



**FOOD FOR THOUGHT-RIGHTS FOR ACTION**

Submitted to:

AusAID

By

Action-Aid Australia, Kenya and Uganda

## EXECUTIVE SUMMARY

Governments in Kenya and Uganda have largely relied upon, and supported, a market economy and high economic potential agriculture areas. This factor combined with slow and unaccountable decentralization processes has resulted in food insecurity among households in communities living in arid or semi-arid lands. Specifically there has been a neglect of public infrastructure, goods and services. In addition there has been poor representation of smallholder farmer's interests in policy, research and agriculture extension programs. This situation is compounded by frequent extreme weather events including floods and droughts and a lack of institutional investment in climate change mitigation and adaptation policies and programs. This program aims to address these challenges and create sustainable change for female and male smallholder farmers by:

- 1) Increasing food availability through increased productivity and diversified income streams among male and female small-holder farmers
- 2) Building strong and vibrant farming communities that are able to collectively bargain and influence food related policy and practice of the state
- 3) Creating linkages between small-holder farmers with networks or civil society groups at district, national and international level so they have a stronger and more informed base from which to claim their food related rights
- 4) Conducting critical analysis of laws, policies or strategies at the national, regional or international level that impede food security and evidence-based advocacy for improved agriculture policies and practices

The main outputs of the five year program include sustainable and climate resilient agricultural practice, increased food production, diversified and increased income among small-holder farmers, the establishment of vibrant and strong farmer groups and enabling the voice and interest of small-holder farmers to be reflected in food related policy and practice in Kenya and Uganda. This program will work towards achieving the Australian Africa Community Engagement Scheme (AACES) objective 1, to enable marginalized people to have sustainable access to services that they require. Project experience and learning will be used to inform AusAID policy and programs related to food security, climate change and gender to increase its ability to target and benefit small-holder farmers. Finally, efforts will be directed at engaging new and existing constituencies within Australia to understand and support food security initiatives and development assistance in Africa.

The project will be implemented in the Mwingi, Mbeere and Isiolo Districts of Kenya and in the Amuru, Bukadea, Katakwi, Kumi and Nwoya Districts of Uganda. ActionAid Kenya and Uganda will manage activities through local partners, community based organizations and project management committees<sup>1</sup> in each location. Strategic alliances will be built with relevant government agriculture and climate related institutions. ActionAid Australia will work with ActionAid Kenya and Uganda to use evidence from the project to inform and improve AusAid's food security and climate change policy and increase understanding among Australian based farming communities of food security issues and capacities within Africa. Project experience related to inclusion of people with disabilities and to defining and measuring women's empowerment will also be used to inform AusAID policy and programming.

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<sup>1</sup> At local level these will comprise members of the producer groups, the local Administration, ActionAid and its partners. They will feed into existing local structures.

**Outline of the Design Process** The design for this project was carried out by ActionAid and its local partners in the districts of Mwingi, Mbeere and Isiolo in Kenya<sup>2</sup> and in the Amuru, Bukadea, Katakwi, Kumi and Nwoya districts in eastern and northern Uganda<sup>34</sup>. The design processes in Kenya and Uganda employed participatory approaches and tools including participatory vulnerability analysis, livelihood and asset mapping, production of seasonal calendars, income and climate profiling and validation workshops to develop consensus on design strategy and activities. Such data and experiences were collected through focus group discussions with male and female small-holder farmers, children, people with disabilities, people living with HIV/AIDS and community leaders. In-depth interviews were conducted with government officials from the departments of agriculture and natural resources, irrigation and livelihoods. Community based organizations and international and national non-government organizations at district and national level shared their views on poverty and food insecurity in the selected areas and within the context of each country. Primary data was supplemented by a review of the development literature and climatic records and reports.

The entire design process was interactive and facilitated learning among rights holders and duty bearers alike. For example female small-holder farmers learned that it was common for female farmers to work triple shifts and carry the burden of feeding the family, that it was hard for them to improve their agriculture practice as they are not regarded as economically active and excluded from the membership of farmer groups, and lastly that they often only had access to land via their male partner or relatives. The women learned that government agencies responsible for land management should develop and manage the input subsidy program that benefit women smallholder farmers and ensure that inputs are manufactured, packaged and distributed to suit their needs. In a similar vein, government agriculture agencies became aware that the voice of women small-holder farmers voice was not represented in the farmer groups and there was a need to collect sex-disaggregated data about women farmers including where they farm, what crops they grow and what their needs are.

The time and resources dedicated to project design allowed for more structured or stratified sampling that captured the perspectives of a more diverse range of rights holders and state and non-state actors. In each district, consultations were held with agriculture officers, livestock officers, water/irrigation officers, government administrators, extension workers, women, youth, children and men. In some districts interviews were also conducted with people living with disabilities, HIV and families receiving food assistance. This more considered approach allowed for the triangulation of perspectives, which enriched the project team's understanding of the causes of poverty and possible assets or opportunities to erode the underlying conditions of food insecurity among the communities living in these arid lands. The design team also noted that more in-depth analysis of some issues such as human rights, power among and between groups and of the situation of vulnerable groups including people living with HIV or disabilities was required. This has been included in the work plan for year one.

### **Situation Analysis**

High economic growth was projected in Uganda and Kenya in 2010 (5.8% and 4% respectively) however real growth in agriculture has declined steadily in both countries<sup>5</sup>. In Uganda the World Food Program (WFP) has estimated that 27.6% of households are food insecure. Most of the hungry are

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<sup>2</sup> People consulted in Kenya included 75 youth, 110 men, 140 women and 80 of unrecorded gender, 405 in total

<sup>3</sup> People consulted in Uganda numbered 500 comprising 54% women

<sup>4</sup> These eight districts were selected from among an initial 12 proposed on the basis of more widespread poverty and marginalisation.

<sup>5</sup> World Economic Outlook" International Monetary Fund 2010

found in Eastern and Northern Uganda in areas which are synonymous with high poverty levels<sup>6</sup>. ActionAid's assessment in the Amuru, Bukedea, Katakwi and Nwoya Districts of Uganda revealed that 27% of households participating in the interviews had only one meal per day. In Kenya, the Food and Agriculture Organization (FAO) estimate that 31% of Kenya's population is undernourished, with on average ten million households being affected by hunger<sup>7</sup>. Mwingi, Mbeere and Isolo Districts fall into the Arid and Semi-Arid Lands (ASALs) in Kenya, an area widely recognized as being underdeveloped<sup>8</sup>. The majority of the population in Mwingi, Mbeere and Isolo districts were recorded as living below the poverty line in 2005/06<sup>9</sup>.

There is a weak asset base for food production or as a source of alternate income, within communities participating in the assessments in Kenya and Uganda. Households have limited livestock and they often own only a small number of chicken or goats and one head of cattle. Sale of such livestock was common when the family suffered economic or climate related shocks. Land ownership is limited (between two to nine acres) with only a third of this land being cropped due to a lack of draught power or the unavailability or high cost of seeds. Mwingi and Mbeere Districts in Kenya have mainly more sedentary agro-pastoralists whereas Isolo District is home to a greater proportion of more nomadic pastoralists.

Water availability and access is an issue that has a direct bearing on household food security. This situation will be exacerbated with the desertification associated with climate change. In some districts water resources are not sustainably managed due to poor management of existing waterwork structures, little emphasis on water saving technologies and practices, underutilization of rain water, pollution of watersheds with human and animal waste and underutilization of river water (in part due to poor licensing policy and practices).

The Kenya and Uganda Governments have ratified the Comprehensive African Agriculture Development Program (CAADP) and pledged to invest at least 10% of their budget to agriculture. Each country has national economic reform and development programs aimed at increasing food security and alleviating hunger among their populations. However, ActionAid's participatory rural appraisals with communities in Kenya and Uganda showed unacceptable levels of poverty and political, social and economic exclusion among smallholder farmers who rely on subsistence small-scale agriculture for their livelihoods. The less privileged and poorest sections of the population including women, people living with HIV, children and people with disabilities suffer the most from a shortage of food within households. For example, the assessment in Uganda revealed that in the absence of adequate food at home or at school, children were often hungry and left school to scavenge for food. Similarly, given that the national food and nutrition programs were separate from health programs, nutritional support for people living with HIV and their families was limited.

Assessment and analysis in the design phase highlighted that past development initiatives in these communities have been impeded by: a) inappropriate national land, agriculture and water related policies, b) changes in traditional ways of life, c) increasing population pressure on the natural resource base, d) deteriorating security and conflict problems, e) poor provision of agricultural services at a district level f) recurrent and extreme climatic events (floods or droughts) that expose

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<sup>6</sup> 61% of the households in the Northern and Eastern regions are living in poverty implying that poverty in these regions is three times higher than the national average." The Uganda Comprehensive Food Security and Vulnerability Analysis" World Food Program 2009

<sup>7</sup> United Nations FAO- Report on Countries in protracted Food Insecurity Situations, FAO 2009

<sup>8</sup> Draft National Policy for the Development of the Arid and Semi-Arid Lands in Kenya (December 2004)

<sup>9</sup> Kenya Integrated Household Baseline Survey (2005/06)

communities to massive losses when they occur. Historical neglect and under development of agriculture potential in these regions has led to eroded agricultural resilience. Moreover, as documented in Mwingi District of Kenya, smallholder farmers have little access to, or power, to influence the market and they are often taken advantage of by individual farmers or traders who buy their produce at a very low price. The analysis in Mwingi, Isiolo and Mbeere Districts of Kenya also showed that larger farmers or cooperatives are unwilling to share new technology or improved practices with smallholder farmers. Overall, there has been a neglect of public infrastructure, goods and services and poor representation of small-holder farmer's production and marketing issues in policy, research and extension outreach programs.

