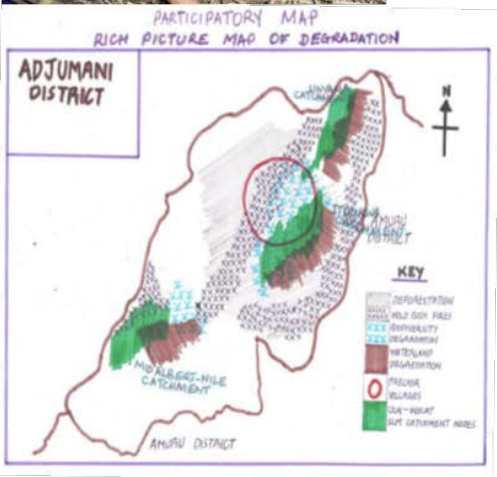# Scaling - up Sustainable Land Management (SLM) practices by smallholder farmers: working with agricultural extension to identify, assess and disseminate SLM practices

Project progress report year 1 (1.3.2016 – 30.6.2017)

Cornelia Hett, CDE, Bern, 31.8.2017

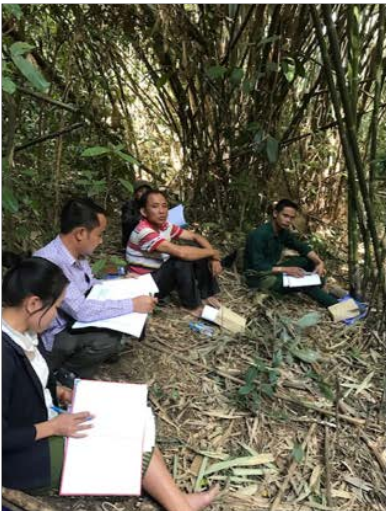## Template 21: Project progress report year 1 (1.3.2016 – 30.6.2017)

Project Title: Scaling - up Sustainable Land Management (SLM) practices by smallholder farmers: working with agricultural extension to identify, assess and disseminate SLM practices

Recipient name: Centre for Development and Environment (CDE), University of Bern, Switzerland

Project Grant Number: 2000001103

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List of acronyms

AFD	Agence Française de Développement
ASPIRE	Agriculture Services Programme for Innovation, Resilience and Extension (ASPIRE) project
As	SLM Approaches
AWPB	Annual Worklan Plan and Budget
CAES	Center for Agricultural and Environmental Studies
CDE	Centre for Development and Environment
CEW	Community Extension Workers
DS	Decision Support
FMNL	Southern Laos Food and Nutrition Security and Market Linkages Programme
GDA	General Directorate of Agriculture
Gov	Government
IFAD	International Fund for Agricultural Development
KM	Knowledge management
MAAIF	Ministry of Agriculture Animal Industry and Fisheries, Uganda
MAF	Ministry of Agriculture and Forestry, Laos
MAFF	Ministry of Agriculture, Forestry and Fisheries, Cambodia
NAFRI	National Agriculture and Forestry Research Institute
NEG	National Expert Group
NGO	Non-Governmental Organisation
PCD	Planning and Cooperation Division
PRELNOR	Programme for the Restoration of Livelihoods in the Northern Region (PRELNOR)
RUA	Royal University of Agriculture
SACCC	Smallholder Adaptation to Climate Change Component (of FMNL)
SLM	Sustainable Land Management
TORs	Terms of References
ToT	Training of trainers
Ts	SLM Technologies
Ts&As	Technologies and Approaches
ULN	Uganda Land Care Network
UNCCD	United Nations Convention to Combat Desertification
UNCCD COP	United Nations Convention to Combat Desertification Conference of Parties
WOCAT	World Overview of Conservation Approaches and Technologies

Background

Sustainable land management (SLM) practices present a viable alternative for smallholder farmers to meet market demands in a sustainable manner, while enhancing their resilience to climate change and strengthening ecosystem services at a landscape level. Many SLM practices have been developed by smallholder farmers, and hence locally adapted with low implementation and maintenance costs. Although a large array of these innovations exists, a wider audience rarely knows them, and only a small percentage are documented and evaluated for scaling-up. The extension services that are critical for the scaling-up of SLM are often weak, pursue a rather top-down and technocratic approach, and often lack the knowledge and equipment to promote SLM innovations following an inclusive approach of stakeholder enganement.

