to result in enhanced capacity and understanding of the IAR4D process?
4. Is a comprehensive cohort [multi-level] of stakeholders involved in any direct capacity building identified in the CN?
5. Sustainability is an issue that cuts across the whole SSA-CP, and whilst some partnerships will be transitory to address specific issues, the long-term durability of partnerships and the culture of IAR4D amongst partners is crucial to success. Are these

considerations built into the CN as an element of capacity building?

### 3. Knowledge management and sharing [1 of 4 Pillars of the SSA-CP]

1. Are mechanisms for information and knowledge sharing an integral part of the CN?
2. Spreading successful *Results* is notoriously difficult. Does the approach consider both formal and informal information and knowledge systems?
3. Activity groups may be developed as part of the research/development process. Some of the issues that should be considered are:
  - a. Whether knowledge systems have been clearly identified, are these incorporated into the design?
  - b. The cost of wider dissemination of project *Results*, or the cost of the proposed interventions on a *per capita* basis, should be realistic and reasonable. Proposals where the cost of upscaling are high, should be discouraged as unsustainable in the absence of the project.
  - c. Projects which utilise technologies that are already being used, and are spreading, should be encouraged.
  - d. The identification and/or development of efficient markets and marketing processes is an important part of upscaling and the development of uptake pathways. If these are present in a CN it should receive a high score for this criterion.

### 4. Monitoring and evaluation and impact assessment [Pillar of the SSA-CP]

[Note: at the level of the CN, the issue of *impact assessment* is not directly relevant. It will be incorporated in the full proposal]

1. Monitoring in the IAR4D context is concerned with feed-back to ensure effective implementation and experiential learning to reinforce the change process. Are such mechanisms identified and described in the CN?
2. Does the CN directly address internalising of the M & E process?
3. Are resources allocated to adaptive/responsive management in order to respond to the internalised monitoring and evaluation?
4. Can embedded feed-back processes be identified within the CN?
5. Do non-research partners have clear roles in the monitoring and evaluation process?

## 5. Methodology

1. SSA-CP supported activities should be clearly identified as resulting from demand. In this context, **demand** is of intended-users, or other stakeholders, for an intervention to address a problem or exploit an opportunity.
2. Key to the IAR4D approach is the use of innovative approaches to address opportunities and constraints. Is there evidence for this in the CN?
3. Does the CN indicate the development of approaches to address desired changes?
4. It is often difficult to demonstrate clear demand unless a specific piece of participatory work has been done. *Reviewers could, if they feel it appropriate, recommend funding for a pre-project phase to confirm, or more clearly identify demand.* SSA-CP is aiming at **business unusual** through the IAR4D paradigm, and demand from intended-users should not be assumed by TFs; clear evidence is required. Scoring against this criterion should reflect the extent to which this has been achieved.
5. Does the proposed project address the immediate needs of intended-users?
6. Is the geographic coverage of the CN appropriate to *Call* and the logframe of the KKM PLS?
7. It is important that a systems approach is used in the IAR4D approach. Solutions or opportunities that are developed must fit in to the KKM PLS agricultural system and not create fresh problems.
8. Does the CN describe an intervention and approach that is technically feasible, with sufficient scientific rigour in its design? Does it, *inter alia*: (i) add efficiency to, or complement, current activities; (ii) have the support of government policy; and (iii) aim at delivering short-term impact to, and for, intended-users?
9. Is the approach and concept described in the CN cost-effective in terms of expected impact and resources used?
10. Is the methodology and approach original and innovative? Does it, *inter alia*, encourage public-private partnerships, is it holistic, multi-institutional and multi-disciplinary and encourage collaboration and partnership development?
11. Are the technologies involved already accepted or being evaluated or used by intended-users? This will speed up the impact of delivery. The scheduling of proposals is often over-optimistic. The simple technologies and information that can significantly impact at farm level, can often be developed fairly rapidly. The greater the intended-user involvement in the development, the more likely this is to happen. If the timescale is not appropriate then the CN or proposal may be rejected on this basis.
12. Men and women have different roles in the community. It is important that these are taken into account. Have the gender roles of community members and structures been considered in the development of the CN?
13. Are the benefits likely to accrue from the implementation of the project proposed in the CN likely to be sustainable?

## 6. Poverty Reduction

1. Poverty reduction and elimination are key issues that must be addressed. The contribution of agricultural research and development interventions to the improvement of rural livelihoods can be significant, however other factors may mitigate against this.
2. Does the CN consider and address poverty reduction through enhancement of one or more of the assets of rural livelihoods?
3. Has the issue of poverty reduction been directly and explicitly addressed?