Both Governments have begun decentralizing resources and decision-making powers to facilitate and allow for greater participation, and consultation, with marginalized communities. However these efforts have not been backed by appropriate resources or transparent and accountable processes. This has resulted in a lack of public mechanisms for disseminating information, assuring quality or fostering technical innovations in food production. Markets have been deregulated which has led to an inability of individual small-scale farmers to compete with better-resourced farmers or to collectively negotiate for better commodities prices. Lack of access to markets has also resulted in the overproduction of some crops (such as onions in Isiolo district of Kenya) and resultant low sale prices.

More frequent and extreme climatic events including floods and droughts have exacerbated farmer's vulnerability to food insecurity. For example, the Amuria, Katakwi, Bukedea Districts of Uganda experienced floods in 2007 followed by years of drought and subsequent crop failure. The recent assessment in these three Districts, highlighted a lack of institutional, economic and financial capacity to support climate mitigation and adaptation actions. Thus climate adaptation activities initiated by smallholder farmers such as early planting or the use of drought escaping or resistant crops in Uganda are yet to be evaluated or taken to scale if they are proven effective.

The assessments in the selected communities exposed that women are even further excluded from decisions controlling food production and distribution. Low public investments in formal education or literacy programs have made it difficult for women to understand and claim their rights to food, housing or land. Many women are not recognized as farmers by their own families, communities or by their governments. Women participating in the assessment in Uganda said that patriarchy, stereotypes about men and women's rights and roles, traditional values and cultures, as well as market driven economies come together to generate and reinforce why women are not recognized or appreciated as farmers. Consequently research and outreach for labour-saving technologies and activities appropriate for women are much neglected in the public agenda.

### **Project Strategy**

The core problem to be addressed by the project is food insecurity. ActionAid Kenya and Uganda have been involved in sustainable agriculture for over ten years. Through food security work with farmers, Food Agriculture Organization and World Food Program, ActionAid has identified that, although the provision of agricultural inputs or strengthened agricultural extension services to poor and excluded farmers have met their immediate food security needs, longer term or sustained benefits have been undermined by the lack of in-depth analysis of food insecurity, poor organization and mobilization of farmers, limited connectivity between farmers and state workers and between national and international policies and practices that shape agriculture production at the local level.

As a human rights based organization, ActionAid believes that the root cause of this crisis is the denial or violation of small-holder farmers human rights (including the right to adequate food<sup>10</sup>) arising from unequal social relationships and power relations. The structures of society are set up to enable the rich and more powerful to control productive resources and decision-making processes. Small-holder farmers are excluded from market processes or agriculture planning decisions not because someone forgot or didn't make enough effort, but because of their place within a system of unequal power relations, which enables the more prosperous farmers to develop their potential and state decision makers to deny or ignore the human rights of the less powerful small-holder farmers. Compared with male small-holder farmers, women are more vulnerable to food insecurity due to their subordination within an unequal system of gender relations.

Because human rights norms and standards are premised on the principle of equality, ActionAid believes that such inequities are best redressed if small-holder farmers are equipped to claim their rights and governments are held accountable for their responsibility to respect, protect and fulfill their people's right to adequate food. ActionAid has developed a theory of change which says that "big change" will only happen if: a) the very basic conditions of poor and excluded people are met and they have the strength and well-being to claim their right, b) rights holder are conscious of why their rights have been denied and organize to claim their rights, c) civil society allies are mobilized to act in solidarity with rights holders to claim their rights and d) policies, laws and practices of the state and non-state institutions are changed through people-centered advocacy and campaigns.

This theory evolved over the last decade based on ActionAid's work in countries such as Brazil, India and Kenya. Anecdotal evidence captured in stories of significant change and an external review of ActionAid's strategic plan (2005-2010)<sup>11</sup> suggest this theory and resultant program approach is effective. Applying this theory to food security programs, ActionAid believes that it is not enough to work on increasing agricultural productivity or income, nor is it enough to work on agriculture or climate related policy. Long-term sustainable change for farmers will only come about if we work on all four areas and when farmers are mobilized, governments are held accountable, civil society is strengthened and women are equal. The table below links the organizational theory of change to that for this project.

Organisational	Project
The very basic conditions of poor and excluded people are met and they have the strength and well-being to claim their right	Provision of livestock and agricultural inputs to poor and excluded farmers to increase their food production and diversify their income streams
Rights holder are conscious of why their rights have been denied and organize to claim their rights	Creating vibrant and strong farmer groups that are able to engage with duty bearers and organize and act to claim their food related rights
Civil society allies are mobilized to act in solidarity with rights holders to claim their rights	Connecting farmers with networks, alliances or civil society that can represent and inject the interests of small-holder farmers in the food rights agendas
Policies, laws and practices of the state and non-state institutions are changed through people-	Critical analysis of laws, policies or strategies including CAADP at the national, regional or

<sup>10</sup> The rights to adequate food and to be free from hunger are guaranteed in article 11.1 and 11.2 of the International Convention of Economic, Social and Cultural Rights.

<sup>11</sup> Taking Stock Review III. ActionAid January 2011

Organisational	Project
centered advocacy and campaigns	international level that impede food security and conduct evidence-based advocacy for improved agriculture policies and practices

ActionAid is committed to regularly testing and informing this theory of change. This program will monitor the risk, assumptions and effectiveness of the theory over the life of the project. Key questions related to the theory of change included in the monitoring and evaluation for this project are: a) in what ways has the provision of services (i.e agriculture inputs) facilitated the mobilization and organization of male and female small-holder farmers? b) in what ways have bigger networks and alliances been able to represent the interests of male and female small-holder farmers and influence policy and practice of state and non-state actors? c) in what ways have rights awareness and consciousness led to sustained and continued demand for rights and an appropriate response by government?.

ActionAid believes that rights realization is a long term objective. As such this AACES project is part of a longer term program in the eight districts in Uganda and Kenya.

### Major Activities

This project aims to create the capacity to mitigate and cope with food and climate related challenges whilst tapping into the existing opportunities and strengths (including traditional knowledge, ownership or access to natural resources, potential markets for produce and a will to collectively negotiate produce prices) identified in the communities to create change. This project has three objectives.

#### *Objective one: Increased access to sustainable basic services for 4000 poor and marginalized male and female small-holder farmers in Uganda and Kenya.*

The project will work directly with rights holders that have been previously identified in Uganda. Previous work in similar communities plus the design process identified that small holder farmers, particularly women in these poor and marginalized areas are the most vulnerable to and affected by food insecurity. In Uganda, the project will target 2,000 smallholders, of whom approximately 70% are women. These farmers have previously formed producer groups and they will be included in the project. The total number in their households benefiting from the project in Uganda is 14,000. In Kenya the rights-holders will be selected by communities using criteria set by themselves with project managers and then formed into groups (for farmer field school activities – see below). They are anticipated to number 2,000, of whom between 70 to 80% will be poor women with a corresponding 12,000 in their households.

The total numbers then will be 4,000 smallholders, of whom approximately 70% are women with a corresponding 26,000 in their households. Most of the rights-holders will also be agropastoralists, who are more “sedentary” farmers with crops and a small number of livestock (rather than more nomadic pastoralists). As the groups are formed or consolidated, the number is likely to fluctuate and membership numbers will be tracked and presented in the six-monthly monitoring reports. A larger number of smallholders may experience positive change from the policy and solidarity work and that will be determined through household surveys.

Using previous learning from ActionAid’s food security programs, this program aims to address the challenges facing small-holder farmers identified in the situational analysis by:

- Providing livestock and agricultural inputs to poor and excluded farmers to increase their food production and diversify their income streams

- Creating vibrant and strong farmer groups that are able to engage with duty bearers and organize and act to claim their food related rights
- Connecting farmers with networks, alliances or civil society that can represent and inject the interests of small-holder farmers in the food rights agendas
- Critical analysis of laws, policies or strategies at the national, regional or international level that impede food security and conduct evidence-based advocacy for improved agriculture policies and practices.

**Component 1:** The first component aims to increase food availability through increased production and diversified household income. Attention to production and income are recognized strategies for promoting food security<sup>12</sup> and for achieving Millennium Development Goal 1 of eradicating extreme poverty and hunger. Increased productivity will be achieved by increasing farmer's access to basic hand tools/implements, improved drought resistant seeds and other productivity enhancing technologies. The project will seek to seek opportunities to link and align with the Australian Centre for International Agricultural Research (ACIAR) and Commonwealth Scientific Industrial Research Organisation (CSIRO) and their partners among others. Farmer groups will participate in adaptive research trials and multiplication of foundation seeds thus increasing seed availability and access in target communities. In subsequent years, crops such as groundnuts, cowpeas, cassava stems and sweet potato vines will be recovered from farmers and passed on to other farmers within the community thus increasing the number of people engaged on the project. Likewise oxen will be provided to open up land opening and increase food production and availability.