The project 'Scaling-up Sustainable Land Management (SLM) practices by smallholder farmers: working with agricultural extension services to identify, assess and disseminate SLM practices' is therefore strategically designed to improve the availability and accessibility of SLM knowledge to a range of stakeholders, particularly land users, extension service officers, government (gov) officials from the respective Ministries of Agriculture at levels, and external technical experts. The overall goal of the Scaling-up SLM project is to enhance the resilience of communities and their smallholder farmers to climate change shocks as well as pressures exerted by population growth, rapid urbanisation, and economic expansion. The project at hand has a duration of 40 months, which includes the original duration of 36 months, and an extension of four months granted by IFAD for the first year of its implementation. It runs from 1.2.2016 until 30.6.2019 and is implemented by the Centre for Development and Environment (CDE) of the University of Bern, Switzerland, hosting the World Overview of Conservation Technologies and Approaches (WOCAT) Secretariat. Three national project partners collaborate with CDE for the implementation of the project within the target countries. In each target country, the project is closely linked to an International Fund for Agricultural Development (IFAD) investment project (see Table 1). Annex 1 shows the locations of the project implementation in Uganda, Cambodia and Laos.

Table 1: Overview of key aspects of implementation in target countries

Cambodia	
In-country partner organization	Centre for Agriculture and Environmental Studies (CAES) of the Royal University of Agriculture (RUA)
IFAD investment Project	Agriculture Services Programme for Innovation, Resilience and Extention (ASPIRE)
Target areas	Five provinces (Kratie, Preah Vihear, Battamberg, Pursat, Kampong Chhnang)
Laos	
In-country partner organization	National Agriculture and Forestry Research Institute (NAFRI)
IFAD investment Project	The Smallholder Adaptation to Climate Change Component (SACCC) of the Food and Nutrition Security and Market Linkages Programme (FNML)
Target areas	Five districts in Southern Laos Phouvong and Xanxay (Attapue Province), Samouy and TaOuy (Saravane Province), Darkchung (Xekong Province)
Uganda	
In-country partner organization	Uganda Landcare Network (ULN)
IFAD investment Project	Project for Restoration of Livelihoods in the Northern Region (PRELNOR)
Target areas	Nine districts (Lamwo, Adjuma, Amuru, Gulu, Nwoya, Agago, Kitgum, Pader, Omoro)

The project will (1) build the capacities of extension services for a standardized documentation of SLM practices using the participatory WOCAT tools and methods, (2) assist the extension workers in assessing existing SLM practices, (3) further evidence-based decision-making in SLM by capacitating extension staff to use established WOCAT tools and methods for knowledge management (KM) and decision support (DS) in SLM and to tailor them to the context and specific needs of the extension services in the three project countries, (4) assist extension services to demonstrate and scale-up a selection of SLM practices, and (5) support agricultural extension services to create a national SLM database, which is linked to the global WOCAT SLM database and therewith also the United Nations Convention to Combat Desertification (UNCCD) SLM Best Practices Reporting.

Review of progress and performance by project component

Component A: Operationalization of a SLM knowledge base and management system for agricultural extension service building on existing knowledge

Overview of main activities carried out in year 1:

1. Knowledge management systems within the target countries for strengthening extension curricula with the projects methodology for scaling-up SLM were elaborated. For this the following main sub-activities were conducted:
   o Assessment of existing structures and platforms within the governments and collaborations between governments and development partners for promoting and enhancing SLM technologies (Ts) and approaches (As).
   o Creation of an overview of past and present development projects, which implement SLM and in particular climate-smart practices through reading of project reports, liaising and meeting with project representatives.
   o Initial field survey to target areas to learn from smallholder farmers about existing and potential SLM practices and summarizing findings using the WOCAT inventory sheets on SLM technologies and approaches translated into local language.
   o First overview of existing Technologies and Approaches found in the projects areas
   o A workshop (appraisal phase workshop) was carried out to inform and exchange with key stakeholders from the governments and the development partners of the three target countries on the project's content, modalities and methodology and present the findings of the appraisal phase. Table 2 gives an overview of the participants at the appraisal phase workshops. The appraisal phase reports from the three national partners give a detailed account of the existing knowledge management systems of agricultural extension services as well as the existing knowledge gaps and key output products suitable per category of stakeholders (see Annex 2).