## 7. Environment

1. The reduction of environmental degradation and the enhancement of the natural resource base are crucial to the building of the sustainable livelihoods that is the key aim of the SSA-CP. Is this built into the design and approach of the CN? Have all stakeholder interests been considered?
2. The environmental aspects of the CN may also be negative. The farming systems, ecological or geographical zones being targeted are important in this context. For example, steep hill side areas, arid and semi-arid zones are all fragile eco-systems: (i) Does a CN focussing on these areas take this fully into account and at the very least, avoid exacerbating current conditions?  
(ii) Where appropriate, are trans-boundary issues adequately addressed, including *inter alia*, effects of upstream actions on downstream, such as rivers across countries and watersheds?

### IV Criteria for Assessment of Concept Notes for the Inception Stage of the Kano-Katsina-Maradi Pilot Learning Site of the Sub-Saharan Africa Challenge Program

1. All concept notes received by the closing date will be assessed
2. The Executive Secretary (ES) of CORAF/WECARD will ensure that all concept notes meet the required criteria (see assessment form below). Failure to satisfy any of the criteria renders the concept note ineligible for assessment.

#### 2.1. Eligibility Assessment Form (to be completed by CORAF/WECARD ES)

1. Concept note (CN) received by the closing date yes – no  
(if no, specify the date of receipt)
2. The theme of the CN conforms with the AEZ approach to grouping entry points and opportunities to be addressed in the IAR4D programme of KKM PLS yes – no  
(if no, is the explanation satisfactory?)
3. The Pilot learning team is multidisciplinary and multi-institutional, comprising at least 3 out of 5 broad stakeholder groups:  
(IARCs/ARIs; NARIs/Universities; public & private extension agencies, Including NGOs & CBOs; farmer groups and organizations; private sector enterprises and organizations, small, medium and large)  
(if no, is the explanation satisfactory?) yes – no
4. *Decision:* The proposal is eligible yes – no  
(if any criterion among all 3 is missing, without acceptable explanation, the answer is no)

3. Peer review of concept notes (CNs) will be done by an independent team of at least four persons whose selection will be approved by the Management Committee (MC) of the Kano-Katsina-Maradi (KKM) Pilot Learning Site (PLS).
  - i. *First Level:* Concept note will be evaluated by each individual assessor, using the criteria in section III above and the scores in Table 1 below.
  - ii. *Second Level:* The group of evaluators will meet as a committee to discuss their views and scores on each component of the CN. Specifically, the panel's report on each CN will provide brief comments on various aspects used in scoring as well the overall (mean) score in percentage. Where there are more than one CN for any one task, the panel will rank the concept notes. The panel will submit its report through CORAF/WECARD to the MC. The joint report of the panel is the only basis for selection of concept notes. In other words, the individual reports will be used to facilitate the panel's deliberation and decision. However, the panel's report will be signed and dated by each member of the panel.
  
4. The assessment will be based on 7 groups of criteria (namely, those provided in Section III of the call for submission of concept notes). The allocation of maximum points for each criterion is given below in Table 1.

**Table 1: Evaluation criteria and scores for Project Proposals**

Criterion	Score
<b>Criteria of Substance</b>	
1. Organisational and institutional change [Pillar of the SSA-CP]	20
2. Capacity building for project teams and African institutions [Pillar of the SSA-CP]	20
3. Knowledge management and sharing [Pillar of the SSA-CP]	20
4. Monitoring and evaluation and impact assessment [Pillar of the SSA-CP]	20
5. Methodology	20
Sub-total [X]	100
<b>Criteria of SSA-CP supporting objective</b>	
6. Poverty reduction	60
7. Environment	40
Sub-total [Y]	100
Overall Score (Mean of [X] and [Y])	100

5. The KKM PLS Management Committee receives and reviews the reviewers' report and sends its recommendations to the SSA CP Programme Steering Committee (through the PC) which approves the selected CNs