The project will strive to diversify income sources away from the distress sale of crops (which affects household food security) to profitable small-scale enterprises. Value chain analysis will be conducted on selected commodities to determine the players in the chain (input and service suppliers, producers, wholesalers, retailers and consumers) and the policies and processes that block the chain. Following these analyses alternate income generating activities available to men and women such as fruit tree production, poultry production and piggeries will be initiated. Farmers' capacities will be built in areas of enterprise selection, planning, record keeping and management. Farmers will be linked to marketing information and will be organized into groups for value addition and collective marketing. This strategy of strengthening farmer's business and management and marketing skills is supported by the farmers interviewed and by best practice<sup>13</sup>. The project will determine ways to link to The Alliance for Commodity Trading in Eastern and Southern Africa (ACTESA) to improve marketing.

Because food security in the target communities is directly affected by changes to weather patterns, ActionAid will work with communities to conduct a climate vulnerability and capacity analysis (using the handbook developed by CARE<sup>14</sup>) to determine vulnerabilities and assets in communities to mitigate and adapt to climate change. This information will help ensure climate sensitive agricultural inputs and farming practices are promoted in the project.

Water scarcity is likely to be an increasing challenge that impacts directly on food security. Through the climate change vulnerability and capacity assessment, ActionAid will work with communities to develop their skills in watershed management including use of drought resistant/tolerant materials and water harvesting structures. As part of this process, communities will understand their entitlements in terms of

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<sup>12</sup> Food and Agriculture Organization (FAO) Best practice [www.fao.org/bestpractice/contents](http://www.fao.org/bestpractice/contents). Accessed March 30 2011.

<sup>13</sup> Livelihood diversification and enterprise development: improving small holder farmer livelihoods. [www.fao.org/bestpractice/content/12/12\\_03\\_en.htm](http://www.fao.org/bestpractice/content/12/12_03_en.htm). Accessed March 25 2011.

<sup>14</sup> [www.careclimatechange.org/files/adaptation/CARE.CVCAHandbook.pdf](http://www.careclimatechange.org/files/adaptation/CARE.CVCAHandbook.pdf) accessed April 5 2011



water use including licensing and public infrastructure for water management. Campaigns will be conducted if policies or processes are not appropriate. In Isolo District the project will work mainly with small-holder farmers who grow crops and keep small livestock. There are a high proportion of pastoralists in the district but previous experience shows that the types of activities to be implemented do not aggravate conflicts. In addition the project will work with existing district peace working groups and water resource management bodies to resolve conflicts, particularly those related to water.

In Uganda, we will use ActionAid's participatory reflect and review processes<sup>15</sup>, to strengthen farmers groups and or establish direct activities to increase food availability and diversify incomes. Farmer's believed that forming groups and learning from each other would help farmers learn from and challenge one another at the same time as creating a stronger collective voice to influence food related decisions. These groups will be registered in the respective sub-counties which will enable government to recognize their eligibility to access services under the National Agriculture Advisory Services (NAADS)<sup>16</sup>. The capacity of extension services will be strengthened through training and or mentoring on good agricultural practice that will be tailored to the needs of small-holder farmers. ActionAid will also consider engage with children and youth either in the context of this project or in on-going work.

In Kenya, the project will use Farmer Field Schools (including Junior Farmer Field Schools aimed at youth and school-age children) at a community level which is an approach commonly referred as the 'school without walls'. This approach is recognised by the FAO as an effective way to engage farmers in a process of experimental learning that helps remove their reluctance to adopt new technologies. This approach is endorsed by the Ministry of Agriculture, Livestock and Fisheries in Kenya for the delivery of technologies, improved practices and or extension dissemination packages to farmers. At the Farmer Field Schools, farmers, pastoralists and fisher communities are trained to make their own choices concerning agricultural production and how to build their own organizational capacity. Farmer Field Schools use a Participatory Extension Approach involving farmers in (i) problem identification, through group work and public meetings, (ii) identification of enterprises, (iii) choice of venue for regular meetings, and (iv) rigorous development and monitoring of crop and livestock production. Farmer Field Schools aim to build leadership capacity among the groups, initiate new and innovative technologies and programs, create high rates of technology adoption, enhance indigenous knowledge and develop strong farmer associations and networks.

The methods used to increase the technical and organizational capacity of male and female small-holder farmers include specific technical training, exchange visits and coaching provided by the extension services officers, research institutes and farmers within the farmer groups. Based on past food security experience, ActionAid believes a variety of capacity building techniques are required to meet the different learning styles and objectives of farmers. Informed by the assessment results, the areas in which male and female farmers require assistance includes, but is not limited to, influencing food security policy and practice, sustainable climate resilient agricultural practice, climate change and water resource management, promoting the role of smallholder women farmers and marketing and post-harvest handling.

**The second component** of objective one, aims to build male and female farmers' awareness and understanding of their food entitlements and the government programs that are or should be in place to enable farmers to realize such rights. When the farmers come together in component one, ActionAid will

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<sup>15</sup> Such processes include reflect circles whereby communities, partners and other key stakeholder collectively reflect on their desired changes and the differing roles within the change process on an ongoing basis.

<sup>16</sup> Formal registration of farmer groups has facilitated access to extension services in other farming communities in Uganda.

conduct reflect circles<sup>17</sup> with male and female farmers to analyse why they are food insecure and excluded from the market and what they can collectively do to challenge the power dynamics that perpetuate their exclusion. The reflect process will include a rights analysis and power analysis which will help men, women, people living with HIV or disabilities to examine unequal power relations that lead to their exclusion, their rights entitlements and government obligations and strategies that may help them realize their rights. Particular attention will be given to women's equal right to access and control assets such as land, water-farming inputs, extension service marketing and the right to the benefits of scientific progress.

Through training on agricultural, trade and livestock sector policies, organizing and strengthening farmer movements and budget tracking, the program aims to increase farmers individual and collective knowledge and skills to engage with state and non-state actors to access key agricultural and climate change extension services and influence the strategies and processes through which food related decisions are made. This strategy of using agriculture inputs as an entry point or opportunity to increase farmer's knowledge and skill to claim food related entitlements has proven effective in ActionAid's food security programs across Africa and is considered a key element of building the agency of poor and excluded farmers<sup>18</sup>. This work will be complemented by working with state actors (such as agriculture workers and district administrators) to increase their understanding of their obligations to small-holder farmers and of the ways in which their policy and practice could be modified to help farmers realize their right to adequate food.

**The third component** of objective one creates linkages between farmer groups, civil society groups and academic institutions so that farmers have a stronger and more informed base to influence the practice of the state. Research institutes including Kenya Agricultural Research Institute and Uganda's National Agricultural Research Organisation, will be connected with farmers to increase institutional understanding of farmers' situations and ensuring farmers' access to the science and technology required to foster more productive and certified crops. In Kenya and Uganda, farmer groups will be connected via meetings and exchange visits with civil society platforms, food alliances and producers' coalitions at district and national level so they can represent and support the interests of farmers. ActionAid Uganda is already engaging in policy work with other AACES partners for the adoption and enforcement of the nutrition bill. The appropriateness of engaging with other alliances/coalitions will be determined during the power and rights analysis. From that analysis a strategy will be formulated on engagement with not only the small-holder producer groups but also the wider community including with Village Development Committees or equivalent local governance structures.

In Uganda farmers will work with the existing meteorological department to develop and advocate for Early Warning Systems within arid communities. Likewise in Kenya, farmers will continue to be linked to the Kenyan Climate Change Working Group to conduct climate change hearings with smallholder farmers that will be used to inform climate change policy and practice at the local and national level. While some of these linkage activities are recent modifications to food security programs in Kenya and Uganda, they were informed by other ActionAid programs such as Tanzania where over 123, 000 farmers were organized into ten apex structures who were successfully able to secure an increase on the state purchase price of cashews and state backing for farmer credit<sup>19</sup>. Particular attention will be

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<sup>17</sup> Reflect is a methodology used by ActionAid to create critical thinking and stimulate action amongst rights holders of why their rights are denied, why they are excluded and the responsibilities of duty bearers. It creates space where people feel comfortable to meet and discuss these issues and plan activities to address the problems and realize their rights.

<sup>18</sup> Right to Food: Strategic Plan 2006-2010 ActionAid 2010. [www.actionaid.org/assets/pdf/FoodRightsStrategicPlan2006-2010](http://www.actionaid.org/assets/pdf/FoodRightsStrategicPlan2006-2010). Accessed March 15 2011.

<sup>19</sup> ActionAid Annual report 2009.

paid to the most appropriate and effective groups, alliances or networks to advance the interests of women small-holder farmers.

**The fourth and final component** of objective one involves identifying and challenging the policies, laws and practices of state and non-state institutions that perpetuate food insecurity among smallholder farmer households. This component will build on ActionAid's previous experience in campaigning which has succeeded in making changes to localized issues pertaining to land rights and other enabling policy related to specific commodity marketing and production. Core activities under this component include food related policy/law review, tracking budget allocations for climate change and agriculture using evidence collected from project experiences to inform the policy and practice of the state. Information could include i) increased food productivity achieved through partnerships between research institutions farmers, ii) development and implementation of local climate change adaptation plans or iii) the impact of the Water Act in Kenya or the Nutrition Bill in Uganda on small-holder farmers. The project will also conduct action research to determine the effectiveness of district, national and regional Farmers Federations within Kenya, Uganda and other parts of Eastern Africa in representing the interests of the small-holder farmers. The aim of this review is to increase the visibility and the voice of small-holder farmers in this peak body.

