

Chapter 7 Natural Resources Systems Programme

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Key Issue	Key Findings
<p>Knowledge Dissemination</p> <p>Adoption, lessons etc. from different approaches to dissemination and uptake promotion.</p>	<p>Knowledge dissemination has been exemplary in some cases under NRSP. The number of peer reviewed publications has been limited for some of the sampled projects, but these may have good score on disseminating to other stakeholders like outreach services and policy makers. The programme has developed a very active approach to information and communication, and a communication plan is required from all projects. NRSP has also ventured far into uptake promotion, and developed new knowledge in this regard. A strong system for specifying stakeholders with whom each project can achieve development impact has been developed. This has contributed to focussing programme planning and specifying for whom each project is carried out.</p>
<p>Management Approach</p> <p>Identify the lesson learning on identification of demand, relevant project design, appropriate dissemination and uptake pathways etc.</p> <p>Identify the lesson learning from different approaches in selecting and designing projects to achieve the purpose.</p> <p>Identify how the programme has evolved and become more demand driven.</p>	<p>NRSP started off as a typical supply driven research programme, where research institutions in UK defined the ideas. Gradually however, very deliberate efforts have been undertaken to identify useful approaches emerging from previous projects and from a number of cross-programme initiatives (see annex 2) and programme development activities. Partners in the south have been increasingly involved in project identification and development. Dissemination has been guided by the clear definition of stakeholder domains and uptake pathways. This has to some extent led dissemination away from the unspecified "scientific community" to more targeted communication directed at outreach services, end users and policy makers. An elaborate system of peer review of proposals and communication with research teams prior to project upstart has helped ensuring relevance, documentation of the need for this specific project and identification of stakeholders to the outcomes.</p> <p>Programme management has undertaken a close follow up of projects, and quality standards have been enforced e.g. through requiring FTRs to be rewritten and findings to be more thoroughly substantiated. Involvement of overseas partners has grown steadily through the programme period, indicators of this is e.g. number of overseas led projects (1% in 1995/44 % in 2004) and level of overseas expenditure (6% in 1995/44% in 2004). The development of a consistent programme level logframe and good indicators has contributed greatly to ensuring that the decisions regarding selection of projects actually did promote the delivery of the desired outputs and made contributions towards the goal.</p>

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<p>Conclusions and Lessons for the Future</p> <ul style="list-style-type: none"> • Knowledge dissemination • Capacity building • Maintaining high science quality • Management • Research themes for the future <p>Recommendations on the future research themes should refer to DFID's comparative advantage (or otherwise) in the context of international support to natural resources research.</p>	<p>Conclusions and lessons learnt</p> <ul style="list-style-type: none"> • NRSP has contributed to development of new knowledge in particular in the crossroads between traditional disciplines, through an integrated and holistic approach • NRSP has shown varying degrees of success in dissemination of findings; there are some very good results towards policy makers, outreach services and end users, a little bit less towards the scientific community and the donor community • NRSP has contributed to capacity building in many projects. However, the Strategy itself has not been well designed to achieve this objective. Future research funding should be more strongly linked to selected overseas research institutions, giving long term support in developing scientific capacity (including e.g. PhD scholarships) and implementation of projects selected and implemented in collaboration with relevant institutions in the North (not only UK). • Strict and transparent procedures should be maintained in programme development and selection of projects for funding, and systems ensuring relevance, targeting of stakeholder domains and close follow up should be exercised. NRSP has gradually reached a level where all of this is in place. One next step would be to help transfer these systems to overseas partners. • Research priorities for the future should include maintenance of the interdisciplinary profile, involvement of social scientists from the initial stages of planning, focus on livelihood relevance and poverty focus, maintain focus on communication strategies, targeted approach to the stakeholder domains and uptake pathways, focus on service delivery and the further development of participatory methodology and consensus building techniques. • Studies related to development of integrated regimes for resource management should be continued, including focus on common pool resources, consensus building methodology, focus on livelihoods in the peri-urban interface, water harvesting and water management as well as developing options for marginalised and landless, exemplified e.g. through the projects on policy development and service delivery related to small scale aquaculture in India. • The management systems developed under NRSP are fairly robust and transparent. They could be used to manage a considerably larger portfolio than the NRSP only. Future strategies may reduce transaction costs by joining together larger groups of NR related research topics under one management

Key Issue	Key Findings
	<ul style="list-style-type: none"> DFID has played a major role in NR related development programmes and in NR related research in a number of countries. However, a striking lack of links between DFID development programmes, DFID country offices and the RNRRS research activities has been observed. Changes in DFID approaches to development should trigger a similar change in the approach to DFID research funding, i.e. moving gradually more programming, decision making and monitoring to partner countries and partner country institutions.

7.2 ACHIEVEMENT OF PROGRAMME OUTPUTS (logframe in Annex 7)

In general the outputs of NRSP are well formulated and realistic. The programme level management has undertaken a very deliberate effort to develop the logframe and to pursue the outputs through designing the research strategy and commissioning research programmes in order to ensure delivery of outputs. The logframe at programme level was developed only in 1999, whereas most projects had separate logframes before that time. The clear focus and direction of the NRSP portfolio would not have been possible without a clear and shared understanding of the logframe, linked to a focus on the programme's themes. The indicators are generally good and sufficiently specific. This is a rare case for evaluators; to see well developed logframes and indicators, and a programme management following it through with determination.

Output 1 *Enhanced understanding of the factors that influence livelihood strategies of the poor who largely depend on the NR base, and integrated management opportunities that could benefit the poor.*

This has been delivered through many of the projects undertaken, and in particular through programme development activities, e.g. PD 105, PD 084 and PD 104 (see annex 2). From projects implemented this kind of understanding has been developed e.g. in the peri-urban studies in India (R 7959 and R 8084 and associated projects), in the floodplain management studies in Bangladesh (R7868 and R 8306 and associated projects) and in the water harvesting efforts in Tanzania (R6758 and 7888 and associated studies). The indicators are fairly specific and time bound, and most have been met through the outputs of specific projects and project clusters.

Output 2: *Means to realise improved integrated NR management strategies for specific groups of the poor identified, tested and promoted with target institutions that are stakeholders in the various projects in NRSPs portfolio.*

This output has also been delivered to a large extent. The methodology for enhancing consensus and participation between stakeholder groups developed in e.g. R8100 in India is one example of this. Communication and dissemination has been integral elements of several projects, and also of cross programme activities (e.g. PD 093). NR related decision aids have been developed (e.g. in water harvesting and floodplain management options). Target institutions have participated in research and benefited in the form of increased capacity for implementing projects in the future. Specific numbers linked to each indicator has not been studied in detail, but some of the delivered numbers may be a bit below the level spelled out in the various indicators. However, the indicators are relevant, and results have been delivered on all of them.

Output 3: *Wider availability of new knowledge from NRSP funded projects ensured in target countries, to add value to what projects achieve in projects' target sites, by communication with additional relevant target institutions at a range of levels, including policy actors.*

This has been delivered through many of the projects undertaken. Links have been maintained to a number of institutions and in several cases with policy makers as well. In some cases profound effects have come out of this increased knowledge. In some cases however, the new knowledge produced from projects has been limited, and the wider availability of knowledge is more in the form of disseminating existing knowledge and using it in new settings. In general the level of achievement defined in the indicators has been met, although in some of them, e.g. the effect of "communicating the findings" has not been defined (e.g. indicator 3 on the logframe). Also, as commented in the NRSP report, the dissemination to DFID country desks and projects has been limited in most cases. Reasons for this have been discussed in the report.

Output 4: *New knowledge from NRSP research promoted with international stakeholders.*

Dissemination to the science community and to other international fora (e.g. DFID and other donor organisations) has been of varying quality. Many projects have not targeted this domain, and indeed not all projects should. Uptake pathways and scaling up methodologies have however been developed very well though commissioned studies (e.g. PD 109 and R 7865). A number of conference papers and publications have made new knowledge available. The final touch of making NRSP results available at the global level, was however still to come at the time of the evaluation. Assessment of the indicator regarding evidence of demand in 2006 has not been done.

Output 5: *Capacity building that is expected to lead to continuing favourable outcomes for poverty focused research and for linkage of this research with development plans and processes.*

This output has been delivered to some extent only. The profile of the strategy itself has not been conducive to major results to this effect. Indeed in many projects capacity has been developed that will enhance the ability of the south partners to play a positive role in research and in the development of their country. Some stunning examples of this exist, e.g. the water harvesting research in Tanzania. However, partnership building, institutional collaboration beyond the specific projects, capacity building through assisting with e.g. PhD degrees for partner staff, have not been strong elements in the strategy, or has been directly discouraged. This has limited the delivery of the output.

7.3 BACKGROUND

Introduction

This report refers to the Natural Resource Systems Programme – NRSP. In order to get an impression of the quality of the NRSP research activities, a review of the strategy and quality assurance procedures of the programme has been carried out, and a sample of 14 projects or about 7,5% of the total number of projects implemented under NRSP have been reviewed in some more detail. The focus has been on quality of research commissioned under the programme

Brief description of NRSP

Natural Resources Systems Programme is one of the 10 research programmes under RNRRS. The current⁵ purpose of NRSP is “to deliver new knowledge that enables poor people who are largely dependent on the natural resource base to improve their livelihoods”. NRSP has implemented a total of 187⁶ projects during the period 1995 to 2004, including ongoing projects. In addition, a number of programme development activities and cross-programme research assignments have been commissioned. NRSP has since its inception focussed on systems research. This has prompted the programme to work in an interdisciplinary and holistic way and with a broad approach to identification of barriers to development. In recent years the programme has defined its focus – rather than to be on the “researchable constraints” – to be on the opportunities for the poor to improve their livelihoods; and on ways and means to effect change in the management of natural resources.

Through these approaches it has become involved with social, economic, biophysical and institutional factors that influences the ability of poor people to use and maintain the natural resource base on which they depend. NRSP has been less technology oriented than much previous research in the NR field, and presumably also less than the other programmes under the RNRRS.

NRSP has organised its work around six production systems (PS):

Forest agriculture interface (FAI)	Land water interface (LWI)
High potential systems (HP)	Peri-urban interface (PUI)
Hillsides systems (HS)	Semi-arid systems (SA)

⁵ Before 2000 there was no programme level logframe for NRSP

⁶ According to DFID HQ database on RNRRS

The programme in 1995 inherited a portfolio of pre-RNRRS projects, and spent considerable efforts to restructure and redefine these into a systems research strategy. There were expectations from certain disciplinary environments in the UK that the NRSP would cater for “their” research portfolio; this was particularly evident for soil and water related sciences, which did not have a programme of “their own” like many other NR related disciplines. This has to some extent influenced the project portfolio throughout the programme term. Up to early 1999, NRSP was managed from DFID headquarters. In 1999 it was outsourced through a tender process, and has since been managed by a consortium led by Hunting Technical Service (HTS, later HTSPE). This outsourcing, and the restructuring resulting from changes in development policies, has also posed numerous challenges to programme management. These are eg linked to redefining the project management strategies and reshaping the project portfolio eg to increase the focus on livelihoods, poverty and uptake promotion. The use of communication as a means of promoting uptake has also been emphasised. For more details of programme management.

NRSP has worked in a wide range of countries and disciplines. It has been active in 3 countries in Latin America, a group of about 7 countries in the Caribbean, 7 countries in Asia and 13 countries in Africa. However, in recent years the programme has focused on 7 geographic areas. The programme has been involved in research linked to a wide set of topics, like e.g. coastal zone management, community forestry, soil fertility and integrated plant nutrient management, aquaculture, social capital, uptake of research findings, policy related issues, the special challenges of NR management in peri-urban areas, governance, development processes and consensus building methodology, rural credit, water harvesting, integrated floodplain management, environmental policies, farming systems, common pool resources, coping strategies in various ecological settings, watershed management - and many others. A common feature is the focus on research into opportunities for improvement of the livelihoods of poor people. For poor people the challenge of improving their livelihood is in most cases linked to a number of factors. NRSP has proactively worked to identify systems related challenges and opportunities, and focussed research on those. *This has led to a number of findings and achievements that may not have been possible through a more traditional disciplinary approach.*

Research strategy for NRSP

The research of NRSP is based on the idea that knowledge must be delivered in a form that can be used by stakeholders, be it by the poor themselves, by development agents or by policy makers. The concept of integrated approach involves three interrelated fields: the NR base itself, the livelihood strategies of the people involved and the institutional environment in which development will take place. The research strategy was in the early phases (while the programme was managed by DFID) broadly defined through the logframes for each of the production systems, as there was no common programme level logframe. The management of projects was at that time vested with external systems managers, with less focus on a common research strategy at the programme level. There were 4 external managers looking after the 6 production systems⁷. In more recent years (post '99), a common programme level logframe has been developed and used actively to guide programme management. (See the programme logframe in Annex 7) The programme has also been guided by six elements in addition to the logframe. These are: i) poverty focus, ii) systems approach, iii) formulation and implementation of a research plan for the management term, iv) proactive programme development activities, v) communication and scaling up strategy and vi) impact assessment. (quoted from AR 2001-2002). The focus on delivery of knowledge and uptake promotion has been developed more precisely in the last few years, resulting (since 2000) in focus on providing research products related to 9 cross cutting research themes. These themes were used in the development of the programme level logframe, and the research outputs linked to each theme are used as OVIs for output 1 and 2 in the programme level logframe. These are the outputs related to a) *enhanced understanding of the factors that influence livelihood strategies and integrated management opportunities* and b) *means to realise these strategies and opportunities*. Most projects have been designed to deliver on more than one theme. The themes are as follows:

- a. Enriching knowledge of livelihoods in relation NR management
- b. Efficacy of participation in decision making for reaching the poor
- c. Gaps between development and adoption of NR technologies
- d. Better information for pro-poor service delivery
- e. Livelihood knowledge for pro-poor policy dialogues
- f. Links between households, communities and policy makers
- g. Institutional constraints and options
- h. Piloting new (pro-poor) NR management strategies
- i. Strategies for scaling up research findings

⁷ 4 in NR International Ltd, 1 in Newcastle and 1 in Silsoe

The focus on these themes is seen by the evaluator as an innovative and professional approach to ensuring delivery on the central outputs of the programme, and to take the OVIs at the programme level seriously.

NRSP has implemented a number of cross programme initiatives. The purpose of these has been to improve the quality of research in fields related to e.g. livelihoods, poverty focus of projects, communications, research methods (e.g. Socio-Economic Methodology-SEM), common pool resources and participation/consensus building, uptake promotion etc. These have contributed to binding the programme together and to the overall quality of research. It has also been important for guiding further development of the research portfolio, and to ensure delivery consistent with the logframe of the programme. The focus on communications has, as an example, made strong contributions to the research projects under NRSP. Treating communication as a research topic of itself has yielded inputs that have been used in other projects. New knowledge on how to interact with communities and policy makers has been made available. Communication is now seen as integral to the research itself in many projects. A communication plan is a standard requirement for all NRSP projects. This and other cross programme initiatives have in the view of the evaluator been of great importance for the overall result of research under the programme. A list of major cross programme initiatives is attached as Annex 2.