Table 2: Overview of participants at the "End of Appraisal Phase Workshop" conducted in the three target countries Cambodia, Laos and Uganda.

Cambodia	
Chair:	Prof. Dr. Sok Kunthy, Vice-rector of RUA
Number of participants (total):	30
Thereof:	
- Male/Female:	20/10
- IFAD, ASPIRE:	2
- General Directorate of Agriculture (GDA):	2

- Government (Gov) (Ministry of Agriculture, Forestry and Fisheries (MAFF), Provinces):	9
- Organizations (projects, Non-Governmental Organisations (NGOs)):	4
Laos	
Chair:	Dr. Bounthong Bouahom, Director NAFRI
Number of participants (total):	29
Thereof:	
- Male/Female:	25/4
- IFAD, FNML:	5
- Gov (Ministry of Agriculture and Forestry (MAF), Provinces):	15
- Other organizations (projects, NGOs):	7
Uganda	
Chair:	Prof. Moses Tenywa, Makerere University
Number of participants (total):	37
Thereof:	
- Male/Female:	26/11
- IFAD, PRELNOR:	2
- Gov (Ministry of Agriculture Animal Industry and Fisheries (MAAIF), Provinces):	9
- Other organizations (projects, NGOs):	17

2. The WOCAT tools and procedures for the standardized documentation of SLM technologies and approaches (Ts&As) were tailored to the local contexts and translated into the local languages (Khmer and Lao). The tools includes inventory sheets for Ts&As, and the full Ts&As questionnaires, the WOCAT database and database webpage (see: https://qcat.wocat.net/en/wocat/ for the original English version, https://qcat.wocat.net/lo/wocat/ (Lao version), and https://qcat.wocat.net/km/wocat/ (Khmer version).

3. Land use degradation mapping was carried out in all three countries. In a first step, the major land degradation problems were identified in the target areas together with local stakeholders. In a second step, the land degradation areas were mapped and discussed with local land users and government staff.

4. Three training-of-trainer (ToT) events were carried out – one in each target country – on the topic of SLM Ts&As documentation in the field and data processing into the global WOCAT database.

5. A total 10 trainings (4 in Cambodia, 4 in Laos and 2 in Uganda) were provided by the national partners to government staff of the agricultural sector (particularly extension services officers) on how to conduct the documentation of Ts&As and WOCAT database using the tailored and translated WOCAT tools. Table 3 provides an overview of the amount of trainings given and the participants. Annex 3 and 4 provide examples of the agendas and selected results from these trainings in Cambodia and Laos.

Table 3: Overview of trainings given by the national project partners on the documentation of sustainable land management technologies and approaches using the WOCAT questionnaires and WOCAT database in the three target countries.

Country	Date	Training Location	Num days	Num Participants	
Cambodia	25-28 November 2016	Phnom Penh	3	Total (female):	19 (8)
				Gov. Staff	12
				By administrative level:	11 nat.; 5 prov
				IFAD investment project:	7
				Other organizations:	0
	3 February 2017	Phnom Penh	1	Total (female):	11 (5)
				Gov. Staff:	11
				By administrative level:	11 nat.
				IFAD investment project:	2
				Other organizations:	0
	13-17 February 2017	Pursat province	5	Total (female):	25 (8)
				Gov. Staff:	18
				By administrative level:	10 prov.; 8 distr.
				IFAD investment project:	18
				Other organizations:	5
	21-25 February 2017	Kratie province	5	Total (female):	19 (7)
				Gov. Staff:	12
				By administrative level:	6 prov.; 6 dist.
				IFAD investment project:	12
				Other organizations:	7
Laos	28 February – 2 March 2017	NAFRI, Vientiane	3	Total (female):	21 (4)
				IFAD investment project:	0
				Other organizations:	3
	27-31 March 2017	Attapue, Attapue province	5	Total (female):	23 (6)
				Gov. staff:	20
				IFAD investment project:	3
				Other organizations:	0
	3-7 April 2017		5	Total (female):	12 (2)