*Objective two: AusAID policy and programs in Africa are strengthened particularly in their ability to target and serve the needs of marginalized people.*

ActionAid will use evidence from the project to inform AusAID's food related and climate change policy and programming. One of the proposed core activities under this objective is monitoring the implementation and financing of CAADP in Uganda and Kenya. The methodology for auditing CAADP will be shared and coordinated with other AACES partners involved in food security in the hope that similar audits can take place in more countries across Africa. ActionAid will collate all evidence and produce a report on behalf of all interested AACES partners. This report will be used by ActionAid's regional and global food rights program to help build a body of evidence on the impact of the CAADP framework across Africa and propose mechanisms for improving its effectiveness that can be fed into regional Economic Communities. The review of CAADP will add to the evidence base of the impact of the decentralization processes within Kenya and Uganda.

ActionAid has deliberately integrated climate change related activities into its program. ActionAid proposes to document this experience including the methodology and tools for integration (reflect circles, climate change vulnerability and capacity analysis) and the impact of climate change activities on food security and the livelihoods of male and female smallholder farmers. The outcomes/results of the proposed policy activities will be shared with AusAID's food security and climate change advisors in Canberra and Nairobi throughout the life of the project (design to evaluation) to ensure the relevance of this evidence and how to enable it to improve AusAID policy and practice.

The final policy related work relates to women's empowerment. Women's rights are central to all of ActionAid's work and the rights of women small-holder farmers is a priority for the organization. ActionAid will work with CARE and other AACES partners to determine and document ways in which women have been empowered through the AACES program and how changes in power balances between men and women and among women were captured and measured.

*Objective 3: Increased opportunity for the Australian Public to engage with development issues in Africa.*

ActionAid's community engagement strategy will focus on deepening understanding within the Australia community of the realities, causes and solutions to food insecurity in Africa, and demonstrate the ways in which Australian assistance can help combat food security and hunger in Africa. ActionAid Australia will work with our colleagues in Uganda and Kenya to establish people to people connections and solidarity between communities working on food security in East Africa and Australia. This will involve a range of engagement points between Australian communities working in sustainable agriculture. A network alliance analysis will be conducted to determine the most appropriate groups to engage within Australia. Alliances/networks that could be included are permaculturalists, progressive agriculture students, organic consumer-farmer networks, women farmers and even vegetable gardeners, and the smallholder farming groups we are working with in East Africa. These entry points will be predominantly virtual connections, including but not limited to blogging communities, web based seminars, social media groups and online video storytelling groups.

In addition ActionAid will identify key message bearers within the African communities where we work (beyond Kenya and Uganda) on food security to bring their personal stories to Australia including some of the policies that limit their activities. These message bearers will play a pivotal role in establishing links to new constituencies in the Australian community who have not previously seen their connection with the African development work that Australia is engaged in. As the AACES project matures we will seek to partner with other AACES agencies working on Food Security in the same regions where we are operating to develop further communication tools to expand and deepen our engagement with the Australian community.

In year one, there will be **two main outputs related to Objective 3**. The first will be the identification, training and mentoring of a young female Australian rural blogger to take part in an ActionAid International blogging engagement program in Africa where she will make connections to young African bloggers currently working with and supported by ActionAid. These bloggers are campaigning on Food Rights in Uganda/Kenya, and she will and commit to using her online networks to reach young rural Australians with stories about food production, rural development and women's rights in Africa. The second output will focus on the establishment of links with communities whose reach can extend beyond agriculture practice. This could be achieved through the hosting of an African female smallholder farmer activist to conduct a speaking tour of targeted communities in Australia to help raise the profile of the gendered nature of food security development work amongst rural women groups including female agriculture students and international development students, County Women's Associations, Networks of Rural Women, organic farmers and Permaculturalists. A detailed activity and implementation plan for the program (appendix 1) and budget (appendix 2) is attached. Organizational responsibilities for implementation are detailed in appendix 5.

### **Monitoring and evaluation**

While the design process highlighted some information and situations further analysis proposed within the project (i.e power analysis) will create or unearth new indicators of change. These will be added to the monitoring and evaluation plan creating a *rolling baseline* that is collected by the project management team established within each community. This rolling baseline is one that is built upon over time with different components added as the objectives and specificities of desired changes in the program become clearer and more knowledge and learning is gathered. While a monitoring and evaluation framework has been developed, this will be added to or refined over the life of the project. For example, the indicators of women's empowerment will be included following the gender and rights analysis and tracked through the prospective cohort study. The process of the rolling baseline with nominal dates for each analysis is shown in the M&E framework in Appendix 3. This is based on

ActionAid's experience and belief that change is not linear but rather a dynamic and cyclical process that monitoring and evaluation systems need to be able to capture.

All project partners will come together in December 2011 to solidify the final monitoring and evaluation plan for all objectives of the program including community defined indicators for each area of change. All collected data will be disaggregated by gender and will be complemented by secondary data where possible (eg Government data on chronic malnutrition). This plan will form the basis for the mid-term and final evaluations. The type of information and data collection responsibilities to be included within the final monitoring and evaluation plan are detailed in appendix 3.

At the start of project implementation ActionAid will formulate a capacity building and contribution plan. This plan will identify gaps in staff capacity (including deeper gender related analysis) and include activities, indicators and timeframe for addressing capacity development needs.

The type of changes to be captured through the project are informed by ActionAid International's Global Monitoring Framework. This framework is centered around five key areas of change that are used as a lens to better understand the power imbalances that need to change in order for rights holders to become empowered. In brief this project seeks to create and capture change in the following areas:

**1) Changes to the basic conditions of male and female small-holder farmers.** Before starting implementation ActionAid will finalise the gender analysis that will define in particular the gender division of labour and patterns of decision making, particularly in relation to the inputs and training that the project will provide. Information from this analysis will feed into the rights and power analysis described below. ActionAid and farming communities will monitor and record agricultural inputs (seeds and livestock distribution to farming households) and changes such as improved farming practices among male and female farmers, the number and type of income generating activities defined and implemented by farmers, surplus food stocks among households, income derived from sale of crops, changes to eating habits among households (including number of meals consumed per day for male-headed and female-headed households), and increased investments in areas defined by farmers. These indicators are indicative and will be discussed and defined with communities along with who will take responsibility for data collection and dissemination over the first six months of the project. A community based monitoring and evaluation plan will be developed and managed by each community. This plan will include the number and type of rights holders benefiting from improved conditions in each community.

**2) Changes to farmer's knowledge of food related rights, government obligations and capacity to act to claim their rights.** Over the first six months of the program, ActionAid will continue working with identified communities to conduct a rights analysis with male and female farmers and other community members (people living with HIV, disabilities, ethnic minorities or mobile populations) to increase their understanding of needs as rights, identify where and which rights are being denied, the basis and content of rights, government obligations and means by which farmers can claim or demand rights from government. This process will be complemented by a power analysis that helps communities to examine unequal power relations within private and public spaces that lead to the exclusion of male and female small-holder farmers and develop an action plan to erode power differentials. This process will deepen the understanding of the different conditions and positions of male and female farming populations. This information will provide the baseline from which to measure changes in the rights awareness and consciousness among male and female smallholder farmers and other excluded populations. Annual reflect circles, diaries and interviews will capture change against

these indicators. In addition a prospective cohort study will be conducted in selected communities and include measures of rights knowledge attitude and practice among different population groups.

**3) Changes related to the solidarity and support for female and male smallholder farmers.** During the first six months, the teams will work with different types of farmer groups to conduct a network analysis to identify possible allies (such as farmer groups, food rights alliances or coalitions), capture current attitudes towards the position and interests of female and male small holder farmers and identify ways to build relationships to further the interests of small-holder farmers. Information from this analysis will form the baseline from which to monitor and evaluate changes in support for smallholder farmers. The different forms of solidarity at the local, national, regional and international level will be documented via interviews, digital stories and stories of significant change. Information collected via such mediums could include the number and type of farmer organizations formed, the frequency and quality of their interaction with other groups, understanding of small-holder farmers interest among apex bodies, networks or civil society groups, the role small-holder farmers within these movements and perceived changes created by working in solidarity with others.

**4) Changes to policies, laws and practice of state and non-state institutions.** Policies identified by communities in the design phase that require attention include CAADP, the Food and Nutrition Bills in Uganda and Kenya, the Water Act in Kenya as well as the historic neglect of extension services for excluded farmers. Further work with female and male small-holder farmers will identify in more detail the type and scope of policy changes which will provide the benchmark for monitoring and evaluating the number, type and effect of policy efforts in Kenya and Uganda. ActionAid's role in changing or informing AusAID policy and programs related to food security, climate change and gender will be measured by the production and dissemination of CAADP audit reports and learning documents and/or forums pertaining to the integration of climate change within food security programs and lessons on empowering women. The effect of engaging the Australian and African communities on development issues within Africa will be evaluated by indicators such as the number of media articles, number of blogs, audience numbers for speaking tours, number of food related events, and increased understanding among Australian farmers of food security and development issues in Africa. Community engagement efforts in Australia will involve pre-intervention surveys or group discussions to identify existing understandings, attitudes and support for food security measures in Africa. This will provide the baseline from which to measure changes in support and understanding among the Australian public.

**5) Empowerment of women and men small-holder farmers.** Empowering rights holders is at the center of all ActionAid's programs. During the first six months of the project, ActionAid will work with groups of female and male smallholder farmers in each locality to envision or describe what empowerment would look and feel for them and capture common indicators related to food security across project sites. These indicators or measures will be tracked throughout the life of the project using a prospective cohort study. This study will be designed by ActionAid Australia, Kenya and Uganda in partnership with an appropriate research institution and selected local communities by December 2011. The prospective cohort study will be complemented by stories of change, which, in two communities within Uganda will be analysed using the sense maker tool. Lessons from piloting this tool will be documented and shared with AusAID and AACES partners. The Sensemaker tool will also be piloted in Uganda to capture common changes emanating from stories of significant change.