7.4 SAMPLING AND METHODOLOGY

Sample of projects for more detailed assessment

In order to look into a sample of projects carried out under the NRSP, 7 clusters, and 2 projects in each cluster were selected; a total of 14 projects, or about 7.5% of the total number of projects.. These were selected to cover all 6 production systems, all Uptake Promotion Nodes except Bolivia and the Caribbean (i.e. also most of the countries with a considerable number of projects), recent and ongoing projects vs. projects from the earlier phases of the programme, more successful projects vs. more problematic projects, projects linked to different types of resources and projects more focussed on producing new methodology or knowledge vs. projects more focussed on uptake or policy influence. Several of these criteria can be identified in individual projects, and no project is e.g. only successful or only problematic.

Methodology:

In addition to the above brief review of the programme structure and its quality assurance systems, the evaluation of the sampled projects has used a combination of assessing the FTRs, studying the external scientific reviews of FTRs, reviewing project files and various minutes from meetings within the programme, studies of number and type of publications and other project outputs, interviews with project managers and responsible SG members and discussions with the current and the previous programme managers for the NRSP programme. Assessments are described in a short paragraph on each project, and the assessments are converted into a score table, giving scores between 1 and 10 for each of the following criteria:

1. New knowledge (i.e. does the project contribute to new knowledge?)
2. Use of existing knowledge in new contexts
3. Innovation and risk
4. Awareness of current knowledge/literature
5. Achievements in relation to logframe
6. Science capacity building
7. Building of institutional links between UK and institutions in the south
8. Dissemination to the following categories:
 - a) The science community
 - b) Developing country policy audiences
 - c) Developing country outreach services
 - d) Developing country end users
 - e) The international donor community

Findings on selected projects

Overall findings

The following chapter contains assessment of the research undertaken in selected projects of the NRSP. The overall impression is that research is of very good quality in most projects. Some projects have been less successful in some respects, and this is commented under each project. A special trait of NRSP projects is the strong effort to maintain a systems level approach in research. This has prompted a clear interdisciplinary approach, and some research teams are composed of scientists from different backgrounds, including social sciences. However, the programme history being vested in typical natural science institutions, the involvement of social scientists has only been gradual. The tradition in the UK for interdisciplinary research has not been particularly strong. Many project teams still have a strong natural science bias, but many researchers have a strong commitment and growing insights in social science based knowledge and methodology. However, it is the view of the evaluator that future programmes would benefit from bringing on board strong social science environments from the outset. Relying on natural scientists who have moved sideways to encompass social science aspects is not an adequate solution in a longer perspective, as it may well affect the overall quality of science.

Research projects have in many cases ventured into unknown land in the sense that multidisciplinary teams have studied NR based systems with a strong focus on how people make choices to improve their livelihoods. Many findings are of a nature that depends on this broad approach, and they may not have been seen by a more narrowly composed team looking into the same system. Many projects are also “action oriented” by nature in the sense that they operate in a real-time development setting. Teams take part in development operations, and try to learn more about the effects of various interventions. Research teams in such cases do not have control over more than a limited number of factors affecting the outcome. Both of these elements represent (various degrees of) risk and innovativeness, that is reflected in the assessment of individual projects. These elements have also caused discussions in some projects whether research or development effect is at the core of the project purpose. Recent projects have tended to include increased proportions of project activities on the development side, while all have maintained a research commitment at least for some parts of the work. However, some projects have not included sufficient time for promoting uptake of its findings in the project plans. This has in some cases been remedied through targeted follow up projects.

Given the strong focus from DFID on uptake and impact of the programmes, the NRSP has developed a number of good approaches for promotion of uptake, and has also conducted separate research projects on uptake. Project suites have shifted focus in the recent years, in order to prepare for a completion of the programme, and ensuring that research findings are not left hanging in the air. This is seen by the evaluator to be a professional response to the requirements of the funding agent. This might be expected to have effects on the inputs of new original research, and to cause a shift from *research* into *implementation*. The effects are however less than expected, but it has clearly shifted the focus of the research, from an early focus on *understanding the systems and testing methodology* to a more recent focus on *studying the effects of development interventions and understanding requirements for effective uptake, including requirements for policy change*.

Some of the research projects and some of the cross programme initiatives have made small or big contributions to the international agenda on development research. A list of potential programme level influence to the international agenda in Annex 3. Good examples in this respect are the Participatory Action Plan Development method from the Bangladesh suite 1 now being used in similar projects in India and Vietnam, and the methodology being used by the World Fish Centre in poverty oriented fish farming projects. The influence of the Tanzania rainwater harvesting projects (Eastern Africa suite 1) on the development of regional RWH networks and new RWH projects, as well as the visibility of the topic in international forums is another example.

One area of concern that arises from most of the selected projects is the lack of links to DFID development projects. The changes in DFID's operational policies, shift of programme planning to country offices, reductions in number of sectors to be supported in each country, lack of mechanisms for capturing research outputs, differences in programming cycles and other factors have all contributed to a very ad hoc pattern of collaboration between NRSP and DFID projects. This lack of links to development agencies may have prompted research teams to move a few steps further into implementation than otherwise would have been seen necessary. It may be debated whether the most cost effective way of ensuring uptake is to have research teams venture into this challenge. Development of effective links between research and development activities remains an unresolved challenge for future programmes.

The sharing of knowledge between programmes and between stakeholders is another area of concern. This seems not to be taken effectively care of today, and there would be a role for DFID or an institution contracted by DFID to develop more effective systems of sharing knowledge. The website of NRSP <http://www.nrsp.co.uk> (and some other RNRRS programme sites briefly visited) does not as of today play an effective role in this regard. For NRSP, a new database is now under construction, and this may improve accessibility of knowledge through the web.

Findings on individual projects

Land Water Interface. UPN: Bangladesh, Suite 3

R7868: Maximisation of joint benefits from multiple resource use in Bangladeshi floodplains

The project

This project was a mostly desk-based study to develop a model for effective management of multiple resources in the floodplains. It was undertaken by the University of Reading, in collaboration with UK based and Bangladeshi collaborators. The team was interdisciplinary, including economists, agronomists and fisheries specialists both in the design and implementation phases. It was also linked to an NGO in Bangladesh, which facilitated the communication at all levels in Bangladesh. The project was built on preceding projects designed to gain increased understanding of the floodplain dynamics.

Assessment

Research and capacity building (criteria 1-7)

The design of this project was built on findings from previous research. The volume of previous research using an integrated approach looking at the interaction between fish production and agriculture is limited, and the introduction of poverty indicators, GIS and a focus on dry season water management makes this modelling exercise innovative. A key new finding is that with fairly modest adaptations of the agricultural practices and water management regimes, the dry season aquaculture for poor farmers in the plains can gain substantially. The gains have been quantified and linked to 4-5 major strategic options for management of water, timing of crops etc.

The research is seen as innovative because it's linking of knowledge from different disciplines, and the findings are of a nature that would not have been discovered using a single discipline approach. The scientific risk taking is therefore linked to positioning the work between disciplines, and using mostly existing knowledge from previous research in new combinations without knowing whether this will provide evidence for a hypothesis. Beyond this, the scientific risk is deemed moderate.

The research team seems to have done thorough literature reviews, including review of different modelling systems. Team members are highly qualified in their respective fields. The NRSP programme has contributed to bringing together relevant expertise for the project.

The project has to a large extent achieved its objectives, and thereby contributed to the programme level outputs 1 and 2 in particular. The project has contributed to science capacity building for the main Bangladeshi partner CNRS (Centre for Natural Resources Studies, a science based NGO), whereas no local university was deeply involved. Institutional links are still deemed to be ad hoc; and linked to this specific cluster of projects only (This item is seen differently in the next project in the cluster, project R8306, see next project).

Dissemination (criterion 8)

The project has disseminated effectively to the scientific community through 3 articles published and one in preparation, and a functioning model available and documented. The policy audiences were informed, but not targeted specifically except through press, workshops etc. The same was the case for outreach services. The end users are indirect beneficiaries in this case, if the new knowledge gained is put into practice. Field implementation was not the intention of this project, but planned for a follow up project. The international donor community was informed through invitation to the workshops presenting the findings of the modelling exercise. In general the Bangladeshi setting is one of too many workshops and presentations for donors and stakeholders to be able to benefit fully from each event. The involvement of CNRS was of great importance in gaining access to the various national audiences.

Production system: Land Water Interface. UPN: Bangladesh, suite 3

R8306 Better options for integrated floodplain management – uptake promotion

The project

This project is based on the model developed in R7868, using it to test options for maximising benefits for the floodplain population. This is a typical case of applied research and experimental development, involving communities and stakeholders, and combining development objectives with research objectives. Still most of its activities are within the Frascati definition of R&D. The project is being led by Centre for Natural Resources Studies, CNRS, a science based NGO in Bangladesh. Important partners are the University of Reading, World Fish Centre and MRAG. In addition a strong component of communication is included in the project, using expertise from ITAD (Information, Training and Development Ltd.).

Assessment

Research and capacity building

This project mainly builds on findings from previous research in the same cluster. It has contributed to the “packaging” the concept of IFM and bringing this to the attention of primary and intermediate stakeholders at the local and national levels. The local partner CNRS has played a critical educational and facilitating role in this project. The project has piloted and field tested different strategic options for IFM, and assessed the effects of the different options. A clear understanding of the resource systems and current knowledge, attitude and practice of stakeholders is seen as the basis for effective uptake and promotion of IFM in Bangladesh. Making recommendations for effective communication is also seen as a part of the research output, as is the assessment of institutional learning systems in relation to IFM. The research assignment of the project is visible when looking in some detail at the project plans, while it is not strongly expressed in the logframe. The scientific risk of the project is seen as quite limited, beyond the fact that adaptive research in a real-time development setting where many factors are beyond the control of the researchers increases the uncertainty of the research process. Also, integrating several disciplines and a deliberate communication strategy in the research process carries some level of risk.

The awareness of existing research is deemed as good. The lead agency, CNRS is frequently exposed to international research events, and has a comprehensive overview of Bangladesh literature. Project partners like the World Fish Centre also contribute good insight to other relevant research.

The project is not completed, but according to the MTR it is achieving according to plan on most outputs. An exception is the dissemination to the policy level stakeholders. If this is rectified, the project is expected to achieve very well towards its own logframe, and to contribute effectively to programme level outputs. Science capacity building has clearly taken place in the local lead partner CNRS. However, this is an NGO, with a limited bearing on the rest of the scientific community in Bangladesh. Institutional linkages have certainly developed through the project (or rather the cluster of projects). Links to CNRS, World Fish Centre and IUCN are likely to continue independently of NRSP funding. Indeed, new projects are being implemented by some of the partners with other sources of funding, e.g. an ITAD/CNRS project based on WB funding.

Dissemination

The dissemination to the scientific community is not a high priority in the project, and no refereed articles are registered. The communication to policy makers and authorities is a major purpose of the project, as is the communication with end users. A well-structured communication strategy is incorporated into the project, involving communication as a continuous process throughout the project period⁸. Although the progress in these fields is a source of concern in the recent MTR, these core elements are expected to be served well before the end of the project. Communication with the donor community is also taking place, and the implementing institution is well placed nationally to undertake this contact. There are links eg with DFID projects, USAID and IUCN.

Production system: Semi-Arid. UPN: Eastern Africa, suite 1

R6758 Development of improved rainfed cropping system incorporating rainwater harvesting/conservation

The project

The project developed from previous rainwater harvesting (RWH) research initiated in 1992. There was a close link to Sokoine University of Agriculture (SUA). The research challenged the idea of working on drought resistant crops as the main solution for semi-arid areas, and positioned itself at a point along the continuum between rainfed agriculture and irrigated agriculture. It documented technologies for water harvesting and water conservation with a great potential for increasing agricultural productivity. The project had a technology focus, but developed gradually the interest for the social and policy implications of RWH, to the point where an agenda for awareness raising and policy influence came out as key issues in the final workshop.

⁸ The communications strategy does not mention scientific publication as a prioritised task, but defines plans for a comprehensive communications efforts towards other stakeholders

Assessment

Research and capacity building

The project documented and quantified the potential gains of water harvesting technologies in the Tanzanian setting. The project developed a computer based model for simulating RWH processes and assist decision making processes, called the Parched Thirst model. It also undertook field experiments to gain knowledge on water harvesting and conservation options. Socio-economic studies were undertaken to increase the understanding of the traditional and current use of RWH and attitudes towards improvement of the technologies. The research was mostly in the form of using existing knowledge in a new setting, but new understanding of RWH in the Tanzanian setting has emerged from the work, and together with the Parched Thirst model, the project has contributed strongly to the science base for the development that has been seen on RWH in Tanzania in the recent years.

The scientific risk of the project is linked to the development of a model that is new, albeit drawing on modelling experience from other fields (e.g. crop production). There is also a certain risk in venturing into the promotion of RWH in a situation where the understanding of the potentials of this work was limited in most constituencies (including the national setting, the NRSP itself and DFID).

The awareness of existing literature is deemed good. The project team consisted of generally well-exposed scientists. The body of previous research on RWH is limited. The project also undertook a survey of soil and water management research in Eastern and Southern Africa, finding extremely few references to RWH. In references to RWH today, outcomes of the NRSP funded group of projects in RWH figure prominently.

The project clearly contributed to the programme level outputs, although one of its two field research sites was not altogether successful. A good indicator of achievement can be seen in the fact that some national institutions in Tanzania have commissioned training courses on RWH and the use of the model developed under the project. The project was a part of a process resulting in a strong effect on science capacity, through the collaboration with SUA. A strong research environment has been built at SUA, represented by the Soil-Water management research group, the current work of which involves funding from several sources.

Dissemination

The project has yielded a number of scientific articles, some of which are in journals of high standing. Many are in the Tanzanian Journal of Agricultural Science, which has a low impact factor, but which reaches an important audience in the region. The dissemination to policy audiences was moderate, but a deliberate effort was initiated, yielding strong results in the follow up project (R7888, see next project). The dissemination to the outreach services was limited, as was the dissemination outputs to the end users, although much of the work in the field to some extent involved farmers, extension workers etc. These target groups were however not defined as key in this phase of the work. The dissemination to the donor community was there, but little interest was shown from donors. Later projects in the cluster received more interest from donors, with the exception of DFID that remained seemingly uninterested in the outcomes.

Production system: Semi-Arid. UPN: Eastern Africa, suite 1 **R7888 Promotion of rainwater harvesting in Tanzania – phase 1**

The project

The project follows the findings of R6758 (and previous projects in the cluster). It was led by the southern partner, SUA. It focuses on raising awareness of the role that RWH can play in improving water availability for agriculture. It did not put its main emphasis on new research, but is yet a highly successful project in terms of disseminating understanding for RWH and facilitating policy change in Tanzania.

Assessment

Research and capacity building

The project undertook studies related to the use of RWH and identifying training needs of extension services, and contributed to improvement of the Parched Thirst model. A study of costs and benefits of RWH has been conducted, and a survey and assessment of the effects of road and railway infrastructure has been carried out. Beyond this, the project was geared towards ensuring uptake, and the project had its main focus on non-research activities.

It is therefore not relevant to assess the scientific risk and use of literature from previous research. When the project has been given fair scores for these criteria, it is based on the innovativeness of launching a massive promotion campaign in a setting where many stakeholders did not see the value of the technology, and the generally very good orientation of the research team involved, some of whom are regarded to be global capacities in the field of RWH.