## Annex 1: KKM-PLS Logical Framework

Narrative Summary	Objectively Verifiable Indicators	Means of verification	Assumptions
<p><b>Objective</b></p> <p>The contribution of agriculture to improved rural livelihoods in the KKM-PLS enhanced.</p>	<ul style="list-style-type: none"> <li>• Proportion of people in the KKM-PLS living on less than 1US\$ a day reduced by 50% by 2015.</li> <li>• Proportion of food-secure rural households in the KKM-PLS increased by 50% by 2015.</li> </ul>	<ul style="list-style-type: none"> <li>• Government statistics</li> <li>• FAO and World Bank</li> <li>• Economic Commission for Africa statistics</li> <li>• CAADP/NEPAD/ECOWAS reports</li> </ul>	
<p><b>Purpose</b></p> <p>Sustainable smallholder agricultural systems and rural household incomes in the KKM-PLS improved.</p>	<ul style="list-style-type: none"> <li>• 20% increase in the use and/or ownership of animal-drawn farm equipment in the KKM-PLS by 2010.</li> <li>• 80% of children from rural households in the KKM-PLS attending fulltime, primary education by 2010.</li> <li>• 25% increase in integrated agricultural production per unit area from the KKM-PLS by 2010.</li> </ul>	<ul style="list-style-type: none"> <li>• Government statistics</li> <li>• Economic Commission for Africa statistics</li> <li>• Selected CGIAR Reports and publications:               <ul style="list-style-type: none"> <li>◦ IFPRI</li> <li>◦ ILRI</li> <li>◦ ICRISAT</li> <li>◦ IITA</li> <li>◦ WARDA</li> </ul> </li> <li>• External evaluation and impact assessment</li> <li>• Appropriate UN organisations</li> </ul>	<ul style="list-style-type: none"> <li>• Adequate social, economic and political stability exists.</li> <li>• Relevant regional and national policies are implemented effectively.</li> <li>• Governments continue to support agriculture and poverty reduction as priorities.</li> <li>• Equitable distribution of benefits occurs among stakeholders.</li> <li>• Government, non-government, regional and national organisations operate effectively at appropriate levels.</li> </ul>

Narrative Summary	Objectively Verifiable Indicators	Means of verification	Assumptions
<p><b>Results</b></p> <p>1. Appropriate technologies/innovations for intensifying smallholder farming systems and improving natural resource management generated and/or promoted.</p> <p>2. Efficient input and output marketing systems made available and accessible.</p>	<p>1.1 At least 10 appropriate agricultural technologies/innovations made available to uptake pathways in the KKM-PLS by 2010.</p> <p>1.2 A 25% increase in the proportion of farmers, processors and traders in the KKM-PLS using appropriate, improved agricultural technologies/innovations by 2010.</p> <p>1.3 A 10% increase in the proportion of land in the KKM-PLS covered by appropriate, improved technologies/innovations by 2010.</p> <p>2.1 Farmgate price as a percentage of consumer price, increases by 50% in the KKM-PLS by 2010.</p> <p>2.2 An additional 150 functional market outlets at community, LGA, State and Regional levels identified and/or established for KKM-PLS agricultural products by 2008.</p> <p>2.3 25% of farmers, processors and/or traders in the KKM-PLS have access to low interest [inventory] credit by 2010.</p> <p>2.4 The quantity of quality inputs purchased in a timely manner by farmers in the KKM-PLS increased by 25% by 2010.</p>	<ul style="list-style-type: none"> <li>• NARES annual reports</li> <li>• CORAF annual reports</li> <li>• PLS annual reports</li> <li>• TF annual reports</li> <li>• CGIAR reports and publications</li> <li>• External monitoring and evaluation reports</li> <li>• Reports of Advanced Research Institutes</li> </ul>	<ul style="list-style-type: none"> <li>• Political, social and economic stability does not deteriorate to critical levels.</li> <li>• Adequate commitment and capacity to adopt new technologies, innovations and policies exists.</li> <li>• Efficient and effective international and national agricultural support services exist.</li> <li>• Effective mechanisms for widespread technology, innovation and knowledge uptake exist and are accessible.</li> <li>• External trade and market conditions do not compromise gains.</li> <li>• Adequate intra-household distribution of benefits occurs.</li> <li>• Government, non-government, regional and national organisations operate effectively at appropriate levels.</li> </ul>

Narrative Summary	Objectively Verifiable Indicators	Means of verification	Assumptions
<p><b>Results [contd]</b></p> <p>3. Capacity building, information and communication systems and institutional/organisational change for stakeholders enhanced.</p> <p>4. Enabling institutional and policy options for sustainable agricultural systems made available.</p>	<p>3.1 50% of stakeholders acquire information and skills to more effectively utilise improved technologies/innovations to produce, develop, process and/or market agricultural products in the KKM-PLS by 2010.</p> <p>3.2 At least 5 appropriate mechanisms and/or media effectively used to upscale and/or out-scale information and/or knowledge to at least 25% of stakeholders in the KKM-PLS by 2010.</p> <p>3.3 At least 6 effective technologies/innovations are jointly developed and/or made available by new partnerships within the KKM-PLS by 2010.</p> <p>3.4 At least 75% of women, youth and other vulnerable groups in the KKM-PLS positively involved in the activities of the PLT by 2010.</p> <p>4.1 At least 10 appropriate policy/institutional options recommended to decision makers at the regional and/or national level by 2010.</p> <p>4.2 25% of policy options presented to decision makers promulgated as pro-IAR4D policies by 2010.</p> <p>4.3 50% reduction in farmer-pastoralist conflicts over resource use in the KKM-PLS by 2010.</p>	<p>As above</p>	<p>As above</p>