**Monitoring and evaluating partnerships** Partnership and mutual accountability is a core feature of ActionAid's work and of the AACES program. ActionAid Australia will develop and sign partnership agreements with ActionAid Kenya and Uganda specifying each organization's roles and responsibilities within the program. A Capacity Development and Contribution Plan will be established between

ActionAid Australia, Kenya and Uganda outlining how each partner intends to contribute to the development of each partner in order that they can achieve the project changes. The plan will include activities and indicators of capacity development and will be used to monitor and evaluate the effectiveness of the partnerships. The partnerships will be reviewed annually as part of ActionAid International's Participatory Review and Reflect Process (PRRP) that takes place within all countries. Reflect circles will be used to review and discuss the progress of and challenges partnerships and ways to build the partnership over the coming years. ActionAid Kenya and Uganda will conduct PRRPs with each community which will form part of the community based monitoring and evaluation plan

### **Monitoring and evaluating ActionAid's Theory of Change**

The program will provide evidence of and inform ActionAid's theory of change. Some of the ways the theory will be monitored and evaluated include:

- The cohort study will capture the type of empowerment but also the means by which this was achieved to ascertain if change occurred in a manner consistent with ActionAid's theory of change. Likewise a selection of small holder farmers and agriculture workers will keep diaries to note individual and community change throughout the different stages of the project. The farmers' federation study will identify if, how and why these federations represent the voice of small-holder farmers and provide alternatives if these federations are found to be lacking. This will assist in determining whether and what type of social movements are an effective force to create change for small-holder farmers.
- Annual reflect circles with male and female small-holder farmers will discuss and document changes and perceived triggers and agents of change
- Changes to legislation and or policy (at a local and national level) will be tested among a sample of small-holder farmers to determine the impact of these activities on the lives of small-holder farmers
- State actors will be interviewed during the annual planning process to gauge the challenges and opportunities to creating change to agriculture policy and practice.

### **Risk**

A detailed risk matrix is attached (appendix 4). In brief, the main risks and corresponding risk reduction strategies for the program include:

1) Latent conflict and land grabbing especially from returning communities in Uganda. To reduce this risk the project will be aligned with the conflict analysis and peace building initiatives conducted as part of the government and NGO supported human security programs in the project areas. The government's ongoing program for disarmament will also reduce the possibility of conflict. The project will also link conflict affected communities with conflict resolution movements in the country and or regions that are aimed at non-violent peaceful resolution of conflict.

2) Extreme climatic events (floods or droughts) in both areas could disrupt production. Climate change adaptation (such as local adaptation plans or provision of drought resistant seeds and water harvesting) and disaster risk reduction activities (such as early warning systems) have been integrated within the program design and included in the monitoring and evaluation plans. Early warning systems and community disaster risk reduction plans will also be developed with communities.

3) Conflict around water between pastoralists and more sedentary farmers could disrupt implementation. Along with the activities mentioned above, community watershed management plans will be formulated/strengthened including water use rights and lobbying for infrastructure to be constructed related to watering livestock. Conflict resolution mechanisms will also be strengthened.

4) High dependency on aid and stand alone service delivery by communities. The human rights based approach will help build awareness among communities of entitlements and the obligations of the state to provide basic goods and services related to the right to adequate food. Through the strengths based approach, communities will become more aware of their potential and assets they own or can mobilise to become food secure and become less reliant on external resources.

5) Conflict over women's ownership or access to resources. The rights analysis, power analysis and climate vulnerability analysis will be conducted with women and shared with men so as they can begin to understand what women farmers need to become food secure and claim their entitlements to land, water, extension services and other agricultural goods and services on an equal basis with men. Creating women small-holder farmer collectives and creating social movements and support for the rights of women farmers are essential to ensuring that their voice is heard and help with mediation and resolution of conflict. The program will identify and link women with other groups and programs supporting women.

6) Government and vested interests may not take legislative, policy or other measures as demanded by small-holder farmers. The project will build the capacity building and sensitize rights holders, build the capacity of state actors and institutions to deliver on rights obligations and build alliances of like-minded people that are able to collectively demand for change. This risk has been rated as medium likelihood of occurrence and medium impact as the project staff have had previous successes with this type of work as referred to on p10 under Activity Description.

### **Exit Strategy**

This project is one of a series that makes up ActionAid programmes that have a life of 10 years or over. Some of the initiatives will continue after this project is completed but solid basis will be established which can be built on in the following phase including but not limited to capacity of small holder farmers to analyse oppression and rights denial and work with duty bearers and in solidarity with others to claim their rights. Achievements of AACES and identification of areas that may require further effort will help ActionAid Uganda and Kenya and partners to develop exit strategies for these districts which they will do three years prior to leaving an area.

The involvement of local communities in the project design activities including defining indicators of change and partnership performance helps guarantee ownership and control over the processes of change. The registration and strengthening of farmer groups who will guide production and marketing processes will ensure they are a recognized entity that can provide a common platform for male and women small-holder farmers and collective bargaining after the life of the project.

Strengthening the awareness of rights entitlements combined with alliance building will help provide farmers and other excluded people with the knowledge, skill and people power to engage with, and demand, from duty bearers (including government research institutes to test new technologies and private sector input suppliers identified in the value chain work) appropriate and alternate services beyond the scope the project. Strengthening the capacity of agriculture workers and the piloting of initiatives such as the seed banks or development of early warning systems will help ensure that local government and communities manage and replicate the good practices of the project including continued consultation and partnerships with farmers groups. A precise strategy for service delivery after the project has ended will be defined at the start of the implementation phase including the identification of lending services and the ways that the rights-holders can be referred to them.



The interaction between rights holders and state actors will be monitored and modified to facilitate durable and functional partnerships. Regional and international advocacy related to CAADP in the project and globally by ActionAid international will assist with eroding structural barriers that impede small-holder farmer access to markets systems and agricultural services.

Finally, in accordance with ActionAid International's human rights based approach, the exit strategy for AACES will be developed and informed by the overarching exit strategy ActionAid Kenya and Uganda have in place with the community members in each geographic area.

### **AusAID Policies**

ActionAid Australia has an organizational Child Protection Policy and a nominated Child Protection Officer. All ActionAid partners are requested to adopt and follow this policy when working with ActionAid Australia. Implementation of this policy includes screening and police checks for all staff working with children, training on community based protection including child protection issues for all ActionAid staff and a complaint procedure accessible for children in Kenya, Uganda and Australia. Child protection responsibilities will be outlined in all the ActionAid partnership agreements and included in the monitoring and evaluation plan.

Through its human rights based approach, ActionAid seeks to actively engage the opinions and situations of those most unable to realize their rights. Within this program, vulnerability to food insecurity due to differences in physical or mental ability, disease status, sexuality, ethnicity or age will be analysed during the rights and power analysis. The program will then develop strategies and activities to ensure that such diversities do not limit or exclude people from being able to claim their food related rights. These strategies will be documented together with narratives of the lived experience of securing food among people with disabilities to provide lessons for incorporating differently abled people within future food security programs.

Key to this food security program is the protection of the environment and promoting ecologically sustainable development. Accordingly, major activities have been rated for their impact on the environment. Most activities are covered by Scenario 2 (described in the Environmental Management Guide for Australia's Aid Program 2003) as they are in rural development pertaining to agriculture (refer to Guideline 3) but have minimal impact on the environment as they relate to training, awareness raising, building solidarity and campaigning on evidence-based policy issues. The exception is the first set of activities under Objective 1 relating to delivery of inputs to vulnerable people and training in their use which fall into Scenario 3. There will have small impacts on the environment but they are not significantly negative ones. An Environmental Management Plan is being made for these activities and a draft annexed to the main design document (appendix 6), which will be finalised and submitted. Impacts on the environment will be monitored throughout implementation


## Appendix 1: Activity and Implementation Schedule

	Month 1	Qtr 1	Qtr 2	Qtr 3	Qtr 4
	June to July	July to Sept	Oct to Dec	Jan to Mar	April to June
<b>Objective 1) Increased access to sustainable basic services for poor and marginalised men and women small-holder farmers in Uganda and Kenya</b>					
Support Farmers with seeds/planting materials					
Rights analysis, power analysis, climate vulnerability and capacity analysis					
Cohort study design					
Support farmers with new technologies pertaining to climate change					
Support farmers with livestock and animal traction equipment					
Support farmers with water harvesting/irrigation and equipment and training to use those					
Technical training in crops and animal husbandry					
Support establishment of agroforestry nurseries					
Mobilisation and training of groups including for Farmer Field Schools					
Exchange Visits					
Viable enterprises identified and training provided					
Training and awareness raising on policies related to climate change including early warning systems					
Awareness raising on policies and training in lobbying					
Awareness raising on human rights and power relations					
Identifying active civil society organisations and training them in lobbying					
Linking communities and CSOs to networks					
Awareness raising on CAADP					
Awareness raising on climate change					
Awareness raising on budget allocations to food related rights issues					
Rights awareness training for duty bearers					
Monitoring and evaluation of project					