The project has achieved good results in relation to its logframe, and contributed clearly to the programme level outputs (particularly outputs 2 and 3). The project has contributed strongly to the development of science capacity. The SUA team and other local partners have provided leadership in the project, and promoted a strong interdisciplinary focus. The SUA team has developed a diversified research agenda with different sources of funding, indicating a sustainable research environment. The research team at SUA has contributed to the establishment of the regional network for soil and water management: SWMnet, one of 16 thematic research networks under the 10 country ASARECA⁹ association of NARS in eastern and central Africa. The links with UK institutions also remains.

Dissemination

The project has contributed to scientific literature and communication through two book chapters and two conference contributions, but apart from that scientific communication has not been a priority of the project. A special achievement has however been the incorporation of RWH in the curriculum of the host university itself. The communication to policy makers, however, has been an extraordinary success, resulting in national policy changes and attention at the highest political level, and increased support from regional and district levels. Budget lines for RWH at the district level are good indicators of uptake. Moreover, the communication with the extension services has also been exemplary, with a high production of extension materials and direct involvement with outreach staff. The direct interaction with end users has also been substantial, e.g. through training programmes. The communication to the donor community has also been undertaken with care, and some donors are picking up ideas deriving from the project; DFID however not being among these.

Production system: Forest Agriculture Interface. UPN: Ghana, suite 2

R6789 Integrated food crops systems project: Development and promotion of improved techniques of water and soil fertility management for the sustainable production of crops on land in the humid forest belt

The project

The project focuses on soil fertility and vegetable production in seasonally flooded valleys in the Brong Ahafo region of Ghana. It was planned as a component in an ongoing DFID project, and later separated and funded by NRSP. It was a dominated by conventional natural science approaches, focussing on technology for improving crop production.

Assessment

Research and capacity building

The research certainly increased the understanding of factors affecting vegetable production in Ghana, but it did not address major issues of the systems agenda of NRSP. Scientific reviewers to the Final Technical Report (FTR) were extremely critical of the outputs. The project used well known methodology, and the risk and innovativeness of the project is deemed to be low. The research design itself, the use of methodology and the analysis was also disputed by reviewers. The project may be seen as rather conventional, and it refers mostly to literature from the natural science domain. It is not seen to have related effectively to farmers needs in relation to combined approaches to increasing productivity. It did for example not study the social structures and how this affected the interest for long term investments in the land. There is a lot of research on agroforestry and crop production in West Africa, but problems of promoting uptake of the findings. This project did not address the wider discussion on reasons for this, and therefore receives low rating in a systems programme assessment. The project was conceived under a different development paradigm, and the outcomes did not warrant further studies funded from NRSP.

The project achieved in a fair way according to its own logframe, but contributed less to the programme level outputs. Science capacity building and establishment of links UK-the South is seen as limited.

Dissemination

The project has produced a number of technical reports and presented a few papers at workshops and conferences, but no refereed journal papers are registered. The policy audience was not a target for the project, but the outreach services have been targeted, e.g. through a manual. It was however later seen that this manual was somehow misconceived and it turned out not to be used much for extension, but it has been used in training institutions. The end users were involved, but only in project sites. The international donor community was not a target audience.

⁹ Association for Strengthening Agricultural Research in Eastern and Central Africa

Production system: Forest Agriculture Interface, UPN: Ghana, suite 2
R7446 Shortened bush-fallow rotations for sustainable rural livelihoods in Ghana

The project

The project was designed to introduce and evaluate leguminous cover crop and shrub species, using a participatory technology development approach. The research involved natural and improved fallows, conversion into perennial cropping systems and methodology for involvement of stakeholders in development.

Assessment

Research and capacity building

This project contributed to increasing the knowledge on the use of leguminous cover crops and on the effects of different management regimes on crop productivity. The methodology used was known, but to some extent it can be said that methodologies were combined in new ways and used in a new setting. The project went more substantially into the social dimensions, land tenure arrangements etc., thereby using more innovative approaches to NR management regimes than the previous project in the cluster. The Participatory Technology Development (PTD) approach was however not seriously critiqued or discussed as a tool for wider use than in the project itself. This was an objective added to the project after it was originally commissioned, and it was not strongly reflected in the project design. Policy implications – although of obvious interest - were not included in the project design¹⁰.

The literature used was fairly conventional, but adequate. More social science literature is used compared to previous projects in the cluster, and more literature related to participatory methods etc. Most of the project outputs were achieved, with the exception of an extension manual, and with the exception of the contributions to a wider use of the PTD approach.

The project engaged in close cooperation with national institutions in Ghana, and has contributed to science capacity building in these. Some activities were expected to continue after the finalisation of the project. Some links with UK institutions were established through 3 PhD students whose research was integrated in the project.

Dissemination

No scientific articles have been published, but some are being planned based on material from the project. Four theses are reported as a result of the project (1 BSc, 1 MSc and 2 PhD), contributing to scientific dissemination. The policy audiences have not been targeted specifically. The outreach services, however, has been an important target audience. The project developed some extension materials and technical reports, and some information leaflets in the local language. The project also developed decision support tools, LEXSYS and LEGINC, both tools to assess options for the use of legumes in cropping systems. LEXSYS was first developed by IITA and regional NARS and contains information on 113 legume species. It was redesigned and improved by the project. LEGINC is a tool for integrating legumes into cropping systems. Project end users were involved through participation in project activities. International donor agencies were not specifically targeted, but some interest has been shown from e.g. GTZ.

Production System: High Potential. UPN: India, suite 1

R8100 Investigating improved policy on aquaculture service provision to poor people

The project

R8100 aimed at documenting and communicating aquaculture service needs of scheduled castes in 3 states in north east India. It also explored a consensus building process (CBP) and studied prerequisites for participatory policy processes. One key feature of its poverty focus is its work to effect pro-poor policy change. Existing policy mandated the Department of Fisheries to provide aquaculture services to perennial water bodies whose use is controlled by richer groups whereas the poor depend for their livelihoods on seasonal water bodies.

¹⁰ Later projects in the cluster made more deliberate efforts in targeting policy audiences

Assessment

Research and capacity building

The project represents an original contribution to research, particularly through its understanding of the needs of the poor and marginalised groups in the Indian social structure. Good case studies have been presented, and methodology has been adapted and used creatively in a new setting. The FTR describes a method for consensus building (CBP) in an institutionally hierarchical environment, with serious discourse gaps between actors. Seasonal ponds are seen as common pool resources in India, and the project has also contributed to the knowledge on CPR management. The project has actively used communication as a strategic tool in development research. The project reports have a good quality. Clear impacts are reported from the target communities, and increased interest and understanding is reported among policy makers at national and state levels. Actual policy changes have taken place. This is a good piece of action-oriented research and experimental development. It has a high degree of innovativeness. It has used a wide set of literature and knowledge from various disciplines, including from social science. Thorough reviews of existing literature have been conducted.

The project has achieved all outputs of the logframe, and contributed to the programme level purpose in a substantial way. The policy process in the concerned states has tended to move beyond what was the intention of the project at the outset. The project is led by an overseas partner, STREAM¹¹, which has a regional mandate. The project leader is a former staff member of the Institute of Aquaculture University of Stirling in the UK and was the original project leader on the preceding project in this suite. Thereby good institutional links have been maintained. Other local institutions like Indian Council for Agricultural Research, Central Institute for Fisheries Education and other NGOs have also benefited through increased science capacity.

Dissemination

The dissemination has concentrated towards policy makers, outreach services and end users. Contribution to scientific publication is limited at this stage of the cluster, although team members participate actively in regional scientific forums, and have produced 1-2 peer reviewed and a number of non-refereed scientific outputs. Communication with policy makers and outreach services has been very good, and integrated in core project activities. This also includes a regional component through STREAM, which has a regional mandate. The dissemination to ultimate beneficiaries in the form of poor villagers is also high, facilitating their communication with more powerful community groups, policymakers and authorities at higher levels. The communication to the donor community is also active, through the lead institution, which has links to various donors.

Production system: High Potential. UPN: India, suite 1

R8334 Promoting pro-poor policy lessons of R8100 with key policy actors in India.

The project

The project aims at using the Consensus Building Process (CBP) of R8100 into actual policy formulation processes, to communicate policy change messages, to use action research in order to transform policy messages of R8100 into pro-poor service delivery, and using assessments of changing livelihoods to improve understanding of GO and NGO stakeholders regarding the quality of their service delivery.

Assessment

Research and capacity building

This project is a typical case of a “last phase NRSP”, preparing proactively to wind up the programme. It has a strong focus on uptake promotion and promotion of pro-poor outcomes and impacts from the 10-year research effort of the RNRRS. It has its own research elements, but these are mixed with more development oriented activities. The research assignment is expected to yield new understanding of processes of change (what is changing and for whom, to capture unanticipated changes through studying cases of significant change), to study the effects of monitoring and evaluation activities and to pilot test new methods for pro-poor service delivery. This is seen by the evaluator as an innovative approach, at least within the NR related research. It also carries a fairly high level of operational risk, and the complexity of doing research in the middle of a development process with many factors beyond the control of the researcher. The body of literature on this type of policy oriented research is not large, but the research team is deemed to be very well informed on relevant literature and current knowledge for the needs of this project.

¹¹ The regional STREAM Initiative is founded by NACA (Network of Aquaculture Centres in Asia-Pacific), DFID, FAO, VSO and AusAID. It aims to offer support to the livelihoods of poor peoples who manage aquatic resources

The achievements according to recent field visits are good, with some of the policy makers impatient to make progress. The villagers are also eager to try out new methods, and the concept of one-stop aqua shop has been initiated and is being pilot tested. The science capacity building effect of this project is seen as high, through the strong involvement and ownership of local and regional institutions. It may of course be debated whether the capacity building effect for policy promotion and communication is dominating above increased research capacity, due to the nature of this project. The UK-South partnership building is limited for this project, but the regional south-south partnership building is strong. The project has therefore been given a high score on this criterion.

Dissemination

The dissemination in the form of articles is still limited; the score given is based on expected output towards the later stages of the project. The STREAM initiative functions as a communications hub, and the project team has an active communication with the scientific community. The dissemination to the policy audience is exemplary, with direct dialogue and production of policy briefs etc. Indications of uptake are e.g. that national authorities have allocated funds for complimentary research activities. The outreach services are likewise a primary target group, and are involved strongly in project implementation. The end users are also integrated in the project activities and in the learning process of the project. Links to the donor community is not a primary focus, but links are maintained at a general level.

Production system Forest Agriculture Interface. UPN: Nepal, suite 1 **R7514 Development of monitoring process and indicators for forest management, Nepal**

The project

The purpose of the project was to develop and assess current approaches to managing common property forest resources in and biodiversity for sustaining livelihoods in the middle hills of Nepal, and develop monitoring systems that will enable various stakeholders to plan for forest management activities.

Assessment

Research and capacity building

The project set out to develop a more comprehensive monitoring system including identification of appropriate indicators, but field realities prompted a change in the project design. This assessment relates to the revised project logframe. The project adopted a participatory action research approach, working closely with forest user groups (FUG), villagers and forest department staff at local and central levels. It provided some new understanding of how villagers manage and monitor their forest use, and developed recommendations and contributed to increased awareness among local institutions on options for monitoring of forest use. The project responded innovatively to challenges linked to the original project design. This also implies of course some doubts about the quality of the original project planning process.

The research team is very well known to the community forestry field in the Himalayan region. However, the literature cited has a local (Nepal) bias, reflecting possibly a limited effort to track down other literature on CPR management etc.

The project is seen to have achieved the outputs of the revised logframe to a large extent. The focus on specific indicators as announced in the project name, has been toned down, and the reasons for this are fairly well argued in the FTR. The science capacity building is fairly limited, as local partners are not linked to research institutions in Nepal.

Dissemination

The project has disseminated in a limited way to the scientific community; the FTR quotes one published article. A follow up study (PD119) has however produced more material of value for the science audience. The policy audience and outreach services of Nepal (including NGOs) have been involved in the project quite closely, but specific extension material or policy briefs etc have not been produced. The end users have been involved in the project sites only. Links to donor agencies have been taken care of through invitation to meetings and workshops, and some donors are reported to make use of some of the findings from the project.

Production system Forest Agriculture Interface. UPN: Nepal, suite 1
R7975 Social structure, livelihoods and the management of CPRs in Nepal

The project

The project addressed the linkages between the management of common pool resources and existing social and political relations concerning natural resource use, especially with regards to access and use by the poor. The project looked beneath the commonly perceived “glossy surface” of community forestry and the power relations around Forest User Groups (FUG) in Nepal.

Assessment

Research and capacity building

The project made original contributions to the understanding of the community forestry systems in Nepal. It was led by a social scientist, and implemented in partnership with strong national collaborators. While community forestry in Nepal is commonly seen as an equitable and well organised system, this research has documented hidden subsidies and inequitable benefit sharing mechanisms and increased the understanding of the social relations and drivers in forest management. The fact that there were hidden subsidies was known to practitioners in Nepal, but the size of such transactions had not previously been documented. The project suffered from changes necessary due to the security situation in the planned project sites. The project had to be shifted from the middle hills to the Terai (lowlands).

The project was innovative in its integrated approach, and some of the findings probably came due to the interdisciplinarity of the team. In research design the project is not otherwise seen as particularly risky, apart from the obvious operational risks linked to the political instability of the country. The literature used was according to the AR and interview with project leader thoroughly researched, and the literature review had to be repeated after the change of project sites. Achievements in relation to the project outputs are deemed as good. Contributions to the programme level outputs and themes are also clearly visible. The local partners, most of whom were linked to NORMS¹², represent a research capacity building aspect of the project. Working with the national university (Tribhuvan University) proved complicated due to its relative state of disorder.

Dissemination

The project resulted in a few scientific publications in press and in preparation. The project has also contributed to the proceedings of an NRSP Hillside systems symposium¹² (R7958 – see section 6.2.12 - has also contributed another chapter to the same publication), and to workshop contributions etc. The policy level has been targeted through 4 leaflets. The outreach services has not been strongly involved, due to the nature of the research and the findings; it may be beyond the capacity of local extension staff to use the findings unless they lead to policy changes. Likewise is the case for end users – the potential end beneficiaries include e.g. the social groups currently not benefiting from community forestry, but they will not benefit unless policies are amended. The communication with DFID, however, has been good, and DFID in Nepal is reported to show strong interest in the findings from this research. Informal links were also maintained with ICIMOD, and the findings have contributed to ICIMOD work in the region.

Production system: Hillside. UPN: Nepal, suite (N/A)

R6757 Soil fertility management for sustainable hillside farming systems in Nepal

The Project

The project is an example of a fairly early project in the NRSP portfolio, established before the effect of the 1997 white paper made its impact on the project vocabulary. Its main focus was on maintaining soil fertility in the mid-hills of Nepal. It investigated in particular the Nitrogen balance under different farming regimes, and the effects of organic vs. inorganic fertilisers.

¹² Natural and Organisational Resources Management Services, an NGO, Kathmandu

¹³ *Challenges to the opportunities of the poor to access benefits of common pool resources, the case of community forestry in the Terai of Nepal.* In Stocking, M and Whyte, R (eds) Renewable natural resources management for mountain communities. ICIMOD and NRSP. Pending publication in late 2004

Assessment

Research and capacity building

The research was a traditional natural science research undertaking, with limited attention to working with farmers and integrating the research with their agenda. It went further than previous research in the same field in that it followed the balance of nutrients for a long period (multiple growing seasons). The project increased the body of knowledge on nutrient balance in common farming practices. An important finding was that the loss of nitrogen did not increase as much as expected with increased use of inorganic fertiliser. The project used mostly knowledge and methodology from previous research, but expanded and adapted to the local setting. The project has some claim to using novel techniques (15N-labels) for researching nitrogen fluxes on steep hill lands. This experimental agricultural approach to development-funded research was however largely subsequently abandoned by both DFID/NRSP and NARS/CG-system agencies.