Narrative Summary	Budgets and Inputs	Assumptions
<p><b>Activities</b>  <i>For the intensification of smallholder agricultural systems and using participatory research and extension approaches [PREA]:</i></p> <p>1.1 Collate and evaluate the appropriateness of available crop, livestock and NRM technologies and innovations.</p> <p>1.2 Identify new technologies and innovation options in crops, livestock and NRM.</p> <p>1.3 Generate, develop, validate and adapt appropriate crop, livestock and NRM technologies and innovations.</p> <p>1.4 Promote appropriate crop, livestock and NRM technologies and innovations.</p> <p>2.1 Identify and assess input and output markets in KKM PLS agricultural systems.</p> <p>2.2 Develop appropriate input and output market systems, focussing on market information systems, storage and credit.</p> <p>2.3 Promote linkages between input and output markets and farmer organisations.</p>	<p>As per the FARA SSA-CP Programme document – Volume 1  <b>[B2 page 116]</b></p>	<ul style="list-style-type: none"> <li>• Minimal disruptions from biophysical and environmental catastrophes.</li> <li>• Effective regional and national mechanisms for approval of technologies/innovations/policies exist.</li> <li>• Effective partnerships with adequate capacity for generation and uptake of technologies and innovations are maintained.</li> <li>• Adequate human, physical and financial resources are maintained within partners.</li> <li>• Government, non-government, regional and national organisations operate effectively at appropriate levels.</li> </ul>

Narrative Summary	Budgets and Inputs	Assumptions
<p>3.1 Identify and review approaches to research implementation and technology delivery systems.</p> <p>3.2 Develop and establish appropriate media and mechanisms to improve the flow of information.</p> <p>3.3 Train stakeholders on the concepts, practices and applications of IAR4D.</p> <p>3.4 Promote and enhance farmer groups, CBO and networks to create better access to information and improve conflict resolution.</p> <p>4.1 Review existing policies affecting NRM, marketing and agricultural input/output systems.</p> <p>4.2 Document and evaluate appropriate policy options and frameworks to address NRM, local government, land-tenure/use and agricultural input/output system issues.</p> <p>4.3 Promote to policy makers and/or development planners information and policy options on stakeholder-identified needs.</p>	<p>As above</p>	<p>As above</p>
<b>Pre-conditions</b>		
<p>Timely and sufficient financial, human and physical resources to support the IAR4D approach is available from government, non-government and development partners. Strategic partners, with adequate capacity and skills for the generation of technologies and innovations and for uptake exist.</p>		

**Annex 2: Explanatory Narrative for the Kano-Katsina-Maradi Pilot Learning Site Logical Framework.**

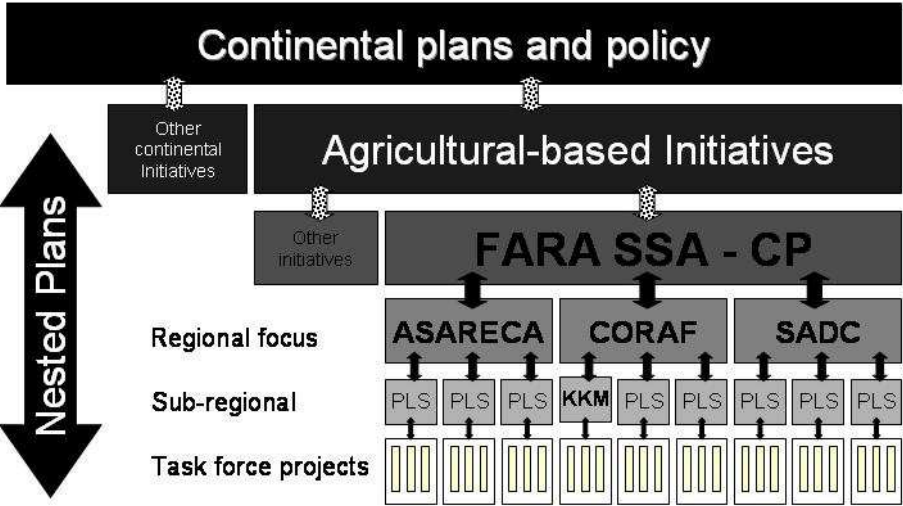
The Kano-Katsina-Maradi Pilot Learning Site [KKM-PLS] logical framework, or logframe, was developed by stakeholders at a workshop held at IITA Ibadan [19-23 September 2005]<sup>1</sup>. The Workshop used as a basis for the logframe development, the report of the Validation Team<sup>2</sup> and the FARA SSA-CP document<sup>3</sup>.