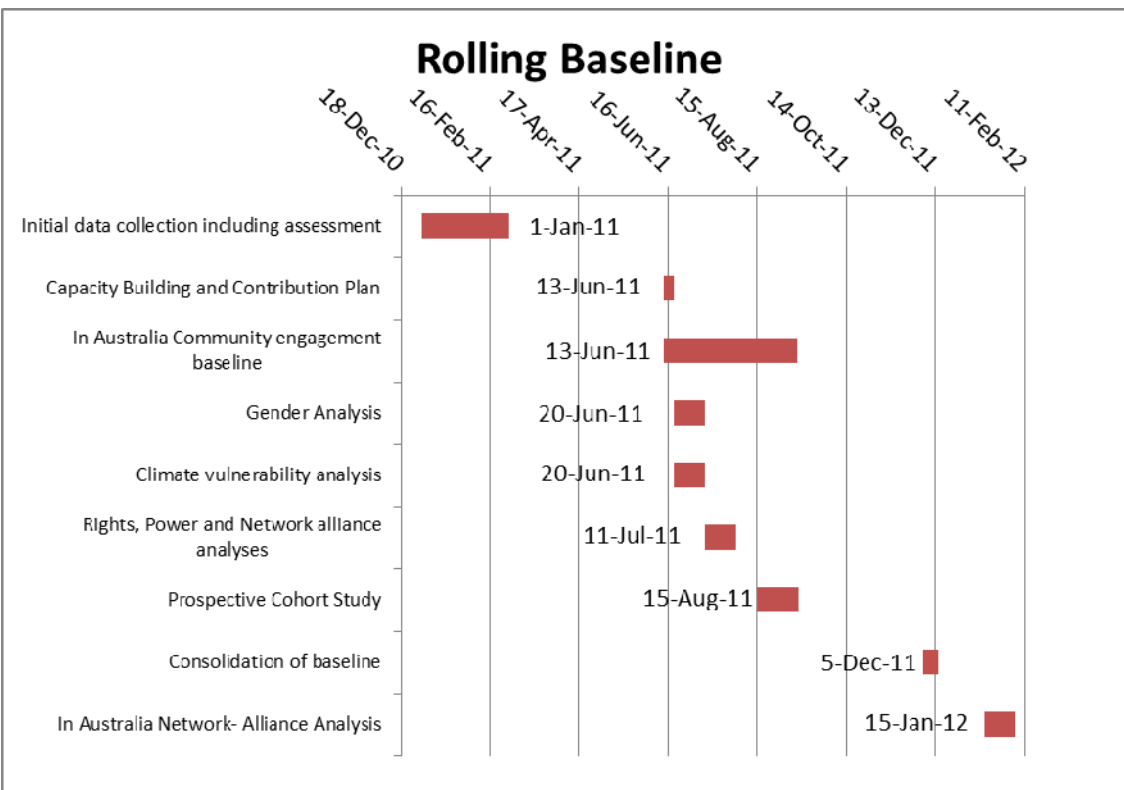
	Month 1	Qtr 1	Qtr 2	Qtr 3	Qtr 4
	June to July	July to Sept	Oct to Dec	Jan to Mar	April to June
<b>Objective 2 Increased opportunities for both AusAID and the ANGOs as a result of increased engagement and exchange on program activities, policy dialogue, research and/or other influencing work</b>					
Research and review of food related policies in Kenya and Uganda					
Research on the effect of CAADP on men and women small-holder farmers					
Research on the effect of climate change on men and women small-holder farmers					
Research on the extent to which farmers federations represent the interests of men and women small-holder farmers					
Dissemination of research findings to AusAID					
Dissemination of research findings to policy makers and parliamentarians					
<b>Objective 3 Increased opportunities for Australian public engagement in the Africa program</b>					
Community engagement in Australia/Africa through internet forums (blogging, web seminars) and visits					
Research in Australia on attitudes toward food rights in Africa					
Final Joint monitoring and evaluation plan (community and overall)					

## Appendix 3 M&E framework

Outcome	Indicative Indicators	Data to be collected	Means of verification	When	Responsibility
Male and female small-holders have sufficient and diversified production and income claim their food-related rights	Increased yield/hectare among households in Kenya and Uganda	Yield data per household,	Assessment reports, cohort studies, monitoring and evaluation reports, procurement / distribution lists, land transects, land tenure/ entitlement records, crop reports, community based monitoring	design (assessment) report, annual reporting, mid-term evaluation, annual cohort study,	Project management team, AA m&e advisors Kenya and Uganda
	Increased income among at least 4000 households in Uganda and Kenya	household income data	Household expenditure reports, prospective cohort study, stories of significant change, community based monitoring	design (assessment) report, annual reporting, mid-term evaluation, annual cohort study,	Project management team, AA m&e advisors Kenya and Uganda
	Increased investment in basic goods and services (education, health, durable goods) among at least 4000 households in Uganda and Kenya	household expenditure reports /information	Household expenditure reports, prospective cohort study, stories of significant change, community based monitoring	design (assessment) report, annual reporting, mid-term evaluation, annual cohort study,	Project management team, AA m&e advisors Kenya and Uganda
Strong and vibrant farmers groups that are aware of and have skills to claim food-related rights by male and female small holder farmers	Increase in # of meals per day among Female and Male Headed Households in Uganda and Kenya	meals consumed by household members	Household meal diaries,prospective cohort study, stories of significant change	design (assessment) report, annual reporting, mid-term evaluation, annual cohort study,	Project management team, AA m&e advisors Kenya and Uganda
	Increased awareness of reasons for denial of food related rights by male and female small-holder farmers	Rights understanding, levels of rights consciousness among male and female small-holder farmers	Rights analysis, power analysis, climate vulnerability analysis, Training session reports/evaluations, reflect circles, stories of change, meetings /activities of farmer groups, prospective cohort study reports, community based monitoring	Design, annual reflect circles, annual reporting, mi-term evaluation, annual cohort study	Project management team, AA m&e advisors Kenya and Uganda
	Greater number of female and male small holder farmers members of associations/ civil society groups	farmer groups registration, membership records,	Rights analysis, power analysis, climate vulnerability analysis, Training session reports/evaluations, reflect circles, stories of change, meetings /activities of farmer groups, prospective cohort study reports, community based monitoring.	Design, annual reflect circles, annual reporting, mi-term evaluation, annual cohort study	Project management team, AA m&e advisors Kenya and Uganda
Increased awareness of food related rights and obligations among state actors (agriculture workers, irrigation workers, district administration etc.).	Improved public speaking /negotiation skills among male and female small-holder farmers	Public statements/speaking events by small holder farmers	Rights analysis, power analysis, climate vulnerability analysis, Training session reports/evaluations, reflect circles, stories of change, meetings /activities of farmer groups, prospective cohort study reports., stories of significant change, community based monitoring	Design, annual reflect circles, annual reporting, mi-term evaluation, annual cohort study	Project management team, AA m&e advisors Kenya and Uganda
	Increased awareness of food related rights and obligations among state actors (agriculture workers, irrigation workers, district administration etc.).	Rights knowledge (domestic / international) among duty bearers (agricultural workers etc).	Rights analysis, power analysis, reports of meetings &workshop for duty bearers,	Design, annual reporting, mi-term evaluation, stories of change (duty bearers)	Project management team, AA m&e advisors Kenya and Uganda

Outcome	Indicative Indicators	Data to be collected	Means of verification	When	Responsibility
	Increased engagement between duty bearers and small holder farmers on food security	Public meetings, report submission,	Rights analysis, power analysis, reports of meetings & workshop for duty bearers,	Design, annual reporting, mid-term evaluation, stories of	Project management team, AA m&e advisors
Small-holder rights holder groups effectively linking with alliances and networks to represent and inject their interests in food-related policy agenda	Increase in the # of farmer groups financially and technically sound.	Registration records, organizational capacity assessments, annual operating plans of farmer groups,	Training reports, reflect circles, stories of change, cohort study, organizational/management assessments, community based monitoring	Design report, annual report, organizational capacity assessments (start / end), stories of change (annually), annual cohort study	Project management team, AA m&e advisors Kenya and Uganda
	Alliance and networks supporting issues related to male and female small holder farmers	Agendas and action plans of alliance and networks, communiques of networks/alliances	Minutes from meetings, campaign reports, exchange /field visit reports, reflect, stories of significant change, network analysis reports, media articles, farmers federation report.	Design report, annual report, organizational capacity assessments (start / end), stories of change (annually), annual cohort study	Project management team, AA m&e advisors, AA Kenya, AA Uganda staff
	Effective partnerships formed between AA Australia, Kenya and Uganda and between AACES partners	Partnership agreements, joint activities /policy learnings,	Capacity development and contribution plans, annual reflect circles, participatory performance review and reflect reports, AA annual reports, community based monitoring and evaluation plan..	annual report, stories of change (annually), annual cohort study	Project management team, AA m&e advisors, AA Kenya, AA Uganda staff
	Increased engagement between communities involved in sustainable agriculture in Africa and Australia.	Number and type of engagement (blogs, media articles)	Campaign report, media articles, blogging report, website reports, trip reports, training reports	Mid-term evaluation, final report,	AAA, AA Kenya, AA Uganda
Increased awareness among new constituencies in Australia of food security and development assistance in Africa.	Knowledge and awareness of food security issues among australia public.	Campaign report, media articles, blogging report, website reports, trip reports, training reports	Mid-term evaluation, final report, stories of change (mid-term and final)	Project management team, AA m&e advisors	
Improve food policy and practice of state and non-state actors	# of policy changes / repeals in Australia, Kenya and Uganda in support of male and female small holder farmers	policy report,	Food or climate change related law, policy or strategy development or repeal, CAADP report, position paper on integrating climate change into food security	Mid-term evaluation, final report, cohort study, duty bearers stories of change (mid-term and final)	AAA, AA Kenya, AA Uganda, AA Food rights theme, AusAID Nairobi and Canberra
	Increased awareness of and adherence to AusAID policy (i.e gender, disability, child protection, environmental, counter terrorism, welfare, evangelism and inclusion) by all AACES partners	Policy adherence checking via monitoring trip, KAP of AusAID policy among AAKenya, Uganda and local partners.	Contracts, partnership agreements, monitoring reports, evaluation reports, capacity development and contribution plan.	annual reports, all monitoring reports, midterm and final evaluations.	AA Australia, Kenya and Uganda
	Improved and increased agriculture extension and disaster response services for small holder farmers by duty bearers.	Service records (agriculture), budget allocations,	Assessment reports, cohort studies, monitoring and evaluation reports, procurement / distribution lists, land transects, land tenure/ entitlement records, crop reports, community based monitoring	annual reports, all monitoring reports, midterm and final evaluations.	AA Australia, Kenya and Uganda
<b>Impact</b>					
Male and female small holder farmers empowered and food secure	Women and men able to define empowerment and feel empowered by the project.		Cohort study, diaries, stories of significant change, sense maker report, community based monitoring	Mid-term evaluation, final evaluation, annual cohort study report	Project management team, AA m&e advisors, AA Kenya, AA Uganda staff
	Triggers of change understood and inform AA theory of change		Cohort study, diaries, stories of significant change, duty bearer interviews, annual reflect circle reports.	Mid-term evaluation, final evaluation, annual cohort study report	Project management team, AA Kenya, AA Uganda staff