R6757 was not seen as a project with high scientific risks involved. It drew knowledge from extensive literature studies, both from the biophysical field and the social-economic field. Some socio-economic studies were conducted, but were not strongly integrated into the research design. The project encompassed the concept of integrated plant nutrient management (IPNM) although this concept was not in strong focus at that time.

The achievements according to the logframe of the project were generally good. The Logframe for the HS production system was different at that time, and the project also contributed towards the outputs at the PS level. The effects in science capacity building were there, but not in a particularly strong way. The local research stations took part in the research, but the project did not link well with their own research agenda. Unfortunately parts of the local capacity have eroded later due to other factors in Nepal. Long term links between UK and Nepal were not systematically fostered through the project¹⁴.

The focus on uptake promotion was limited, and the participation of farmers was confined to “observing” the field research plots. (quote from project document). On farm plots were operated fully by the research team. Some of the project features touched upon here reflect the fact that the project was conceived under a different development paradigm, making the vocabulary and approach different from what we expect today.

Dissemination

The project disseminated its finding mainly to the science community through publications and through distributing a Nepalese version of the FTR to a wide Nepalese audience. A video and a TV programme also came out of the project. The policy audience was not targeted, but the outreach service was involved indirectly through informing Village Development Committees and NGOs on parts of the planning and implementation of most experiments. Some interaction with end users also took place through field days and location of experiments on farm land. The international donor community was not specifically targeted through dissemination, but DFID did show some interest during the early stages of the project.

Production System: Hillsides. UPN: Nepal suite 2

R7958 Linking field level findings with policy and decision making in Nepal

The project

The project had three scientific objectives: to develop a conceptual framework for understanding the policy process in Nepal; to identify cognitive drivers and barriers to farmers’ taking action to improve land management; and, through an action research approach, to develop and test a process for informing policy discussions of the potential influence of policies on those drivers and barriers.

¹⁴ This refl□
part of the project.

Assessment

Research and capacity building

The project has developed new understanding linked to farmers' decision making on land management, using the Theory of Reasoned Action – the TORA model. It has also increased the understanding on the use of scientific knowledge in policy processes. The findings have been produced mostly through using existing models and knowledge in a new setting. The use of the TORA model in a natural resource management (NRM) setting in Nepal is new. The research risk was medium to high, because of the unsettled situation in which policy related research was carried out, and because of the limited experience of using the TORA model in an NRM setting.

The research team seems to have done extensive literature surveys, and used outputs from other NRSP cross-programme efforts on scaling up¹⁵. The main partner in Nepal has a very good overview of the NRM research base in Nepal.

The achievements of the projects were hampered somewhat (output 3), mainly due to the political situation in Nepal resulting in difficulties of doing field work and turmoil in policy processes etc. The reduced attention of DFID to NRM related programmes in Nepal also reduced the effects on policy uptake. Contributions to programme level logframe were also affected by the same constraints.

The science capacity building was good, particularly in the main partner LIBIRD. An indicator of this is that LIBIRD has been using the same methodology in other projects after the experience with R7958. Long term links UK- local partners are there, but not in a very formalised way.

Dissemination

The project has contributed to a book¹⁶ in cooperation with ICIMOD, and some articles are under preparation. The major target group for dissemination may be the policy audience. This audience has been targeted through involvement in meetings and seminars, policy briefs and other technical papers. Outreach services have also been targeted to some extent through technical papers, involvement in workshops etc. The end users were not a specific target group due to the nature of the research involved. The project could however have taken this point further, and tapped the potential of the gained knowledge to promote empowerment of communities, but this was not envisaged in the design phase. The donor community have been invited to workshops etc but were not a specific target group for the project.

Production system/ Uptake Promotion Node: Peri-Urban Interface (India), Suite 1 **R7959 Participatory action plans development for natural resource management around Hubli-Dharwad** **R8084 Enhancing livelihoods and NR management in peri-urban villages near Hubli-Dharwad**

The project

These projects are commented on jointly, since they are managed by the same project leader and largely the same research team, they are directly overlapping in time and assessments are equal for several of the criteria. These projects were built upon previous research in the cluster. R7959 aimed at developing plans of action to implement natural resource management strategies in the peri-urban area of Hubli-Dharwad in Karnataka state of India, and to formulate these plans through extended interaction with principal stakeholders. R8084 has as its main purpose to test and modify strategies for NR management, and to implement pilot plans of action in selected villages.

¹⁵ E.g. R7865 Scaling-up strategies for pilot research experiences - a comparative review. Gündel et al 2001

¹⁶ *Increasing impact: making it work*. In Stocking, M and Whyte, R (eds): Renewable natural resources management for mountain communities. ICIMOD and NRSP. . Pending publication in late 2004.

Assessment

Research and capacity building

Both projects are in the category of experimental development, drawing mainly on existing knowledge in piloting development processes, and thereby contributing to increased knowledge on the livelihood options in the PUI, and to the methodology of participatory development of action plans. Very little previous research has focussed specifically on the peri-urban interface. Identifying this field as an important arena for NR research was an innovative move by DFID at the outset, and these projects have made new innovative contributions to this topic. The projects have contributed to new knowledge on the livelihood options for peri-urban poor. One set of findings related to livelihood options is e.g. that these are more varied, and livelihood strategies tend to change more rapidly than in a more distinct rural setting. Most groups have more choices in the peri-urban setting than in a traditional rural setting. The role of credit has been studied, and the integration of non-NR related livelihoods has been tested. The research team is interdisciplinary, with social scientists, agronomists, urban planners, a civil engineer, a livestock specialist, a soil scientist, NGO representatives etc. Some findings are of a nature that may not have been revealed by a more narrowly composed team.

The research intention of the first project (R7959) was seen as somewhat subtle, and this was commented and adjusted after the mid-term review. The research elements in R8084 are more clearly spelled out. The research outputs of projects like these depend strongly on the discipline of the team; if the team vests most of the focus in facilitating actual development results this may overshadow the research assignment. However, the research commitment is clearly appreciated in both of the reviewed projects. Both projects venture for parts of their activities into fields of operation that are beyond the definition of research. This is well argued and warranted by the overall objectives of the NRSP; and the activities are interlinked with the research components, and they are expected to contribute to the learning process of both researchers and beneficiaries.

The research field is fairly new, and the body of literature on the PUI is limited. The team reports to have made comprehensive literature reviews, and the composition of the team ensures fair access to relevant knowledge. The attainment of project outputs is deemed as very good, acknowledging the uncertainty of the results of an ongoing project. One output of R7959 was not fully achieved, but it was “transferred” to the follow up project R8084. Progress in the ongoing project is reported to meet some difficulties related to defining indicators of change, but otherwise progress is largely according to plan. The projects will clearly contribute to the programme level outputs if successfully concluded. The science capacity building aspects are strong, through the linkages to national NGOs, local NGOs and the University of Agricultural sciences located in Dharwad itself. Long term links between UK and local institutions is seen to be emerging, evidenced e.g. by joint applications for external funding for new activities in the same cluster of topics.

Dissemination

The communication with the scientific community is picking up well, from a fairly low level in the first project, to a good number of publications in R8084. A book on the peri-urban interface¹⁷ has been mainly attributed to project R8084. It is an attractive publication that will have value for development agents, educational institutions and others well beyond the state level and the national level in India. Dissemination to policy audiences is done through invitation to workshops and dissemination of research outputs. Recent project documentation indicates improvement in the links with policy makers at the local and state level. The outreach services of the state are commodity focussed, and difficult to convince on the integrated approaches of the projects. However, continuous involvement has yielded good results in some of the project locations. Production of extension materials has not been a core objective, but books produced under this and previous projects in the cluster have been used actively and a film has been produced for extension purposes.

The peri-urban population itself is a major target group, and project documentation indicates strong involvement and empowerment of local people through project activities. Both projects receive a high score on this criterion. Livelihood impacts are reported from the project sites. Dissemination to the international donor community has not been targeted specifically. Efforts are planned for closer interaction with other donor-funded projects in the final year of operation, as well as involvement of donors in workshops and in policy dialogue processes with the authorities.

¹⁷ Brook, R; Purushothaman, S; Hunshal, C (eds) 2003: Changing Frontiers. The peri-urban interface, Hubli-Dharwal, India.

Score Sheet for selected NRSP projects for main evaluation criteria

Project no.	Production system, Uptake Node and suite	Dates of implementation	1 New knowledge	2 New cont exts	3 Innovation & risk	4 Awareness of literature	5 Achievements	6 Science capacity building	7 UK – South links	8 A Science community	8 B Local policy audience	8 C Outreach service	8 D End users	8 E Donor community
R7868	LWI, Bangladesh ³	Nov 00 - Mar 02	6	8	7	8	8	3	2	7	4	4	1	3
R8306 ¹	LWI, Bangladesh ³	Jun 03 ongoing	3	8	5	7	EOP 8	7	6	2	8	7	8	6
R6758	SA, Eastern Africa 1	Oct 96 – Sep 99	7	5	7	7	6	8	6	7	4	3	3	3
R7888	SA, Eastern Africa 1	Dec 00 - Nov 01	3	6	7 ²	7	9	10	8 ³	3	10	9	7	6
R6789	FAI, Ghana ²	Jan 97 – Dec 99	2	3	1	4	4	3	2	3	1	5	3	2
R7446	FAI, Ghana ²	Dec 99 – Feb 03	2	4	3	5	5	6	5	2	2	6	4	4
R8100	HP, India 1	Mar 02 – May 03	7	7	8	7	9	5	8	4	10	8	8	4
R8334 ¹	HP, India 1	Sep 03 ongoing	4	8	8 ²	6	EOP 8	4	8 ³	5	9	9	9	5
R7514	FAI, Nepal ¹	Jan 00 – Dec 01	3	4	3	5	6	2	2	2	5	7	5	3
R7975	FAI, Nepal ¹	Mar 01 – Apr 03	6	7	6	8	6	4	3	7	5	3	1	6
R6757	HS, Nepal	Nov 96 – Dec 99	3	4	2	7	5	3	3	6	1	3	1	2
R7958 ¹	HS, Nepal ²	Mar 01 – Jul 04	5	5	6	6	4	6	5	7	8	4	3	3

¹ For ongoing projects, assessments are based on the anticipated end of project situation

² The assessment is linked partly to non-research related project features

³ Refers fully or partly to South-South links

Project no.	Production system, Uptake Node and suite	Dates of implementation	1 New knowledge	2 New cont exts	3 Innovation & risk	4 Aware-ness of literature	5 Achievements	6 Science capacity building	7 UK – South links	8 A Science community	8 B Local policy audience	8 C Outreach service	8 D End users	8 E Donor community
R7959	PUI 1	Feb 01 - Mar 02	4	8	7	6	8	7	6	3	3	2	8	1
R8084 ¹	PUI 1	Nov 01 ongoing	6	9	7 ²	6	EOP 8	7	6	8	7	4	10	4

7.5 SCIENCE QUALITY

Evaluation of the science quality of the programme

The programme has been evaluated partly on the general impressions of the programme and partly through the more detailed sample analysis of selected projects. In relation to the latter there are clearly highly variable scores in respect to the 8 science criteria used. Nevertheless some general conclusions at programme level emerge.

Criterion 1. New knowledge

To what extent does the programme contribute to new knowledge?

The interdisciplinary approaches used in most projects of this programme have generated new knowledge constellations that probably would not have appeared through more disciplinary research. Although initially natural science biased, later developments in the programme has ensured interesting balances between social science and natural science in many projects. The programme covers a wide field and the small (7.5%) project sample (limited by time and resources) reflects considerable variability in the generation of new knowledge, with examples of significant knowledge generation but also projects that tended to utilize primarily existing knowledge. A general conclusion is that the programme has succeeded in generating an acceptable quantity of new knowledge, and primarily through interdisciplinary approaches.

Criterion 2. Existing knowledge in new contexts

To what extent does the programme use existing knowledge creatively in new contexts?

Interdisciplinary approaches also allow new findings to be generated from existing, more discipline-based knowledge. The programme has been particularly strong in this respect. The evaluation has revealed programme management with considerable attention to using both science-based and developing country-based knowledge and experience to good avail. The programme has been scored highly in respect to these efforts.

Criterion 3. Innovation and risk

How is the programme in relation to its innovativeness and scientific risk-taking?

Although some of the projects sampled have not displayed scientific ambitions at the highest levels, the overall assessment of the programme is that the programme leadership and the project leaders have not shied away from taking considerable risks in venturing into uncharted science waters. The selection of projects clearly indicates that a major criterion used in the process must have emphasized the need for actual activities to have a good chance of truly innovative knowledge to be generated. The programme has scored well on innovation and risk-taking, which is particularly pleasing for a programme with a strong interdisciplinary slant, which in itself could easily have led to generalities without innovation.

Criterion 4. Awareness of current knowledge

Do the projects demonstrate that they are aware of all current knowledge (journals, books, web-based information) including in developing country literature, English language literature and non-English language literature?

Carried out by professional and interdisciplinary teams most sampled projects display diligent use of existing, current literature. The evaluator notes that the increase in use of developing country scientists and organizations in projects over the programme period has ensured increased insight in (often grey) developing country literature. The programme as a whole has performed very well in respect to this criterion.

Criterion 5. Achievements in relation to the logframe

This reported on in section 7.2

7.6 SCIENCE CAPACITY BUILDING

Criterion 6. Science capacity building

To what extent have projects and the programme contributed to science capacity building in the scientific communities in developing countries involved?

This criterion must be seen in the light of shifting emphasis within the RNRRS on capacity building. Specifically excluded by donor specifications in early years, some of the earlier projects have not devoted much effort to capacity building among developing country partners. They cannot be criticized for this. Later projects have, at least in part, responded well to central programme attention to the need for capacity building. This has proved especially valuable as the tradition for interdisciplinary science has sometimes been less developed in partner countries in the South than with some partners in the UK. Where such capacity building has been deliberately undertaken, including allowing Southern project staff to use project work for pursuing advanced degrees (mainly Ph.D.s), the results appear to have been good. This demonstrates that – if encouraged – research programmes such as NRSP and other RNRRS programmes may fill a valuable function for human development, particularly with the decline of other funding sources (eg British Council fellowships).

Criterion 7. Building links between institutions in UK and in the South

Have longer-term institutional relationships been developed between UK institutions and Southern institutions?