This set of notes provides additional explanations of terms and expressions used in that framework. The framework is attached at Annex 1.

**The Logframe in summary**

- 1. The logical framework, commonly known as the *logframe*, is a management and planning tool which links cause and effect through a hierarchy of stages. Most frequently used at project level, it may also be applied to programmes and organisations.

- 2. A key feature is that due to the logical construct, it is possible to link, or *nest*, different frameworks and combine them into a wider hierarchy, such that the contribution of activities at local project level can be fed into a hierarchy that shows logical links with national, regional and continental Objectives or objects. Figure 1 shows how such a series of plans or frameworks can be linked in the context of the SSA-CP.



**Figure 1 Nesting of plans and initiatives**

- 3. The logframe comprises a 4 x 4 matrix [figure 2]. Column 1 provides a narrative summary of the four steps in the logframe. Reading from the bottom these steps are *Activity*, *Result*, *Purpose* and *Objective*. Each of these has a

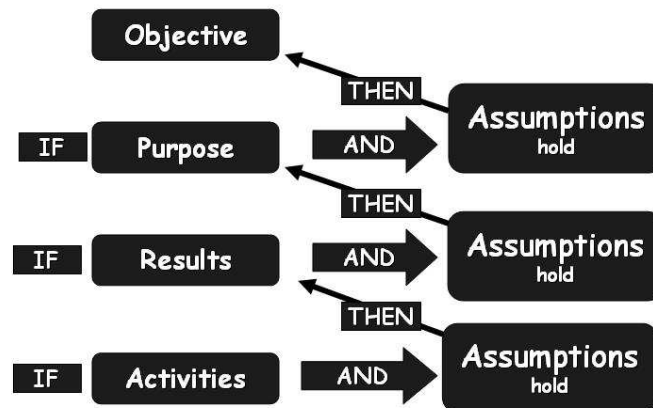
Objective	Indicator	Means of Verification	Assumptions
Purpose	Indicator	Means of Verification	Assumptions
Result	Indicator	Means of Verification	Assumptions
Activity	Budget and Inputs		Assumptions

**Figure 2 Basic logical framework layout**

<sup>1</sup> Kano-Katsina-Maradi Pilot Learning Site Logical Framework development Workshop, Ibadan, Nigeria. 19-23 September 2005, J A Sutherland, 25pp.  
<sup>2</sup> Kano-Katsina-Maradi Pilot Learning Site – Synthesis of 20 village reports and three area reports. September 2005. 40pp  
<sup>3</sup> Sub-Saharan Africa Challenge Programme, Programme Proposal, Volume 1, June 2004. 136pp

specific definition and role. Column 2 contains the *Objectively Verifiable Indicators* [OVI] that provide evidence that the steps in column 1 of the same row have been achieved. Column 3 provides the *Means of Verification* [MOV] by which the OVI are measured, and is equivalent to the monitoring and evaluation system. Column 4 lists the major assumptions which influence the progression from a lower to a higher row in the framework.

4. The flow of logic through the framework starts in the bottom left hand corner at the level of activity and follows a sequence of IF – AND – THEN statements, as illustrated in Figure 3. **IF** the *Activities* are completed **AND** the *Assumptions* hold, **THEN** the *Results* will be achieved, **IF** the *Results* are completed, **AND** the *Assumptions* hold, **THEN** the *Purpose* will be achieved...and so on.



**Figure 3 Cause and effect framework links**

5. In the following sections, the key points and highlights of the logframe have been described in further detail.

### The KKM-PLS OBJECTIVE statement

6. The *Objective* of a logframe is defined as the *Greater Why*, the reason for the existence of the project or programme, for which the framework has been developed. It is a Objective shared by others, in this context to which the PLS is contributing. It is not something that the PLS is responsible for alone. The *Objective* statement is:

The contribution of agriculture to improved rural livelihoods in the KKM-PLS enhanced.

7. The key word in this statement is **livelihoods**. Everybody has a livelihood, a broad definition is given below:

*A livelihood comprises the capabilities, assets and activities required for a means of living. It is sustainable when it can cope with, and recover from, stresses and shocks, and maintain or enhance its capabilities and assets without undermining the natural resource base.*<sup>4</sup>

8. The concept of livelihoods involves five key assets, referred to as:
  - a] **Human Capital**, which represents the skills, knowledge, ability to work and be in good health.