## Rolling Baseline



#### Appendix 4 Risk Management Matrix

Risk	Likelihood (Low/Medium/High)	Impact (Low/Medium/High)	Management Strategy for all risks above Low-Low	Is the risk assessed through the M&E system?
<b>Contextual</b>				
Extreme climatic events (floods and droughts)	High	Medium	Climate change adaption including local adaption plans, drought resistant seeds and water harvesting and disaster risk reduction (such as early warning systems) have been integrated within the program design	Yes – the perceived and actual resilience of the communities will be tracked
<b>Design Risks</b>				
High dependency on aid and stand-alone service delivery	Medium	Medium	The human rights based approach will help raise awareness of their entitlements and obligations of the state to provide basic services related to the rights to the food. Through the strength based approach the communities will become more aware of their potential and their own assets so they can organise and become less reliant on external resources.	Yes – community awareness of their rights will be measured. Their perceptions of their own assets and potential and how they can use those to become less dependent on external resources will also be gauged.
Social movements not interested in or represent interests of small-holder farmers	Low	Medium	The network and power analysis will identify who potential allies are. Increasing awareness of small-holder farmer's interests and points of convergence with allies will help ensure solidarity. Resources have also been provided to develop & implement joint campaigns so such work has concrete outputs and focus.	Yes reflect circles and power analysis will provide basis from which to monitor the engagement of social movements for male and women farmers. Annual reflect circles will establish their relevance for small-holder framers. Farmers' Federation study will also look

Risk	Likelihood (Low/Medium/High)	Impact (Low/Medium/High)	Management Strategy for all risks above Low-Low	Is the risk assessed through the M&E system?
				at the suitability of this federation and suggest alternatives or supplementary movements for small-holder farmers.
Rights holders not willing to discuss rights or have skill and confidence to engage with networks / state to demand change during or post project.	Low	High	Service delivery is a means to bring farmers together to discuss rights and reasons for exclusion. Group learning and movements may create energy. Cross visits and examples of rights programs will help enable farmers to see possibilities. Public speaking and advocacy building will help farmers engage effectively for change.	Yes- changes in rights knowledge and understanding will be measured and monitored throughout the program.
Government and vested interests may not take legislative, policy or other measures as demanded by small-holder farmers and or policy change does not impact on farmers.	Medium	Medium	Capacity building and sensitization of stakeholders to strategically engage with duty bearers so as to maximise impact. This will be complimented by identifying constraints of policy change with duty bearers and using this to build their capacity and systems to help them meet obligations. Duty bearers also provided with models of alternate service delivery which they can replicate. Alliance building with like - minded civil society will also help pressure government to take action.	Yes process to engage duty bearers is included as is changes to duty bearer's knowledge and awareness of interests & food rights of small-holder farmers. Impact will be measured among a sample of farmers.
<b>Implementation risks</b>				

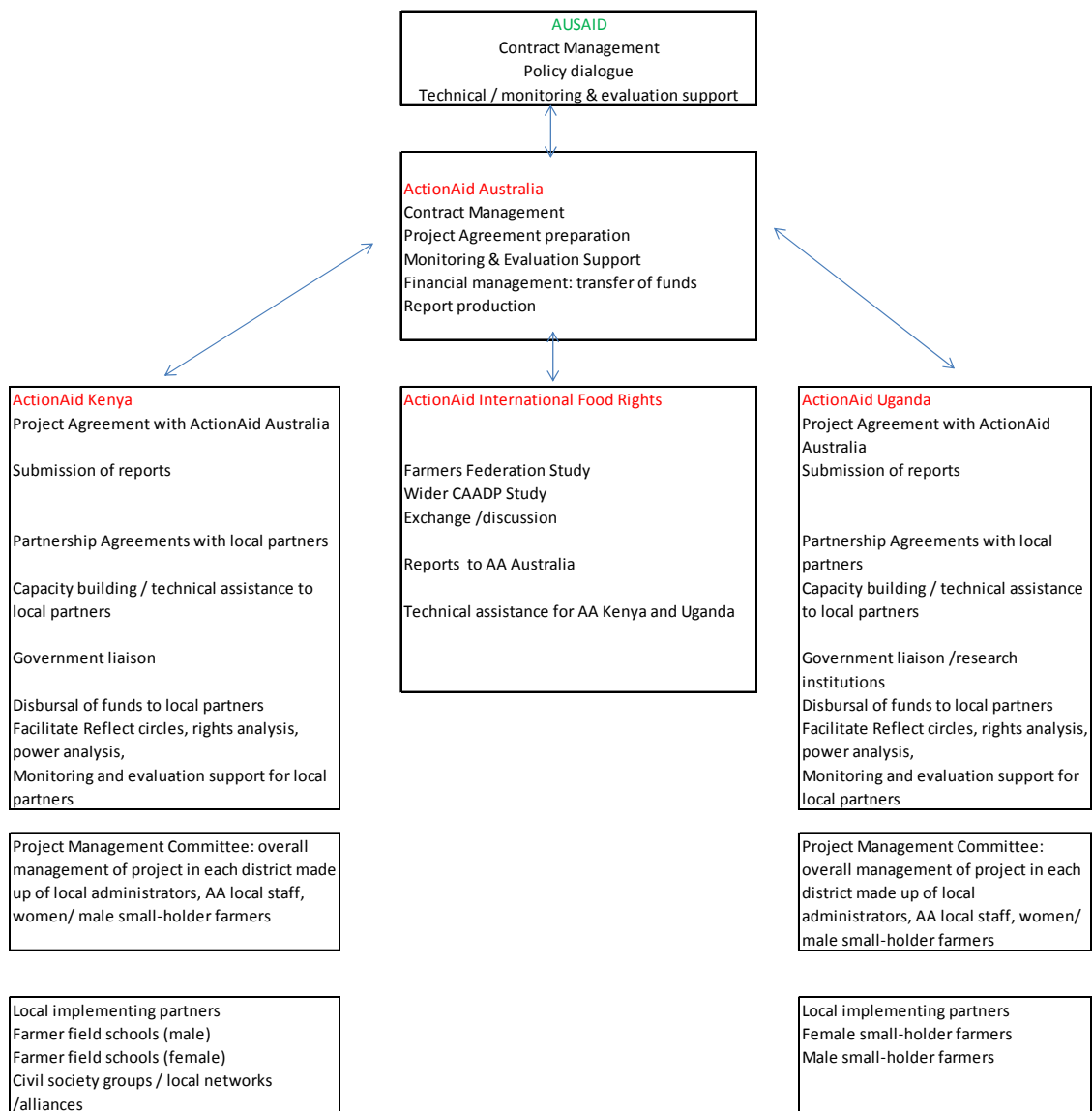


Risk	Likelihood (Low/Medium/High)	Impact (Low/Medium/High)	Management Strategy for all risks above Low-Low	Is the risk assessed through the M&E system?
Latent Conflict and Land Grabbing	Low	Medium	The rights holders will be aligned with the conflict analysis and peace building initiatives conducted as part of the government and NGO supported human security programs in the project areas. The government's program of disarmament will reduce the possibility of conflict. Links will also be made with movements and organizations working on non-violent resolution of conflict within the district and/or country.	Yes – the situation with regard to land rights and land use will be tracked with women and men small-holder farmers (cohort studies and stories of change etc.). The direct and indirect effects of conflict will also be gauged with communities.
Conflict over women's ownership or access to resources	High	High	Women small-holder farmer's perceptions of their rights, of power dynamics around them and vulnerability to climate will be shared with men. Both women and men will then understand the situation better and be able to take actions to ensure equal access to their entitlements to land, water, and research and extension outreach services. Women small-holder farmer collectives and creating social movements to support the rights of women farmers will also ensure that their voices are heard. Links/referrals will also be made with programs or services supporting	Yes – both women and men knowledge, attitudes and behaviour toward women claiming their entitlements to land, water, research and extension outreach will be monitored. Use or piloting of technologies appropriate for both men and women will also be monitored.