The research programme was primarily designed to contribute to the resolution of a set of scientific challenges. It was not conceived as a prime vehicle for twinning arrangements between UK institutions and institutions in the South. At the time of initiation of the NRSP only an insignificant part of the programme was carried out by Southern partners. With increasing emphasis on project activities being undertaken by and sometimes led from the South, project partners in the North and the South have come to know and rely on each other as science partners. With the change of emphasis from Southern partners primarily being data providers to their active and equal involvement in project activities (they now utilize about half of the annual funds), strong long-term scientific relationships are emerging. However, it does seem that these are mostly personalized rather than institutionalised. There are few signs of formal UK – South cooperation agreements being developed by the partners beyond the framework of NRSP and RNRRS. There are, however, examples of UK and Southern NRSP partners teaming up for contracts for other research activities funded bilaterally by DFID country offices, as part of EU research activities (e.g. INCO) and as partners in multilateral CGIAR research projects. Again these are mostly personalized arrangements. It must be noted that Southern partner scientists are often most complimentary about the personal efforts of their UK colleagues to support them in their work, through frequent field visits, telecommunication, emails and similar. It does seem that the potential for institutional links between UK and Southern institutions have not been fully explored in NRSP. This is not unexpected since it never was a prime objective of the programme to achieve this.

We have in the sample of projects observed instances where cooperation agreements between Southern institution partners have arisen as result of their participation in NRSP work, in East Africa and India.

7.7 KNOWLEDGE AND DISSEMINATION

Criterion 8. Knowledge dissemination

- a) *To science community (refereed, non-refereed, web-based, other media),*
- b) *To developing country policy audiences,*
- c) *To developing country outreach services,*
- d) *To developing country end users (farmers, foresters, fisher folk etc.)*
- e) *To the international donor community.*

To the science community:

Knowledge dissemination is the essential link between the practicing scientist and the outside world. In a programme intended to bring science benefits to the poor scientific publications constitute only one specialized avenue for dissemination. Elsewhere in the main report a formal citation analysis has been undertaken covering also a sample period of NRSP activities. There is a general impression from the desk study of NRSP that the output of scientific publications has on average been acceptable, with some projects having put much emphasis (and associated funds) on peer reviewed articles, others on project-based web pages in addition to an increasingly powerful programme web page.

To developing country policy audiences

Projects sampled have been variable in their emphasis on these policy audiences. Explanations may be in the nature of the research undertaken, but project teams appear to have emphasized this to varying degree. In some instances projects there may be a suggestion of inverse relationships between emphasis on scientific publications and alternative ways of disseminating the knowledge arising within projects. On the other hand the sample contained projects that scored very well on all the sub-criteria, including policy makers in the South, of this Criterion 8, indicating willingness and ability to communicate using a broad spectrum of tools. Some projects have clearly aimed at influencing key policy makers, and the impact of getting good science points across can be major. The work undertaken of the many aspects of the management of the flood plains in Bangladesh illustrates this.

To developing country outreach services

In general agricultural, fisheries, forestry extension systems have been poorly developed or are dysfunctional in many developing countries. The links that NRSP has forged through projects to existing government outreach services have been variable. NRSP projects have involved local NGOs (including farmers associations), or international NGOs based in the South, in project work. The sample indicates that projects in general try to establish and use links to government or NGO outreach services but that the outcomes are variable. Clearly research projects are not primarily designed to undertake extension work, and the relative success of many NRSP projects in communicating practical messages to outreach services must be emphasized.

To developing country end users

Projects that have been successful in their outreach activities in general also scored highly in getting their scientific messages across to end users. It does seem to have been part of a more general project culture emphasizing the applied nature of the science work undertaken and creating broader transitional knowledge systems between scientific research and development. The sample has revealed, however, that some projects have remained within the walls of the science institutions. This raises a more general question of social responsibility in contract-based science of the type of NRSP, particularly the balance between science and development issues. It is beyond the scope of this programme evaluation to open a wider discussion on this topic, it suffices to say that NRSP appears to have examples at both ends of the spectrum, and many in-between.

To the donor community

In general projects samples, and the general impression gained from interviews with programme and project staff, indicate that there only has been moderate emphasis on communicating the knowledge to the donor community. Some of this has been explained by a distinct lack of interest within the implementing branches of the main donor, DFID, to follow and utilize the result from its own DFID-funded RNRRS. Whilst DFID may not have been intended to be a main recipient of NRSP results, the off-hand attitude of many DFID country offices to NRSP activities have been perceived as a discouragement to project staff to actively approach and work with other donor agencies. Other donors may also have been cautious due to the lack own enthusiasm from DFID's own offices and officers. Again it should be noted that experiences are varied. From a science point of view it may be sobering to know that few projects have used major resources on lobbying of external donors. Some of the material presented for other audiences has also proved valuable in the communication with donors.

7.8 MANAGEMENT APPROACH

Management strategy and quality assurance systems

NRSP management 1995-99, and the role of the SYMO office

The Systems Management Office (SYMO office) in DFID was responsible for the NRSP programme from 1995-1999. The role of SYMO was *“to manage NRSP research, but also to facilitate information exchange between NRSP and the other research programmes within RNRRS; assist PMs to identify collaborative research through links with NRSP, other research programmes and ODAs bilateral programmes, and assist in identifying systems needs in developing countries, and identifying uptake pathways for dissemination and uptake of research”* (Minutes of PM meeting 7.2.95). The programme to some extent did develop common strategies that were taken up by other programmes, and played a coordinating role organising workshops for programme managers and links to DFID country desks. The SYMO office had 6 production systems leaders and one leader for the socio-economic methodology programme. The portfolio was renamed to the programme on methodology, and was hosted in SYMO up to 2000. The PACs of all RNRRS programmes had a member with expertise in socio-economic research, and the Methodology programme had regular meetings with these members, developing some joint programmes on methodological issues.

However, the development internally in DFID made the SYMO office gradually less effective: the devolvement of power to DFID country offices and the process of narrowing down DFID support to a few sectors per country, increased the split between the RNRRS and the DFID operations. The policy of handling all programme costs outside DFID HQ (to keep HQ budgets low) also contributed to the decision to outsource the management of the programme. The freedom given to other RNRRS programmes also made them develop individually and they did not need any “coordination” from SYMO. The role developed by SYMO was not strong enough to have a significant influence on DFID country programmes nor on RNRRS programmes, and it did not with sufficient success develop a joint agenda for all RNRRS. The project portfolio was managed by production systems leaders located outside DFID, making the office somewhat fractioned and a common approach and coordinated programme management more difficult.

In many ways giving up the idea of a coordinating body in the RNRRS represents a lost opportunity for promoting interdisciplinarity in research, integration of efforts between disciplinary research programmes and coordination with other development interventions, particularly those of DFID. The same may be the case for the methodology programme that was hosted in SYMO and discontinued after 2000¹⁸. NRSP was an early adopter in introducing interdisciplinary research with a systems approach to development. NRSP did to some extent facilitate communication between programmes and with DFID operations. A newsletter was distributed to DFID advisers and country offices, but it was discontinued. Links between the programmes and with DFID operations currently tend to be very ad hoc. DFID central research department and country offices seem to have a somewhat different agenda, and DFID is not making any systematic use of the research findings from the research programmes. Dismantling of the only coordinating structure in the RNRRS left a vacuum that was not filled. This has clearly contributed to a less-than-optimal integration of the programmes under the strategy, a duplication of efforts and to a reduced integration of DFID funded research with DFID operations. These factors may have resulted in lower overall delivery of results at the strategy level than what otherwise could have been the case.

The current management of the programme

The management of the NRSP programme is currently vested in a consortium comprising HTSPE Ltd., MRAG Ltd. and Development Planning Unit of UCL. The programme office is hosted by HTSPE. The programme has, in the view of the evaluator, a highly professional management culture, and a strong quality assurance system. The programme has developed management and planning tools that help maintain the quality at all levels of operation, and the help define target groups and stakeholders more clearly than other programmes under the Strategy.

The programme is managed by a Programme Advisory Committee (PAC), a Steering Group (SG), and by a fairly slim project management office comprising a programme manager (PM), a programme management assistant, and finance officer and (since November 2004) a knowledge management coordinator. The PAC has a primarily strategic guidance role and the SG functions as technical support to the PM. The SG has a more operational role compared to many other RNRRS programmes. The SG is interdisciplinary covering biophysical, social, economic and communication fields of expertise. Through meetings and email contact, SG members work in an interactive way on programme strategy and monitoring and appraisal of portfolio performance. For example, one SG member is responsible for overseeing the integration of social dimensions in the design and implementation of projects. SG members contribute strongly to preparation of calls, assessing proposals and, during project implementation also assessment of project progress and project outputs. SG and sometimes PAC members conduct midterm reviews (MTR) and act as scientific reviewers of the final technical report (FTR).

The portfolio has been developed through building of clusters of interrelated projects. Identification of relevant research topics has been supported by Programme Development (PD) activities. Calls for proposals have been partly open, and partly directed to a certain group of institutions, and in some instances through direct invitations. In all cases, concept notes are peer reviewed, and the SG takes part in assessment of proposals. The final selection of providers is done formally by the PM. Selected concept note authors are invited to develop a full proposal (RD1), which is also reviewed by the relevant SG member or by external reviewers. All projects undergo a MTR, and progress is closely followed up. Before preparation of the FTR, the PM and relevant SG members meets the project leader to discuss project progress and outputs and give guidance for the reporting process. The FTR is subject to peer review, and comments on research and presentation are given by external scientific reviewers (reviewers may be SG members, PAC members or external experts). Some project leaders may find the close follow up a nuisance, but most seem to acknowledge its value for ensuring the achievement of programme level objectives. One has reported the procedures to be rather inflexible.

¹⁸ The details of this programme and the reasons for discontinuation have not been studied in this review

The programme has developed a Conceptual Impact Model (CIM, see Annex 1). This model identifies five generic stakeholder domains V to Z. These specify beneficiaries or stakeholders with whom the programme can achieve developmental impact, or contribute to such achievement. This has contributed strongly to clarifying the question of for whom each specific research project is carried out, and to guiding project design and PD initiatives under the programme. The programme has further defined a set of 8 Uptake Promotion Nodes (UPN), each comprising up to three suites (Node: Suites). The Nodes arise from the main geographic locations of project focus, with the exception of PUI, which is treated as a separate UPN. Projects are clustered into Suites around common areas of research and common sectoral stakeholders. A table showing all UPNs and related suites of projects is attached as Annex 4. The NRSP programme has furthermore put considerable efforts into defining uptake pathways for research findings under the programme, and has presented convincing sets of uptake pathways for all Node suites. This is seen as a valuable tool for ensuring fulfilment of the programme logframe.

All of these tools and processes contribute to a strong management system, and a coherent and transparent quality assurance process. The rigorous review system contributes to reducing the risk of project failures. The structures are deemed most appropriate in relation to the objectives defined for the programmes by DFID, but it is noted that the transaction costs are considerable. This may lead to considerations related to future management of DFID funded research: the management structures developed are appropriate for a programme of a considerable larger size than NRSP itself. There seems to be clear duplication of efforts and development of systems in each of the programmes, and they would have benefited from some form of coordination. Future research funding may in the view of this evaluator consider considerably fewer - but larger - programmes, and may in that case capitalise on management systems developed for example under the NRSP.

With regards to programme level management costs in general, the programme reports 13% administrative costs for 2003-2004, which are seen as totally acceptable. If programme development cost of SG activity is included the figure is 19%. The percentage of project costs spent overseas has grown steadily over the programme period, from 6 % in the first AR, to a current level of about half of the project costs. This development is in line with expressed DFID objectives. The expenditure in UK led vs. overseas led project has also undergone the same development, from 1% in 1995 to 44% in 2004.

One feature of NRSP that may feed into strategy level considerations on future options for management of research is the clear split between purchaser and provider of research. The HTSPE does not implement any NRSP activity except the programme management¹⁹. There is thus no opportunity for debating potential conflicts of interest in commissioning of research projects. Several RNRRS programmes have some level of implementation of projects carried out by the managing institution itself. This can be considered as a potential problem, and a clear policy in this regard would benefit the transparency and the public acceptance of research funding of this kind.

7.9 CONCLUSIONS AND LESSONS LEARNT

Summary of main conclusions

- The programme has contributed to interdisciplinarity in research, and promoted a holistic and system based approach to NR related research. Many of the findings in the research projects have been dependent on or enhanced by the interdisciplinarity of research teams
- The programme has funded a number of good research projects, and has to a large extent achieved its outputs, thereby contributing strongly towards its purpose. Most projects have achieved results in a good or very good way related to their own logframe, while some projects have contributed less, and some have faced problems for political or other reasons. In a number of cases, there are indications of influence on the international agenda (ref. Annex 3 for programme level initiatives)
- The programme has treated communication as a research field of its own, thereby contributing to the incorporation of communication as an integral part of the research itself. A communication plan is now a standard requirement for NRSP projects.

¹⁹ However, MRAG, as one of the management consortium members have been involved in a few projects, but this involvement has been scaled down now to staff being collaborators on three uptake promotion projects

- The programme has studied uptake promotion through separately commissioned projects, thus increasing the understanding of uptake processes. This knowledge has been used directly into project development processes. The programme has developed credible sets of uptake pathways for major clusters and suites
- NRSP has ventured extensively into uptake promotion and facilitation of the development process itself, thereby to some extent reduced the focus on development of new knowledge. However this effect is less than expected, and research has to some extent shifted its focus to studying the effects of development interventions, development of methodology for consensus building, studying the requirements for policy change etc. This is moving away from traditional NR related research, but still is relevant and necessary research when the purpose is to contribute to the improvement of livelihoods of poor people
- NRSP has developed a programme level logframe and pursued in a consistent way the production of outputs and the OVI's of the logframe. This has guided programme development and strongly affected project design
- The risk factors and innovativeness in research of the type dominating in NRSP is generally linked to the need for innovative thinking when approaching a study with an interdisciplinary team, and the complications of doing research in a real-time development setting, where the research team has limited control of many of the factors affecting the results
- Only in some cases research teams have included social scientists and projects have mostly been managed by institutions with a natural science tradition. Many natural scientists have learned methodologies and gained insights from the social science domain. However, in the long run, the quality of interdisciplinary science can only be secured through including social science environments from the outset, and not relying on natural scientists that have moved sideways to encompass some aspects of social science
- The NRSP programme has a strong and well-managed quality assurance system, including peer review of proposals and FTRs, full-fledged MTRs and close follow up of each project. Serious attention is given to ensuring the achievement of outputs according to the logframes of each project and the logframe at the programme level
- The NRSP was initially managed internally in DFID, with a mandate including the promotion of joint initiatives between RNRRS programmes. The decision to outsource management of NRSP in 1999 left a vacuum that was not filled, and the Strategy has suffered from a lack of a coordinating body that could promote cooperation between programmes and ensure links between RNRRS and DFID operations. Links between research and DFID operations are now generally very poor and ad hoc only
- The NRSP has gradually developed a good number of overseas led projects, and transferred a considerable share of the project activities (and project costs) to overseas partners
- The NRSP has implemented a number of cross programme activities, including research on cross cutting issues like communication, research uptake, social capital, research methodology, livelihoods, poverty, common pool resources, consensus building methodology etc. This has been used in NRSP but only in a limited way by other programmes
- The programme management in NRSP is seen as highly professional. Robust and transparent systems have been developed. It is observed, however, that transaction costs are substantial and that there is a lot of overlapping work between programmes under the Strategy. The structures developed in a programme like NRSP could cater for a much larger research programme than its current size. This may be an issue when discussing potential future support to development research
- NRSP has in some cases contributed to the development of strong partnerships between UK and southern institutions, and increased the ability of southern institutions to participate on an equal footing. However, it is observed that the Strategy does not have a policy on development of long-term institutional partnerships. Banning of scholarships funded through the programmes and lack of focus on establishment of long term links, has reduced the overall effects of the programme when it comes to development of strong national research institutions in partner countries
- The sharing of knowledge between programmes and between the strategy and stakeholders at many levels is not effectively taken care of. Websites are not developed as quality sources of knowledge for NR based development
- The management structure of NRSP represents a credible purchase-provider split, probably beyond what is seen in other programmes of the Strategy. The management office is hosted at an institution with no direct involvement in any project commissioned from the programme. This system reduces the potential for conflicts of interest and promotes transparency in management procedures. These experiences may be of interest when planning management structures for potential future support to development research.