<sup>4</sup> Adapted from *Sustainable Livelihoods Guidance Sheets*, Department for International Development, London, UK. [Further information is available online at <http://www.livelihoods.org> and guidance sheets may be found at [http://www.livelihoods.org/info/info\\_guidancesheets.html](http://www.livelihoods.org/info/info_guidancesheets.html) ]

- b] **Social Capital**, which is about networks and connections, social groups
  - c] **Natural Capital**, this is the natural resource stock from which the resource flows and services need for livelihoods flow. It may include, *inter alia*, land, trees, livestock, erosion control and water.
  - d] **Physical Capital**, which represents the infrastructure and tools needed for livelihoods, including housing, transportation, roads and access to information.
  - e] **Financial Capital**, this may be financial stocks such as savings, cash or bank deposits, or income sources or flows such as remittances, wages or proceeds from the sale of goods.
9. These assets are subjected to external shocks and stresses, and the poor are especially vulnerable. Agriculture may contribute to any or all of these basic components of livelihoods. By, for example, increasing knowledge and skills, developing networks, improving environmental factors, increasing access to information and improving markets and sales of produce.
10. **By improving livelihoods, an impact can also be made on poverty, which results from low levels of one or more of the assets which comprise the livelihood.**
11. Poverty reduction is the principal aim of many initiatives in Africa, and by making this Objective statement the KKM-PLS is undertaking to support and focus on the rural poor and improve the contribution that agriculture makes to livelihood assets with the aim of reducing poverty. The statement does not exclude working for, and on behalf of other economic groups, but it does focus on the rural poor which can be seen to encompass not only farmers but also socially excluded or disadvantaged groups who have no access to land.

#### **KKM-PLS PURPOSE statement**

12. The *Purpose* of a logframe is defined as the *Why*, the anticipated impact of the project or programme, for which the framework has been developed. In this context it lies just outside the control of the KKM-PLS, depending on external factors, and is an **end point**, not a process. If the *Purpose* is achieved, and the *Assumptions* at *Purpose* to *Objective* level hold true, then the programme will make a significant contribution to the *Objective*. The KKM-PLS *Purpose* statement is:

Sustainable smallholder agricultural systems and rural household incomes in the KKM-PLS improved.

13. This short statement focuses on achieving improved smallholder farming systems, so that they are more productive, with an emphasis on the sustainability of the natural resource base. Improved income is also to be achieved the *outcome* of which will be better education opportunities [human capital in the livelihood context] and physical assets in the form of purchase and use of animal-drawn farm equipment.

## KKM-PLS RESULTS

14. The *Results* in this logframe are what are deliverable by the KKM-PLPS under the SSA-CP. Four *Results* have been identified. These are considered to be both **necessary** and **sufficient** in order for the *Purpose* to be achieved, provided the *Assumptions* at *Result to Purpose* level hold. The KKM-PLS *Results* are:

### Results

1. Appropriate technologies/innovations for intensifying smallholder farming systems and natural resource management generated and/or promoted.
2. Efficient input and output marketing systems made available and accessible.
3. Capacity building, information and communication systems and institutional/organisational change for stakeholders enhanced.
4. Enabling institutional and policy options for sustainable agricultural systems made available.

15. Each of these *Results* is derived from the opportunities and constraints identified by the Validation Team, and summarised on page 33 [Results 1, 2 and 4] and pages 28-31 [Result 3]. There are many issues embedded in these statements and in the development of taskforce [and project if appropriate] logframes these can be unpacked to reflect the inherent diversity represented by the statements.
16. Further definition of all the Results can be seen in the *Indicators* and *Activities* associated with them.

### **Result 1 *Appropriate technologies/innovations for intensifying smallholder farming systems and natural resource management generated and/or promoted.***

17. *Technologies and innovations...* covers a wide range of issues including *inter alia*, seed and breed development, management strategies and information systems.
18. *Natural resource management...* covers soil and water management opportunities including water harvesting, agro-forestry and other issues.
19. *Generated...* includes the evaluation and development of existing, and the creation of new, technologies/innovations.
20. *Promoted...* covers all aspects of preparing and packaging material, ideas and information for use in uptake pathways in the upscaling and outscaling of knowledge. It includes, *inter alia*, multi-media material, field demonstrations and farmer visits

### **Result 2 *Efficient input and output marketing systems made available and accessible.***

21. *Input marketing system...* includes traditional agro-chemical marketing as well as financial inputs and especially credit, which is a key issue and focus in the KKM-PLS.
22. *Output marketing system...* covers the whole production to consumer continuum from farmer to consumer.
23. *Efficient...available and accessible...* means that not only are these markets operating with increased efficiency, they are both available to a wider range and large number of users but they are also something which can be utilised.