Risk	Likelihood (Low/Medium/High)	Impact (Low/Medium/High)	Management Strategy for all risks above Low-Low	Is the risk assessed through the M&E system?
			women both within Government and among civil society.	
Conflict over water resources, particularly related to pastoralists and more sedentary farmers	Medium	Medium	Community-based watershed management plans will be formulated and strengthened that reduce water usage and harvest rain water. These will also include campaigning with the government for policies on appropriate water usage policies (licenses) and their application and public infrastructure such as installation of water troughs and watering points for livestock. Conflict resolution mechanisms will also be strengthened.	Yes – the group’s ability to manage and monitor their watersheds, interact with duty bearers to ensure better policy and its application in relation to water and ability to resolve conflicts will be monitored.
Social movements not interested in or represent interests of small-holder farmers	Low	Medium	The network and power analysis will identify who potential allies are. Increasing awareness of small-holder farmer’s interests and points of convergence with allies will help ensure solidarity. Resources have also been provided to develop & implement joint campaigns so such work has concrete outputs and focus.	Yes reflect circles and power analysis will provide basis from which to monitor the engagement of social movements for male and women farmers. Annual reflect circles will establish their relevance for small-holder framers. Farmers’ Federation study will also look at the suitability of this federation and suggest alternatives or supplementary movements for small-holder

Risk	Likelihood (Low/Medium/High)	Impact (Low/Medium/High)	Management Strategy for all risks above Low-Low	Is the risk assessed through the M&E system?
<p>Government and vested interests may not take legislative, policy or other measures as demanded by small-holder farmers and or policy change does not impact on farmers.</p>			<p>Capacity building and sensitization of stakeholders to strategically engage with duty bearers so as to maximise impact. This will be complimented by identifying constrains of policy change with duty bearers and using this to build their capacity and systems to help them meet obligations. Duty bearers also provided with models of alternate service delivery which they can replicate. Alliance building with like -minded civil society will also help pressure government to take action.</p>	<p>farmers. Yes process to engage duty bearers is included as is changes to duty bearer's knowledge and awareness of interests &amp; food rights of small-holder farmers. Impact will be measured among a sample of farmers.</p>

## Appendix 5 ActionAid Relationship Chart



## Annex 6: Draft Actionaid AACES Environment Management Plan April 2011

### Livestock restocking – Cattle/goats

Issue	Objective	Management strategy
Introduction of invasive exotic species or new pests and diseases	To protect native flora and fauna	<ul style="list-style-type: none"> <li>• Provide breeds that are common to the area</li> <li>• Ensure stock are vaccinated against common diseases.</li> <li>• If sourcing from outside local area have a quarantine phase to observe animals for signs of disease and pests and treat or destroy them</li> </ul>
Polluted water points	To ensure that water points are well managed	<ul style="list-style-type: none"> <li>• Work with communities to determine the optimum stocking rate in relation to water supply and rangeland capacity.</li> <li>• Train in herd management to ensure optimum stocking rates including effects of climate change</li> <li>• Link communities to early warning systems so that decisions can be made to manage herds appropriately</li> <li>• Ensure that people have sufficient and separate drinking water sources.</li> <li>• Identify sensitive water points and with communities make sure that they are protected</li> <li>• If necessary, with communities, consider installing separate water points</li> </ul>
Settled areas unhygienic and not sanitary	To ensure that livestock around settlement areas are appropriately managed	<ul style="list-style-type: none"> <li>• Work with communities to ensure that livestock are appropriately fed either through pasturing distant from settlement or by providing fodder.</li> <li>• Work with communities to ensure that livestock are confined near human settlements</li> <li>• Work with different communities to ensure that livestock are not stolen.</li> <li>• Work with communities to ensure that livestock waste is appropriately managed (e.g. re-used on farms for fertilisation).</li> <li>• Work with communities to ensure that livestock is appropriately vaccinated to prevent spread of pests and diseases.</li> </ul>
Invasion of rangeland with exotic species	To ensure that flora and fauna in the rangeland is preserved	<ul style="list-style-type: none"> <li>• Work with communities to determine the optimum stocking rate in relation to water supply and rangeland capacity.</li> <li>• Train in herd management to ensure optimum stocking rates including effects of climate change</li> <li>• Link communities to early warning systems so that decisions can be made to manage herds appropriately</li> <li>• Ensure that sensitive areas are protected (e.g. forest reserves, wetlands)</li> </ul>

### Distribution and use of animal traction equipment

Issue	Objective	Management strategy
Prevention of erosion	To ensure that the soil is managed appropriately	<ul style="list-style-type: none"> <li>• Train and work with communities to ensure that ploughing on slopes is minimised.</li> <li>• Train and work with communities to ensure that they plough along contours</li> </ul>
Degraded and exploited land	To ensure that the land is appropriately managed	<ul style="list-style-type: none"> <li>• Train and work with communities to ensure that they leave large trees in fields.</li> <li>• Train and work with communities to identify sensitive areas and ensure that they are not cropped</li> <li>• Ensure that the animal traction equipment is appropriate for the soil</li> <li>• Train and work with communities to ensure that fields are not continuously cropped and cultivation is minimised</li> </ul>
Cash crops utilised at the expense of food security and those important to women	To ensure that food security and crops that women consider important are not discarded at the expense of cash crops	<ul style="list-style-type: none"> <li>• Work with women to ensure that they identify the crops that are important to them and are able to voice their opinions in households and communities.</li> <li>• Work with men to raise awareness on crops that are important to women and plan appropriately</li> </ul>

### Seed/planting material distribution

Issue	Objective	Management strategy
Invasion of farm and other land with exotic species	To preserve the native flora and fauna	<ul style="list-style-type: none"> <li>• To ensure that varieties are suitable and appropriate for the area.</li> <li>• To ensure that seed is not contaminated with weed or other species.</li> <li>• To ensure that the seed/planting material is pest and disease free</li> </ul>
Inappropriate use of inorganics fertilisers and pesticides	To ensure that techniques/technologies are appropriate for women and men farmers	<ul style="list-style-type: none"> <li>• Promote techniques/technologies that are within a package of integrated nutrition management which minimises the need for inorganic fertiliser.</li> <li>• Promote techniques/technologies that are within a package of integrated pest management which minimises the need for industrially manufactured pesticides</li> </ul>
Polluted farm and other land	To ensure that seed and other input packaging is disposed of	<ul style="list-style-type: none"> <li>• To ensure that paper packaging around seeds is recycled, burnt or buried.</li> <li>• To ensure that plastic bags are burnt or</li> </ul>

Issue	Objective	Management strategy
	appropriately	buried

#### Distribution and use of irrigation equipment

Issue	Objective	Management strategy
Excessive runoff, excessive and nutrients in the water. Lowered water table	To prevent loss of topsoil and sediment accumulating in the water system.	<ul style="list-style-type: none"> <li>• Work with communities to plan and implement a water management programme that includes avoidance of over watering.</li> <li>• Building of infrastructure and/or equipment that prevents overwatering</li> </ul>
Incidence of disease increased	To prevent stagnant water accumulating and increasing disease incidence such as malaria, dengue and bilharzia.	<ul style="list-style-type: none"> <li>• Work with communities to plan and implement a water management programme that includes avoidance of over watering.</li> <li>• Building of infrastructure and/or equipment that prevents overwatering.</li> <li>• Building appropriate drainage points</li> <li>• Developing irrigation schemes on level land</li> </ul>
Degradation of sensitive areas	To preserve biodiversity.	<ul style="list-style-type: none"> <li>• Identify and protect sensitive areas by managing water flows and not irrigating in those areas.</li> </ul>

#### Establishment and operation of demonstration plots/agroforestry nurseries

Issue	Objective	Management strategy
Introduction of exotic species	To protect native flora and fauna	<ul style="list-style-type: none"> <li>• Use of species that are adapted to the area and are not invasive.</li> <li>• Ensuring seed/planting materials are pure, free of other seeds, pests and diseases</li> </ul>
Pollution of farm and other land	To ensure appropriate waste disposal	<ul style="list-style-type: none"> <li>• Burning or burial of plastic bags or paper.</li> <li>• Avoiding plastic bags as much as possible</li> </ul>
Degradation of natural resources	To assure appropriate use of natural resources	<ul style="list-style-type: none"> <li>• Work with farmers so they have knowledge and understand the benefit of environmentally friendly technologies (including emphasising their long-term benefits).</li> <li>• Promotion of integrated pest and nutrition management</li> </ul>
Excessive use of cash crops	To ensure that food security and crops important to women are protected	<ul style="list-style-type: none"> <li>• Use crops in the demonstrations that are appropriate for women and food security</li> <li>• Identify and build on traditional practices</li> </ul>
Land and other natural	To minimise clearance of	<ul style="list-style-type: none"> <li>• Select sites for demonstration plots that are already partially cleared.</li> </ul>

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Issue	Objective	Management strategy
resources degraded	vegetation erosion	and <ul style="list-style-type: none"><li data-bbox="735 327 1362 389">• Do not use sites that are in environmentally sensitive areas</li><li data-bbox="735 398 1238 427">• If irrigation is use do that appropriately</li><li data-bbox="735 436 1302 465">• Select sites on level land as much as possible</li></ul>

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