7.10 KEY LESSONS LEARNED

(Some of these overlap with success factors.)

- It is not cost effective to maintain 10 different programme management units for a strategy of this nature. The NRSP management is deemed to be very professional, and not particularly costly, but it would be possible to handle a considerably larger portfolio under the systems developed in NRSP, with only limited increase of staff.
- The links between the programmes under RNRRS and between the Strategy and the donor are not satisfactory. More integration between programmes should be sought e.g. through joining management for several programmes. The donor should have a much clearer picture of what it wants to achieve through spending this considerable amount of money for NR related research.
- A clear strategy for how to promote research uptake should be adopted from the funding agent. NRSP has ventured quite far into this topic, and findings should be used more widely. A clear strategy of following the knowledge through to implementation should be developed, implying involvement of new types of institutions and expertise in research teams from an early phase of planning.
- Low focus on long term partnership building and capacity building for partners has resulted in limited impact in this regard. Future research strategies should adopt a different approach to partnerships, scholarships and capacity building.
- Programme management should include deliberate efforts in promoting the agreed outputs and maintain a focus on indicators of achievement. In some cases research teams have left to pursue their interest with limited follow up, resulting in less targeted results.
- Dissemination of research findings, promotion of uptake and promotion of policy changes is normally not the strong side of natural scientists. Multiple capacities are needed in research teams in order to succeed when objectives go beyond classic NR based knowledge generation.

Key ingredients to success in the NRSP

Some of the most successful elements of NRSP can feature one or several of the following:

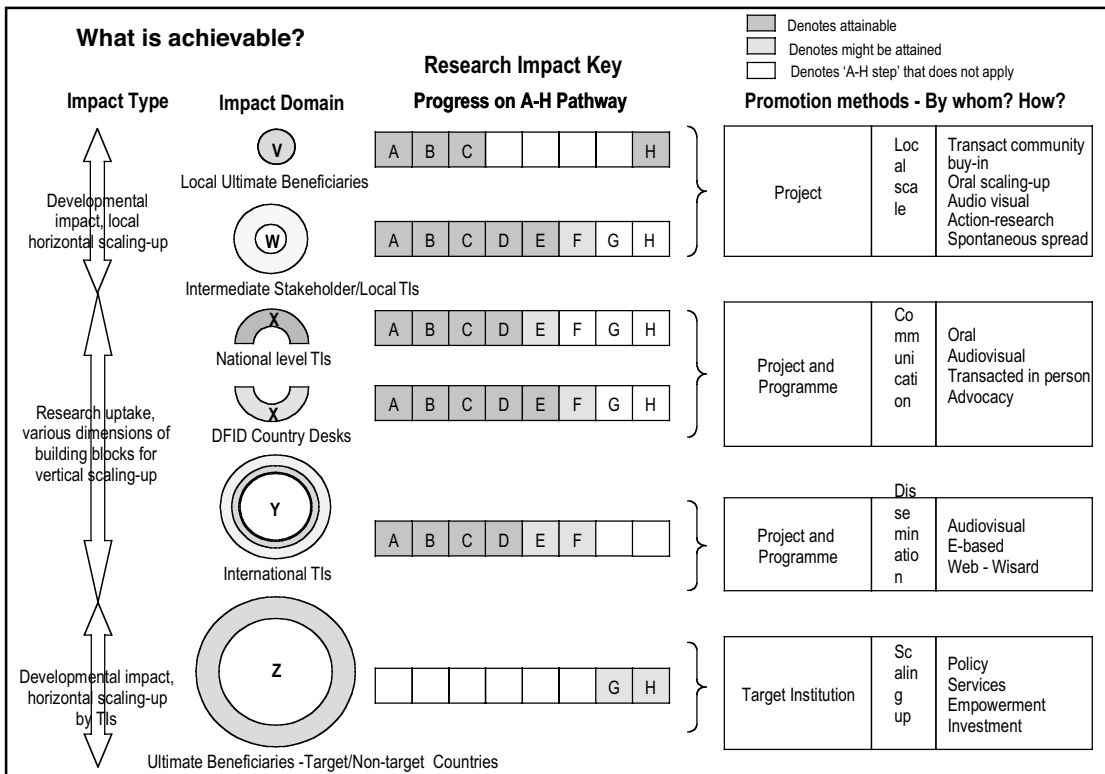
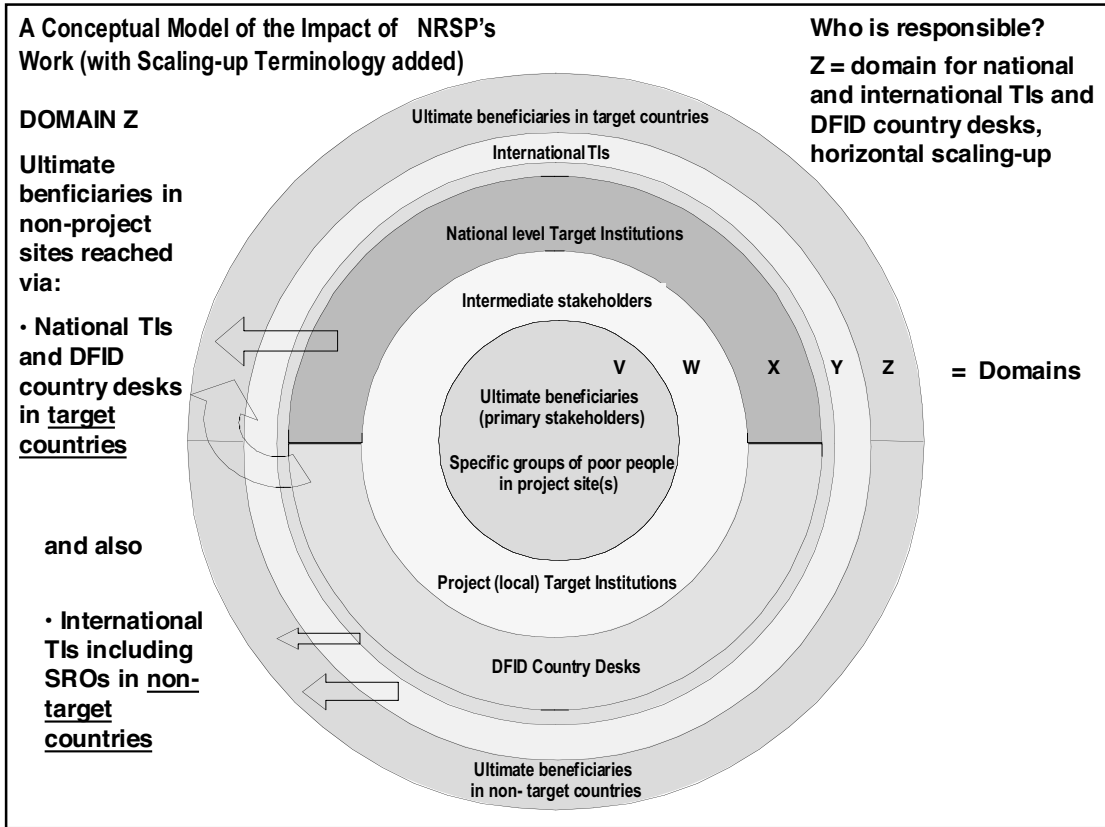
- *Interdisciplinary approach.* Many findings are based on a strict adherence to the systems perspective and through involvement of scientists from different disciplines.
- *Good partnerships.* Many projects have good local partners, and this is a strength when it comes to dissemination, dialogue with policy makers and other stakeholders. Projects with less good partnerships have fewer results in this field.
- *Strong programme management.* Well developed systems, strong focus on logframes and themes, active follow up through reviews and project visits by PM and SG members has contributed to maintaining good quality in operational aspects.
- *Cross programme activities.* The programme has commissioned a number of cross programme studies that have contributed to mainstreaming e.g. communication, focus on uptake, focus on participatory methodology etc. This has benefited the outcomes.
- *Independent programme management.* The NRSP has been managed quite independently of the involved research institutions, in contrast to many of the other RNRRS programmes. This has clear benefits when it comes to credibility of the purchase - provider split, demand driven selection of projects rather than supply driven etc.
- *Project planning and screening procedures.* Strict procedures for project selection have been maintained. Both in open invitations and in direct commissioning quality assurance procedures have been used. This has helped maintain quality and helped maintain the direction of the total portfolio.

7.11 KEY RESOURCES

The most useful resources when reviewing the programme

The most useful resources have been personal communication with the present and previous programme managers, SG members, project leaders and project participants. Programme documentation is also good, including annual reports, including MTRs and FTRs. Some project files have been studied to gain some understanding of project development procedures. All files have been maintained in good order. Research highlights have given valuable entry level insight in projects and clusters. Other project outputs in the form of articles and various publications have been a major source for the assessment. Web-based information available for NRSP was not as valuable as expected. (See Annex 5 for a list of persons met and Annex 6 for a list of the documented resources used).

Annex 1 NRSP. The conceptual impact model CIM



The CIM model

NRSP has defined five generic stakeholder domains, named Domains V to Z, that specify the beneficiaries/stakeholders with whom the programme can achieve either developmental impact or make progress towards **developmental impact** through **research uptake**.

These are:

Domain V – the primary stakeholders/ultimate beneficiaries of a project in the target site(s) of a project. These stakeholders are the immediate beneficiaries of a piece of research and may be the engine of spontaneous spread within adjacent areas of a project's target sites. Favourable change to the livelihoods of these stakeholders represents local developmental impact.

Domain W – the intermediate/secondary stakeholders, located near or in the target site(s) of a project, who are well informed about a project and may (ideally) be partners in the project. An aim of most projects is to bring these stakeholders (local target institutions [LTIs]) into strong engagement with a project's findings and products so that these LTIs do plan to continue with their use of a project's findings and products after a project ends. Uptake and independent use of findings/products during the life of a single project is less common although this can be expected in projects implemented towards the end of a sequence of projects. In such cases, localised developmental impact can be achieved through these stakeholders during the life of NRSP, e.g. in an administrative district where project sites are located (NRSP's rainwater harvesting projects provide an example of impact in Domain V via research uptake in Domain W).

Domain X – These are the national level target institutions (NTIs) in the target country where a project is located. They are less closely associated with a project but they are important for achieving wider use of research products in a target country. The DFID country desk of the target country is also a Domain X stakeholder. Commonly the NTIs are the apex bodies of the LTIs of Domain W; e.g. a Director of Extension Services relative to a District Agriculture Officer associated with a project, the Director of an NGO relative to a field officer or a national representative of a civil society institution relative to a local representative. Both projects and the programme have responsibilities to engage with NTIs for uptake promotion. Through communication and advocacy, undertaken by both a project team and programme management, supportive actors in an NTI may formalise their intention to make use of research products (i.e. research uptake is achieved which may engender developmental impact in the longer term).

Domain Y – These are the international level target institutions (ITIs) to whom a project and the programme can readily disseminate (i.e. passively communicate) research findings and products through publications and media channels. Some ITIs may be one of the partners in a project and so be well engaged with a project's achievements. However, in this domain, even though broad awareness of NRSP's research can be achieved, research uptake is dependent on the relative importance of what this research offers compared with the priorities of an ITI. In this regard, sub-regional organisations (such as ASARECA in eastern Africa), and sub-regional consortia (such as the Rice Wheat Consortium), that have objectives and ways of working that fit well with NRSP, are 'better bets' for research uptake and the nearer term conversion of uptake into developmental impact than other ITIs.

Domain Z – These are the primary stakeholders/ultimate beneficiaries located in non-project sites in a target and non-target countries together with the intermediate/secondary stakeholders who locally engage in using some of NRSP's research products. This could lead to developmental impact in this domain but only via the research uptake (including policy support) that may occur with the stakeholders in Domains X and Y and, in most cases, only in the longer term.

Annex 2 NRSP Cross programme initiatives

The following studies were undertaken (post 1999) to improve the NRSP's ability to better manage its programme (e.g. to identify improved research management procedures and requirements), deliver better research products (e.g. to encourage its constituents to consider what a poverty focus in research entails) or to deliver consistent and related products on a research area (e.g. on common pool resources or on participation and consensus building).

Initiative / Study	Purpose / description	Product/publication
Livelihoods PD105	Intra-programme study of 18 projects to identify factors that influence livelihoods and identify means to improve livelihoods outcomes through further research	Ambrose-Oji, Bianca. 2004. <i>Livelihoods synthesis study: key determinants of poor people's livelihood strategies and natural resources - related management opportunities.</i> July 2004. Hemel Hempstead, UK: NRSP. 36 pp + CD (PD105 main report).
Poverty PD084	Workshop on improving the poverty focus of NRSP's research on management of natural resources	DFID-NRSP. 2001. <i>Improving the poverty focus of NRSP's research on the management of natural resources.</i> Proceedings of a workshop. November 2000. Hemel Hempstead, UK: NRSP. DFID-NRSP 2001. <i>Locating poverty in Natural Resources Systems Research.</i> Hemel Hempstead, UK: NRSP. 12 pp.
Systems Characterisation PD092	Assignment to provide, in terms of donor's policy priorities, a basis for identifying priorities between the six RNRSS production systems and their target countries. This study served as a guide to research planning for NRSP in 1999-2005.	Taylor, J., Tang, M., Beddows, C., Quin, F.M. and Stocking, M.A. 2003. <i>The Characterisation of Six Natural Resources Production Systems.</i> Hemel Hempstead, UK: DFID-NRSP. + CD version.
Communications PD093	Study of the uptake and impact of specific NRSP project communication processes and products to identify the project management procedures and needs for (project) dissemination to be effective	Norrish, P. 2001. <i>Study of Impact of selected NRSP projects' Communications Activities and Media products.</i> Final Technical Report. PD093. Hemel Hempstead, UK: DFID-NRSP. 68 pp. DFID-NRSP. 2002. <i>Scaling-up and communication: guidelines for enhancing the developmental impact of natural resources systems research.</i> Hemel Hempstead, UK: DFID-NRSP. 8 pp.
Research methods and management PD103	A review of the outputs of the DFID renewable Natural resources Research Strategy Socio-Economic Methodologies (SEM) Programme to identify those which could strengthen the quality of research on natural resources management and management of the NRSP programme.	Gündel, S and Hancock, J. 2001. <i>Review of DFID's portfolio of outputs under the socio-economic methodologies programme.</i> November 2001. Hemel Hempstead, UK: DFID-NRSP. 41 pp. DFID-NRSP 2003. Socio-Economic Methodologies (SEM) Programme. 1995-2000. Best Practice Guidelines. August 2003. Hemel Hempstead, UK: DFID-NRSP. As CD. [Collection of SEM outputs "Best Practice Guidelines"]
Uptake /Impact PD109	Work with selected projects to distil best practice on tracking uptake and impact, develop simple methods for tracking uptake and impact and identify impact on livelihood and the natural resource base of poor people focusing on direct beneficiaries.	DFID-NRSP 2002. <i>A study into methods for tracking the research uptake and development impact of NRSP funded research.</i> June 2002. Hemel Hempstead, UK: DFID-NRSP. 33 pp. PD109 DFID-NRSP 2004. <i>Guidance on using Participatory Monitoring and Evaluation (PM&E) for NRSP projects.</i> January 2004. Hemel Hempstead, UK: DFID-NRSP. 33 pp. PD109.