**Result 3 Capacity building, information and communication systems and institutional/organisational change for stakeholders enhanced.**

24. This covers a very wide range of stakeholders, needs and options for change. They are fully covered in the *Validation Report*, but key issues have been highlighted in the *Indicators*. An extremely important focus is on vulnerable groups including, *inter alia*, women and youths.

**Result 4 Enabling institutional and policy options for sustainable agricultural systems made available.**

25. The Programme is unable to make policy, however it is in a position to develop options, make recommendations, advocate and influence those that do. In delivering this *Result* the Programme is undertaking to do the necessary research and advocacy so that the best possible options are made available to those with decision making powers. These issues are further defined through the *Indicators*.

**KKM-PLS ACTIVITIES**

26. The activities for each of the four *Results* have been derived from the *Validation Report*. They represent a summary and aggregation of key areas identified in this study [page 33].
27. Some of the key issues for each of the four groups of *Activities* are shown below. These were identified during the KKM-PLS Logframe Workshop.

**Activities for Result 1 [Logframe]**

*For the intensification of smallholder agricultural systems and using participatory research and extension approaches [PREA]:*

- 1.1 Collate and evaluate the appropriateness of available crop, livestock and NRM technologies and innovations.
- 1.2 Identify new technologies and innovation options in crops, livestock and NRM.
- 1.3 Generate, develop, validate and adapt appropriate crop, livestock and NRM technologies and innovations.
- 1.4 Promote appropriate crop, livestock and NRM technologies and innovations.

These *Activities* include, *inter alia*, the following:

- Test crop production and post-harvest pest control technologies
- Introduce and establish IPPM and FFS to develop crop and livestock production
- Develop and promote appropriate low cost inputs
- Develop labour saving devices and cropping systems
- Identify and test labour saving devices
- Identify and make available appropriate, low cost irrigation systems
- Develop appropriate cultural practices, high yielding crop varieties and high value products
- Develop and promote strategies and practices for integrated crops and livestock production
- Identify and test drugs and vaccines for control and prevention of livestock diseases
- Fabricate appropriate animal drawn implements and other farm tools
- Development of appropriate smallscale irrigation rainwater harvesting techniques, soil and water conservation practices

- Promote animal health care delivery to rural livestock produces using community-based animal health workers
- Promote community seed and improved breeds of livestock production and distribution
- Environmental assessment of potential dam sites
- Identify potential irrigation areas and introduce new water lifting devices
- Development of appropriate practices for rangeland management
- Develop suitable mechanisms to stimulate community grazing resources

### Activities for Result 2 [Logframe]

*Using participatory research and extension approaches [PREA]:*

- 2.1 Identify and assess input and output markets in KKM PLS agricultural systems.
- 2.2 Develop appropriate input and output market systems, focussing on market information systems, storage and credit.
- 2.3 Promote linkages between input and output markets and farmer organisations.

These *Activities* include, *inter alia*, the following:

- Identify appropriate market, credit institution and storage facilities
- Develop contract farming strategies
- Test alternative contractual arrangements between processors and farmers
- Develop and promote the use of market information systems
- Promote linkage between agro-input dealers associations and farmers' groups
- Assess the structure, conduct and performance of markets for crop and livestock products
- Organise farmers for bulk purchasing of inputs and marketing produce
- Develop input and output market systems

### Activities for Result 3 [Logframe]

- 3.1 Identify and review approaches to research implementation and technology delivery systems.
- 3.2 Develop and establish appropriate media and mechanisms to improve the flow of information.
- 3.3 Train stakeholders on the concepts, practices and applications of IAR4D.
- 3.4 Promote and enhance farmer groups, CBO and networks to create better access to information and improve conflict resolution.

- Enhance capacity of farmer groups to access inputs, negotiate fair prices and credit
- Train major stakeholders on the concepts, practices and application of IAR4D.
- Provide technical backstopping to extension agents
- Test and promote alternative systems to disseminate information to stakeholders
- Prepare suitable technical training packages for key stakeholders
- Use appropriate media to improve the flow of information on production,

storage and processing, marketing amongst stakeholders

- Identify, test and promote alternative research approaches
- Establish agricultural resource development centre
- Promote organisation and formation of CBOs
- Review various alternative approaches to research and extension delivery services
- Organise policy awareness workshop for major stakeholders

#### Activities for Result 4 [Logframe]

- 4.1 Review existing policies affecting NRM, marketing and agricultural input/output systems.
- 4.2 Document and evaluate appropriate policy options and frameworks to address NRM, local government, land-tenure/use and agricultural input/output system issues.
- 4.3 Promote to policy makers and/or development planners information and policy options on stakeholder-identified needs.