Initiative / Study	Purpose / description	Product/publication
Common pool resources PD104	A workshop to share findings from CPR research in different natural resource production systems and develop further research ideas, emphasising the contribution of research to the developments of pro-poor CPR management strategies and the ways by which these strategies could be promoted.	DFID-NRSP 2001. <i>Resources – A common pool for whom and how.</i> Annex D of Workshop. Common Pool resources – Developing management strategies that can benefit the poor. October 2001. Hemel Hempstead, UK: DFID-NRSP. 25 pp. DFID-NRSP 2001. <i>Proceedings of NRSP CPR Workshop – Developing management strategies that can benefit the poor.</i> October 2001. Hemel Hempstead, UK: DFID-NRSP.
Consensus building and participation Various	Workshops and projects providing improved strategy or products on use of consensus building and participation to identify and provide the means to 'pro-poor' management of natural resources.	Brown, K., Tompkins, E.L. and Alger, W.N. 2002. <i>Making Waves. Integrating Coastal Conservation and Development.</i> London, UK: Earthscan Publications Ltd. 164 pp. R7408 Garaway, C. and Esteban, N. 2003. <i>Increasing MPA effectiveness through working with local communities. Guidelines for the Caribbean.</i> London, UK: MRAG Ltd. 45 pp. R7976 CNRS. 2004. <i>Participatory Action Plan Development (PAPD) Resource pack: Guide to a PAPD.</i> Dhaka, Bangladesh: CNRS. (In press). R8223 DFID-NRSP. 2002. <i>NRSP's strategic experience of participatory methods and processes for the improvement of natural resources management.</i> Proceedings of an NRSP Workshop. September 2002. Hemel Hempstead, UK: DFID-NRSP. 72pp + 2 annexes. PD117
Scaling-up R7865	Review to identify appropriate strategies to accelerate uptake of innovations for improved management of natural resources by beneficiaries and provide a framework to guide formulation of scaling-up mechanisms for these innovations for poverty reduction and livelihood improvement.	Gündel, S., Hancock, J. and Anderson, S. 2001. <i>Scaling-up strategies for research in natural resources management: A comparative review.</i> Chatham, UK: Natural Resources Institute. 68 pp. English and Spanish

Annex 3 NRSP Programme Level Influence on the International agenda

Node and Suite	Current Influence
Bangladesh 1 <i>Improving NRM through pro-motion of CBM-PAPD</i>	Participatory Action Plan Development method in India (FMSP/NRSP joint project R8294) and Vietnam (IFAD funded project) through project collaborators and World Fish Centre (formerly ICLARM). In Vietnam, World Fish Centre has used PAPD to initiate a community based fisheries management project in 1-2 sites in the Plain of Reeds area of the Mekong Delta in partnership with Oxfam. Outcome and Impact to be assessed in Vietnam but Outcomes for beneficiaries positively assessed in Bangladesh (PD131)
Bangladesh 2 <i>Improved pro-poor information services for NR-based livelihoods</i>	Link to Rice Wheat Consortium / INTERSARD (Information Sharing for Sustainable Agriculture and Rural Development) information provision. Influence on strategy and methods as a result of project experience on use of e-based information at service provider level
Bangladesh 3 <i>Integrated floodplain management</i>	Whilst the research was focussed on Bangladesh, it is relevant to the wider international agenda, evidenced by demand for the results from international agencies such as NEFISCO Foundation/ Netherlands Embassy and IUCN. Through IUCN Wetlands network it has an entry point to the international agenda
Bolivia 1 <i>Community-led improved NRM that is inclusive of the poor</i>	None.
Bolivia 2 <i>Strategies for scaling-up field level research</i>	<p>Gündel, S., Hancock, J. and Anderson, S. 2001. <i>Scaling-up strategies for research in natural resources management: A comparative review.</i> Chatham, UK: Natural Resources Institute. 68 pp. (English and Spanish). (R7865 HS). This project included on the HSPS/NRSP logframe in 1999 and initiated by NRSP in early 2000 was one of the earliest initiatives on 'scaling-up' and its outputs (in English and Spanish) are widely cited. Examples include:</p> <ul style="list-style-type: none"> • key current document on 'livelihoods connect' – primary website for information on sustainable rural livelihoods [also in Spanish]: http://www.livelihoods.org/static/sgundelINN_211.htm • cited by IDRC (Canada) <i>Science for Humanity</i> as providing best way forward for managing complex processes from problem identification through to fostering ownership through research: http://web.idrc.ca/en/ev-43433-201-1-DO_TOPIC.html • cited as source document by Australian Government for scaling-up of Landcare in the Philippines: Ref – Delia C Catacutan, <i>Landcare and the Issues of Scale: Reflections from the Philippines.</i> April 2003 http://www.nt.gov.au/ipe/landcareconference/ • LEISA–India (Low External Input and Sustainable Agriculture) network uses project design framework of R7865 for its programme: http://www.amefound.org/Leisa%20india-pdf/Vol.3%20No.3.pdf • 'scaling-up' now on World Bank's primary agenda for reducing poverty: e.g. April 2004 - http://www.worldbank.org/wbi/reducingpoverty/
Bolivia 3 <i>Promotion of products of other HS projects conducted in other countries</i>	<p>Stocking, M.A. and Murnagham, N. 2001. <i>Handbook for the Field Assessment of Land Degradation.</i> London: Earthscan Publications Ltd. 169 pp. (English and Spanish). (R6525 HS)</p> <ul style="list-style-type: none"> • international short courses in Bolivia, Sri Lanka, Uganda plus three in UK/Spain: total participants to date 85. [See - http://www.uea.ac.uk/dev/ODG/pages/course_landdeg2005.html] • UNU/INRA (Institute for Natural Resources in Africa) now using outputs for their soil productivity assessment. http://www.inra.unu.edu/programme_area1.htm • Land degradation a focal area for the GEF since the 2nd GEF assembly, Beijing, October 2002 – R6525 outputs used to justify • UK Government's report to UNCCD (September 2004) uses R6525 evidence and follow-on projects.
Caribbean 1 <i>Institutional arrangements and decision support</i>	Garaway, C. and Esteban, N. 2003. Increasing MPA effectiveness through working with local communities. Guidelines for the Caribbean. London, UK: MRAG Ltd. 45 pp. (R7976 LWI). These guidelines have been incorporated into the IUCN guidelines for MPA management (which lacked components

Node and Suite	Current Influence
<i>tools for livelihood sensitive (pro-poor) ICZM</i>	related to social and institutional aspects) and were launched at the World Parks Congress in Durban in August 2003. Brown, K., Tompkins, E.L. and Alger, W.N. 2002. <i>Making Waves. Integrating Coastal Conservation and Development.</i> London, UK: Earthscan Publications Ltd. 164 pp. (R7408 LWI) in use in Mozambique. This publication was prepared for delivery at the World Summit on Sustainable Development in Johannesburg. It includes guidelines for the trade off analysis developed by the project in the context of marine protected areas, that have also been applied in Canada and Kenya for other natural resource systems.
Caribbean 2 <i>Policy-relevant knowledge on feasible alternative NR-based strategies for enhancing livelihoods</i>	None.
Caribbean 3 <i>Best management practice for amelioration of sediment and agro-chemical pollution</i>	Raised awareness of CARICOM Ministers of Health and Agriculture to the need for integrated Agrochemical management (R7668). Subject of on-going Uptake Promotion project (R8364) with CARICOM ministers as a key target audience.
Eastern Africa 1 <i>Drylands rainwater harvesting (RWH) and issues around rainwater management</i>	Increased awareness at international level of role of RWH in semi-arid areas of Eastern Africa through presentations at conferences (WWF, Kyoto 2002. WSSD, Johannesburg 2002. Africa Water Conference, 2002). Regional cooperation through stakeholder groups (e.g. SeaRnet); joint projects with IWMI, ICRISAT, RELMA; joint projects on RWH and river basin hydrology in RSA and Ethiopia. PL became head of SWMNet (ASARECA) in 2003; research student exchanges with international universities. R7856. Link with Africa Highlands Ecoregional Programme. [AHI=African Highlands Initiative; joint programme of ICRAF-CIAT, a system-wide programme of the CGIAR] http://www.asareca.org/ahi/ <ul style="list-style-type: none"> • chosen by farmers in Kabale District as an extension provider under NAADS (National Agricultural Advisory Services) in Uganda. http://www.agriculture.go.ug/achievements.htm • AHI and 'social capital' approach to NRM now central to ASARECA (Association for Strengthening Agricultural Research in Eastern and Central Africa) http://www.asareca.org/ • up-scaling to highlands areas of Tanzania, Ethiopia, Rwanda and Madagascar through AHI network
Eastern Africa 2 <i>Densely populated, high rainfall lands with various land management constraints plus relatively remote areas with poor market access</i>	
Eastern Africa 3 <i>Drylands livelihoods in relation to access to and use of CPRs and PPRs</i>	Coupe, S., Lewis, V., Ogutu, Z. and Watson, C. 2002. <i>Living with Wildlife. Sustainable Livelihoods for Park-adjacent Communities in Kenya.</i> Rugby, UK: ITDG Publishing. 40 pp. (R7150). Influence on UNDP regional project formulation 2003.
Ghana 1 <i>Inclusive (of the poor) public governance mechanisms for NRM at the FAI</i>	R7304 unclear. Unclear. (R7957 and R8258).
Ghana 2 <i>Integration of PTD into NRM research and extension for improved fallow management in the FAI</i>	None.
Ghana 3 <i>Contextual problems and constraints; tools for improved decision-making on</i>	None.

Node and Suite	Current Influence
<p><i>tools for livelihood sensitive (pro-poor) ICZM</i></p>	<p>related to social and institutional aspects) and were launched at the World Parks Congress in Durban in August 2003.</p> <p>Brown, K., Tompkins, E.L. and Alger, W.N. 2002. <i>Making Waves. Integrating Coastal Conservation and Development.</i> London, UK: Earthscan Publications Ltd. 164 pp. (R7408 LWI) in use in Mozambique. This publication was prepared for delivery at the World Summit on Sustainable Development in Johannesburg. It includes guidelines for the trade off analysis developed by the project in the context of marine protected areas, that have also been applied in Canada and Kenya for other natural resource systems.</p> <p>None.</p>
<p>Caribbean 2 <i>Policy-relevant knowledge on feasible alternative NR-based strategies for enhancing livelihoods</i></p>	<p>None.</p>
<p>Caribbean 3 <i>Best management practice for amelioration of sediment and agro-chemical pollution</i></p>	<p>Raised awareness of CARICOM Ministers of Health and Agriculture to the need for integrated Agrochemical management (R7668). Subject of on-going Uptake Promotion project (R8364) with CARICOM ministers as a key target audience.</p>
<p>Eastern Africa 1 <i>Drylands rainwater harvesting (RWH) and issues around rainwater management</i></p>	<p>Increased awareness at international level of role of RWH in semi-arid areas of Eastern Africa through presentations at conferences (WWF, Kyoto 2002. WSSD, Johannesburg 2002. Africa Water Conference, 2002). Regional cooperation through stakeholder groups (e.g. SeaRnet); joint projects with IWMI, ICRISAT, RELMA; joint projects on RWH and river basin hydrology in RSA and Ethiopia. PL became head of SWMNet (ASARECA) in 2003; research student exchanges with international universities.</p>
<p>Eastern Africa 2 <i>Densely populated, high rainfall lands with various land management constraints plus relatively remote areas with poor market access</i></p>	<p>R7856. Link with Africa Highlands Ecoregional Programme. [AHI=African Highlands Initiative; joint programme of ICRAF-CIAT, a system-wide programme of the CGIAR] http://www.asareca.org/ahi/</p> <ul style="list-style-type: none"> chosen by farmers in Kabale District as an extension provider under NAADS (National Agricultural Advisory Services) in Uganda. http://www.agriculture.go.ug/achievements.htm AHI and 'social capital' approach to NRM now central to ASARECA (Association for Strengthening Agricultural Research in Eastern and Central Africa) http://www.asareca.org/ up-scaling to highlands areas of Tanzania, Ethiopia, Rwanda and Madagascar through AHI network
<p>Eastern Africa 3 <i>Drylands livelihoods in relation to access to and use of CPRs and PPRs</i></p>	<p>Coupe, S., Lewis, V., Ogotu, Z. and Watson, C. 2002. <i>Living with Wildlife. Sustainable Livelihoods for Park-adjacent Communities in Kenya.</i> Rugby, UK: ITDG Publishing. 40 pp. (R7150). Influence on UNDP regional project formulation 2003.</p>
<p>Ghana 1 <i>Inclusive (of the poor) public governance mechanisms for NRM at the FAI</i></p>	<p>R7304 unclear. Unclear. (R7957 and R8258).</p>
<p>Ghana 2 <i>Integration of PTD into NRM research and extension for improved fallow management in the FAI</i></p>	<p>None.</p>
<p>Ghana 3 <i>Contextual problems and constraints; tools for improved decision-making on</i></p>	<p>None.</p>

Node and Suite	Current Influence
<i>opportunities for pro-poor NRM</i> PUI 3	See Suite 1
<i>New knowledge of participation in decision-making processes relevant to NR management at the PUI</i>	