- Review existing policies affecting NRM, marketing and seed systems
- Study the nature, structure and dynamics of community resource-use conflicts and management systems
- Identify areas in the production to consumption chain requiring subsidies and proffer delivery systems to appropriate beneficiaries
- Develop new approach for formulation and implementation of land-use and management policies to minimise natural resource use conflicts
- Organise stakeholder workshop to discuss issues emanating from the review and produce appropriate policy options
- Provide options for resolving conflicts between pastoralists and farmers on resource use
- Identify alternative dissemination approaches to facilitate scaling out and scaling up of technologies
- Make available to policy makers information and policy briefs on farmer identified needs for guaranteed minimum prices
- Develop policy briefs to address roles of local, state and federal government in rural infrastructure constraints limiting access to input and output markets
- Provide the framework for the effective participation of local government in rural agricultural development

#### KKM-PLS ASSUMPTIONS

28. The *Assumptions* are one of the most important components of a logframe but they are often not given sufficient attention. They are outside the control of the programme, but need to be carefully monitored so, if possible, appropriate action can be taken should the need arise [see below].
29. To remain valid, it is essential that the logical flow of the framework is uninterrupted from top to bottom [see figure 3]. If a break occurs in the flow, because an *Assumption* fails to hold, then it may well become impossible for a project or programme to succeed.

30. In classifying Assumptions for management purposes, two specific aspects need to be considered. The probability that the assumption will not hold and the importance of that *Assumption* to the flow of logic. The significance of how an *Assumption* is characterised is shown in Figure 4.
31. Depending into which category the Assumption falls, depends the most appropriate management response.
32. If an *Assumption* has a high importance and there is a reasonably low probability that it will fail to hold, then it would fall into Box A. Such an *Assumption* would need to be monitored to ensure it didn't move towards or into Box C, but little further action would be required. Similarly if it were of low importance but there was a high probability it would fail to hold it would be in Box D and monitoring would be required to ensure it didn't become more important and move towards or into Box C.
33. *Assumptions* of low importance, with a low probability that they will fail to hold [Box B] can be loosely monitored to ensure they do not change their status but are usually not a direct threat.
34. The most important category of *Assumption* are those that are important, and for which the probability of them failing to hold is high. These would fall into Box C of Figure 4. These are generally referred to as **Killer Assumptions** because they result in a break in the flow of logic and the failure of the programme or to deliver.
35. No logframe should be developed or implemented if it contains killer assumptions. These need to be managed at the design stage, either by decreasing the likelihood of them not holding, or by reducing their importance. This is often achieved by internalising them within the design of the framework, thus bringing them under the control of management.
36. The importance of closely monitoring those in Boxes A and D, is that they may easily become killer assumptions and cause the failure of the programme.

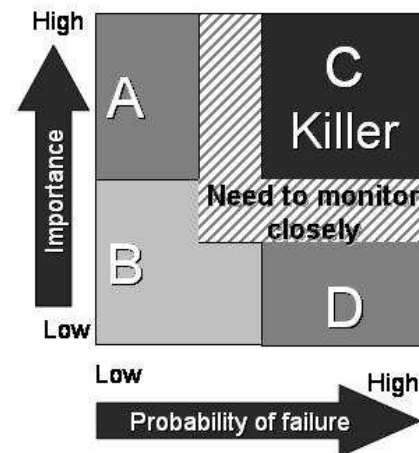


Figure 4 Assessment of the significance of logframe Assumptions

**Annex 3: SSA-CP Concept Note *pro forma***

**Annex 3 (i): CN Header Sheet Format for KKM PLS**

Taskforce Co-ordinator	
Address	
Telephone	
Fax	
Email	
Taskforce members	
Project Title	
Entry Point	
Project Location	
Total Cost of Project	
Duration of the Project	
Date of CN Submission	

**Annex 3 (ii): Format for Logical Framework for KKM PLS**

<b>Logical Framework</b>			
<b>Narrative Summary</b>	<b>Objectively Verifiable Indicators</b>	<b>Means of Verification</b>	<b>Assumptions</b>
Objective [Goal]			
Purpose			
Results [Outputs]			
Activities	Inputs and Indicative Budget		

**Annex (iii): Format for Information on Concept Note for KKM PLS**

<b>Background</b> [Guideline 400 words]
<b>Partners and Partnerships</b> [Guideline 100 words]
<b>Project Objective [Goal]</b> – Guideline 150 words
<b>Project Purpose</b> – Guideline 100 words
<b>Project Results [Outputs]</b> – Guideline 300 words
<b>Project Activities</b> [Guideline 400 words]
<b>Major Assumptions</b>
<b>Financial Summary – Indicative Budget</b>