Annex 4 NRSP List of Uptake Promotion Nodes and Suites

UP node	Suite 1	Suite 2	Suite 3
Bangladesh	<i>Improving NRM through promotion of CBM-PAPD, and identifying the institutional environment favouring uptake of participatory methodologies</i>	<i>Improved pro-poor information services for NR-based livelihoods</i>	<i>Integrated floodplain management</i>
	LW: R6756, R7562, <u>R8103</u> , R8195, PD114/R8223, <u>PD131</u> , RB04/01	HP: R6751, R7600, <u>R8083</u>	LW with inputs from HP: R6755-HP, R7868, PD124/ <u>R8306</u>
Bolivia	<i>Community-led improved NRM that is inclusive of the poor</i>	<i>Strategies for scaling-up field level research</i>	<i>Promotion of products of other HS projects conducted in other country.</i>
	HS: R7584, <u>R8362</u>	HS: R7865, R7866, elements of R6621, R6638 & <u>R8362</u>	HS: R6525, PD097, PD118, PD113
Caribbean	<i>PD127 – the Caribbean Focus Group (for uptake promotion) cross cuts</i>		
	<i>Institutional arrangements and decision support tools for livelihood sensitive (pro-poor) ICZM</i>	<i>Policy-relevant knowledge on feasible alternative NR-based strategies for enhancing livelihoods</i>	<i>Best management practice for amelioration of sediment and agro-chemical pollution</i>
	LW: R6919, R7408, R7559, R7976, R8134, <u>R8317</u>	LW: R7797, R8135, <u>R8325</u>	LW: R7111, R7668, <u>R8364</u>
Eastern Africa	<i>Drylands rainwater harvesting (RWH) and issues around rainwater management</i>	<i>Densely populated, high rain lands with various land management constraints plus relatively remote areas with poor market access</i>	<i>Drylands livelihoods in relation to access to and use of CPRs and PPRs</i>
	SA: R6758, R7888, R7949, <u>R8088</u> , <u>R8115</u> , <u>R8116</u> (poverty study component), <u>R8381</u> , <u>R8390</u> may contribute	HP-R7056 & <u>R7962</u> , <u>HS-R7517</u> & <u>R7856</u> with PD097, <u>RB03/04</u> (p'line). Also PD111/ <u>HP-R8211</u> but broadly covering HP lands	SA: R7150/PD099, R7806, R7857, R7973 and <u>R8116</u>
Ghana	<i>Inclusive (of the poor) public governance mechanisms for NRM at the FAI</i>	<i>Integration of PTD into NRM research and extension for improved fallow management in the FAI</i>	<i>Contextual problems and constraints; tools for improved decision-making on NR research, esp. soils research</i>
	FA: R7577/PD115, R7957, <u>R8258</u>	FA: R7446. FA-R6789, R7992 may contribute	FA: R7515, R7516
India	<i>Policy processes for pro-poor rural services (focused on aquaculture)</i>	<i>Pro-poor rural services for livelihoods-based around irrigated farming systems in marginalised areas</i>	<i>Improving NRM strategies for NR-based livelihoods accessing CPRs and PPRs in semi-arid lands</i>
	HP: R6759, R8100, <u>R8334</u> , R8363 may contribute	HP: <u>R7830</u> , <u>R7839</u>	SA: R7558, R7877, R7973, R7974, <u>R8192</u> , <u>R8280</u>
Nepal	<i>Social analysis, livelihoods and NR management; strong CPR-forestry component</i>	<i>Linking field activities with development policy</i>	<i>Cross-cutting Suites 1 and 2. Raising awareness of pro-poor livelihood opportunities for NRM in mountain environments</i>
	FA: R6778, R7514, R7889, R7975, PD119	HS: R7412, R7536, <u>R7958</u> . R7865 and PD097 also contribute	R7313 (HS Conference), PD113 (HS Symposium & Workshop)
PUI	<i>Pilot NR management strategies to improve livelihoods</i>	<i>Understanding livelihoods in relation to NRM for policy-level dialogue on entry points for opportunities for pro-poor NRM</i>	<i>New knowledge of participation in decision-making processes relevant to NR management at the PUI</i>
	PUI: <u>R8084</u> , <u>R8090</u>	PU: R7549, R7854, R7867, R7872, PD121, <u>R8084</u> , <u>R8090</u>	PUI: R7959, R7995, <u>R8365</u>

Annex 5 NRSP Persons met.

<i>Date</i>	<i>Name</i>	<i>Organisation</i>	<i>re: Node Suite / Projects</i>
2 Nov, 18 Nov	Michael Mattingly	DPU, UCL & NRSP SG	PUI R7959 & R8084
18 Nov	Robert Brook	CAZS, University of Bangor	R7959(PL)* & R8084(PL)
18 Nov	Elizabeth Harrison	Independent & NRSP SG	R7514 & R7975
18 Nov	Janet Seeley	ODG, University of East Anglia	R7975(PL)
18 Nov	Oliver Springate-Baginski	ODG, University of East Anglia	R7889 (link to R7514)
18 Nov	Chris Mees	MRAG & NRSP SG	R7868 & R8306
18 Nov	Bhavani Shankar	DAFE, University of Reading	R7868(PL) & R8306(C)*
18 Nov	Abigail Mulhall	ITAD Ltd	R8306(C)
22 Nov	Patricia Norrish	Independent & NRSP SG	Communications
22-24 Nov	Margaret Quin	Independent & NRSP SG	Programme Management R8100 & R8334 R6789 & R7446
2-24 Nov	Christopher Floyd + PM office team	NRSP PM	Programme Management
2.Nov , 18.nov	Elizabeth Warham	DFID	SYMO office, 95-99 programme management
2.nov	John Hudson	DFID	DFID lead adviser forestry
* Notes: PL – project leader, C - collaborator			

Annex 6 Literature and information sources consulted

Publications and programme documentation

- Ambrose-Oji, B 2004; Livelihoods Synthesis Study: Key determinants of poor people's livelihood strategies and natural resources-related management opportunities. DFID -NRSP
- Birley, M.; Lock, K. 1999; The Health Impacts of Peri-Urban natural resources development. Liverpool School of Tropical Medicine
- Brook, R.; Purushothaman, S.; Hunshal, C.; (eds.) 2003, Changing Frontiers. The Peri-Urban Interface, Hubli-Dharwad, India. Books for Change, Bangalore, India
- Brook, R.; Davila, J (eds.) 2000; The Peri-Urban Interface, A tale of two cities. School of agricultural and forest sciences, University of Wales and Development Planning Unit, UCL.
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- DFID Handy guides to research by geographic region/country
- DFID 2004 Research funding framework 2005-2007
- DFID NRSP 2002: Scaling up and communication: guidelines for enhancing the development impact of natural resources systems research
- Gundel, S; Hancock, J. Anderson, S.;2001. Scaling up strategies for research in natural resources management: A comparative review. Catham, UK: Natural Resources Institute
- Kiff, E.; G. Shepherd, NRSP research advances no 3. Common property issues, tenure and access rights in relation to land use management at the forest/agriculture interface
- Norrish, P. 2001. *Study of Impact of selected NRSP projects' Communications Activities and Media products.* Final Technical Report. PD093. Hemel Hempstead, UK: DFID-NRSP.
- NRSP -FTR Peer review reports for selected projects
- NRSP Research Highlights: 98/99, 99/00, 2000/01, 01/02, 02/03
- NRSP annual reports 1995/95 – 2003/04
- NRSP - Minutes from PAC and MINI-PAC meetings
- NRSP - MTRs and FTRs for selected projects
- NRSP files, correspondence with project leaders for selected projects
- ODA/RNRRS 1996: Guidance noted for Programme Managers, Natural Resource Department
- ODA 1994: Renewable Natural Resources Research Strategy. Final report of Research Task Group
- OECD 1994: Main definitions and conventions for the measurement of research and experimental development (R&D)
- Taylor, J.; Tang, M.; Beddows, C.; Quin, F.M.; M. A. Stocking, 2003: The characterisation of six natural resources production systems. NRSP/DFID

CD Roms/Audio CDs:

- BBC world service2003: Gathering the rain. Communicating Rainwater harvesting in Tanzania and beyond.
- DFID – NRSP 2003: Socio Economic Methodologies Programme 1995-2000. Best Practices Guidelines

Websites

- NRSP website, other RNRRS websites (www.nrsp.co.uk)
- STREAM website (www.streaminitiative.org)
- ICIMOD website (www.icimod.org)

Annex 7. DFID NATURAL RESOURCES SYSTEMS PROGRAMME LOGICAL FRAMEWORK (version – July 2004) for NRSP 2005-06

NARRATIVE SUMMARY	INDICATORS OF ACHIEVEMENT	MEANS OF VERIFICATION	RISKS AND ASSUMPTIONS
<p>GOAL</p> <p>Benefits for poor people generated by application of new knowledge to NR systems</p>	<p>Evidence of application of research products leading to (for example):</p> <ul style="list-style-type: none"> • sustainable production increase • less variable production • productivity increase/improvement • improved employment (numbers, income, quality) • improved access by poor people to RMR outputs (lower and less variable food production costs reflected in lower real food prices; availability of food all year round; better food safety and quality) 	<p>National and local level surveys of production, employment, food markets (supply, demand, prices), and nutrition</p> <p>DFID evaluations</p> <p>CGIAR reports</p> <p>FAO reports</p> <p>NRSP Impact Assessment studies</p>	<p>Poor people invest benefits to improve livelihoods</p>
<p>PURPOSE</p> <p>To deliver new knowledge that enables poor people who are largely dependent on the NR base to improve their livelihoods</p>	<p>By March 2006, new knowledge from NRSP's research that can benefit the poor in use at the levels specified by at least two of the following target groups:</p> <ul style="list-style-type: none"> • Poor people themselves: <ul style="list-style-type: none"> a) In at least 40% of the target sites of the total projects' portfolio since April 1999, and b) In non-target sites, in at least four target countries/regions • Institutions supplying services to poor people, specifically: <ul style="list-style-type: none"> a) Institutions in at least 75% of the target sites of the total projects' portfolio since April 1999, and b) Institutions that have not directly participated in specific NRSP projects in at least eight target countries • Employers of the poor in at least 33% of the target sites of projects where employers of the poor are stakeholders • Relevant policy makers in at least four target countries 	<p>Institutions' reports</p> <p>Minutes of board meetings of relevant institutions</p> <p>Government policy statements</p> <p>Survey reports</p> <p>NRSP mid-term review reports</p>	<p>On a global scale, the relatively positive policy support for poverty reduction is maintained</p> <p>No major deleterious change in climatic conditions occurs</p>
	<p>By March 2006, products from at least 20% of NRSP projects, and the programme as a whole, used in the international research and development system including evidence of:</p> <ul style="list-style-type: none"> • Incorporation into the project plans of at least 3 DFID country programmes • Use in programmes/projects of at least 3 institutions in non-target countries 	<p>Hit and download counts per year on the NRSP web site</p> <p>Record of requests for NRSP publications per year received by NRSP office</p> <p>Survey report on the effectiveness of NRSP's scaling up activities</p> <p>DFID country desk and NARES reports</p> <p>Annual reports in the CG, other international R&D systems, other DFID NR research programmes</p>	
	<p>➤ By March 2006, lessons from NRSP's research internalised by NRSP's constituents, providing a resource for continued attainment of DFID's objectives</p>	<p>Annual research work plans and reports of relevant country and regional level organisations</p>	

NARRATIVE SUMMARY	INDICATORS OF ACHIEVEMENT	MEANS OF VERIFICATION	RISKS AND ASSUMPTIONS
<p>OUTPUTS</p> <p>1. Enhanced understanding of: a) the factors that influence livelihood strategies of the poor, who largely depend on the NR base b) integrated NR management opportunities that could benefit the poor</p>	<p>➤ By March 2001, through a complement of PS specific projects, main features of livelihood strategies in at least 3 target countries documented</p> <p>➤ By March 2002, livelihood strategies of the poor in certain defined circumstances in at least 3 NRSP target countries characterised and key NR related factors influencing their livelihoods identified, including the common and contrasting features in different production system circumstances, and pro-poor opportunities to improve NR management strategies</p> <p>➤ By June 2003, findings promoted with at least 6 target country institutions involved in NRSP's research</p> <p>➤ By March 2006, through projects on-going in the period Mar 2002 to Mar 2006, livelihoods knowledge enriched (<i>NRSP research Theme 1</i>) and shared with local stakeholders for at least 4 poverty circumstances including the PUI, drylands and the LWI</p>	<p>Project FTRs and databases Project peer-reviewed publications NRSP Annual Reports NRSP report on PD105 Publication based on PD105 FTR Project communication materials on livelihoods NRSP dissemination records</p>	<p>For all outputs: Situation in target countries is satisfactory for communicating and taking forward NRSP's research results into wider public & private domains/sectors Functioning of target institutions is maintained at a level that at least makes it feasible to use the results of NRSP's research</p> <p>Alignment between NRSP's research priorities and those of international and national organisations at least maintained throughout the programme period</p>
<p>2. Means to realise improved integrated NR-management strategies for specific groups of the poor identified, tested and promoted with target institutions that are stakeholders in the various projects in NRSP's portfolio</p>	<p>➤ Onwards from April 1999, through commissioned projects and programme level PD assignments, new knowledge generated on NRSP's research themes 2-9 resulting, by March 2006, in:</p> <ul style="list-style-type: none"> • Awareness increased of at least 12 target institutions across at least 4 target countries/regions of the efficacy of participatory processes for reaching the poor (<i>Theme 2</i>) • At least 4 new approaches documented for assisting farmers to access information and technologies for changing their NR management practices (<i>Theme 3</i>) • At least 4 NR-related decision aids developed with, and for use by, local professionals (<i>Theme 4</i>) • Understanding of entry points for pro-poor NR management communicated to DFID and other policy makers in at least 5 target countries (<i>Theme 5</i>) • Options for linking households, communities and policy makers promoted in at least 4 target countries (<i>Theme 6</i>) • Institutional options and constraints for improving integrated NR management identified and addressed with at least 6 NR management organisations (<i>Theme 7</i>) • At least 12 pilot pro-poor NR management strategies introduced, tested and recognised to have potential for favourable livelihood outcomes and sustained adoption by local stakeholders (<i>Theme 8</i>) • Capacity of at least 4 target institutions to scale up pilot research experiences improved (<i>Theme 9</i>) 	<p>Project FTRs and peer-reviewed publications Project products as submitted in annexes of project FTRs PD FTRs NRSP Annual Reports SG mid-term review reports Target institution reports NRSP impact assessment report</p>	

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<p>3. Wider availability of new knowledge from NRSF-funded projects ensured in target countries, to add value to what projects achieve in projects' target sites, by communication with additional relevant target institutions at a range of levels, including policy-level actors</p>	<ul style="list-style-type: none"> ➤ From April 2001, promotion of new knowledge in target countries by NRSF project-based researchers and programme management increasingly evident ➤ By June 2003, key national stakeholders and DFID country desks in at least 4 target countries/regions aware of NRSF's research and expressing interest in NRSF's research products ➤ By 2006, NRSF-generated findings communicated at influential country/regional venues in at least 5 target countries/regions ➤ By 2006, NRSF-generated findings communicated to relevant DFID country-based programmes/projects ➤ By 2006, at least 50% of the media materials (masters) of NRSF's research products lodged in the public domain with key stakeholders in national institutions in at least 5 target countries 	<p>Target institution reports NRSF Annual Reports & impact assessment report DFID NR research reports Publications and other media materials in the public domain of target countries Journal special editions covering NRSF's research</p>	
<p>4. New knowledge from NRSF's research promoted with international stakeholders</p>	<ul style="list-style-type: none"> ➤ By 2003, efficient international uptake pathways for NRSF's products identified and utilised ➤ By 2006, evidence of demand for NRSF products by at least 8 international stakeholders including multilateral institutions and national institutions in non-target countries/regions 	<p>Annual reports of international stakeholders NRSF Annual Reports Conference reports</p>	
<p>5. Capacity built that is expected to lead to continuing favourable outcomes for poverty-focused research and for linkage of this research with development plans and processes</p>	<ul style="list-style-type: none"> ➤ Onwards from April 1999, in the implementation of NRSF's project portfolio, evidence of improved capacity to conduct research and deliver new knowledge relevant to poor people indicated <i>inter alia</i> by: <ul style="list-style-type: none"> • More cohesive inter-disciplinary¹ NR management research and use of appropriate methodologies • National/regional partners articulation of a strong sense of ownership of the research • By mid-term of each project, partners acknowledgement of capacity building advances in their research work that are relevant to reaching the poor ➤ From 2000, at least 8 effective N-S or S-S institutional arrangements established ➤ By 2006, capacity of NRSF's research constituency to attain poverty alleviation objectives enhanced 	<p>SG MTR reports and trip reports NRSF Annual Reports NRSF impact assessment report Annual reports of partner institutions DFID Advisor Reports</p>	