		Darkchung district, Xekong province		Gov. staff:	12
				IFAD investment project:	0
				Other organizations:	0
	15-19 May 2017	Samouy district, Saravan province	5	Total (female):	21 (4)
				Gov. staff:	21
				IFAD investment project:	0
				Other organizations:	0
Uganda	15.12.2016	Kampala, UFAAS Office	1	Total (female):	17 (4)
				Gov. Staff:	2
				By administrative level:	17 nat.
				IFAD investment project:	3
				Other organizations:	15
	1-5 February 2017	Gulu	3	Total (female):	47 (11)
				Gov. staff:	4
				By administrative level:	11 nat.; 10 distr.; 28 sub-distr.; 4 village; 4 internat.
				IFAD investment project:	8

6. The national project partners together with trained extension officers carried out the documentation of SLM Ts&As in the target areas. This activity is on-going in year 2. For this on-going activity field missions are currently on-going or will be carried out shortly (see Table 5).

7. As of the end of year 1 there were a total of 133 (potential) Ts&As documented in the field: 21 in Laos, 30 in Cambodia, and 82 in Uganda. The Ts&As are currently entered into or reviewed in the global WOCAT database following the standard WOCAT approach of submission and review (see Annex 5). For the collection of data in the field a total of XY data collections campaigns were conducted by the in-country teams together with extension workers and local land users.

Annex 6 gives an overview of Ts&As documented in the field in the three target countries. Finally, Annex 7 gives an example of the summary sheets of technologies documented in Cambodia and Laos. As the documentations of these technologies have been uploaded to the global database, the PDF summaries can be automatically generated on user-demand from the WOCAT database.

Table 4: Overview of field data campaigns carried out (or on-going) for initial collection of data on SLM good practices

Country	Field missions for data collection	Target areas (province/districts/watershed)	Num of team members
Laos	7-10 May 2017	Phouvong distict, Attapue province	Team members: 2
			Extention staff: 6
	10-12 May 2017	Xanxay district, Attapue province	Team members: 2
			Extention staff: 6
	8-12 May 2017	Darkchung district, Xekong province	Team members: 2
			Extention staff: 6
	2-8 July 2017	Samouy district, Saravan province	Team members: 2
			Extention staff: 6
	8-14 July 2017	TaOuy district, Saravan province	Team members: 2
			Extention staff: 6
Cambodia	06-12 April 2017	Kratie Province	Team members: 6
			Extention staff: 4
	03-09 May 2017	Preah Vihear and Kampong Cham Provinces *(on the way back from Preah Vihear, the team documented 1 SLM in Kampong Cham province)*	Team members: 6
			Extention staff: 7
	21-27 May 2017	Kampong Chhnang and Pursat Province	Team members: 5
			Extention staff: 6
	26 June – 7 July 2017	Pursat and Battambang Provinces	Team members: 5
			Extention staff: 9
Uganda	16-25 February 2017	28 watersheds	Extention staff: 1
			Farmers: 11
	26-29 April 2017	28 watersheds	Team members: SLM specialist (4) , Private sector (1)
			Extention staff: 18
	8-13 May 2017	28 watersheds	Extention staff: 18
	23 May – 5 June	28 watersheds	Extention staff: 18
			Others: 2 private sector

On-going activities from year 1 workplan

1. The national partners are finalizing the documentation of Ts&As that were previously identified as most relevant in the project target areas. Furthermore, they are finalizing the data entry into the global WOCAT database as well as the data review and translation into English.

2. The production of targeted dissemination products from the documented Ts&As is currently underway (see the following section "List of planned dissemination products" for further details on the defined products).

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3. The embedding of the project descriptions on the websites of the three partner institutions as well as the design and embedding of the national SLM databases in the websites are currently on-going.

List of dissemination products (produced or under production)

In each country, the following dissemination products for year 1 are envisioned and currently under development:

- Two videos- one general SLM videos targeting policy makers and the general public at national level (for broadcast at national/regional TV stations) as well as one on a selected promising documented technology or an approach. The latter will serve as an example for producing more instructional videos on Ts&As selected for out-scaling in year 2 and 3 target audiences for the former are policy makers at national level as well as extension workers at province and district levels. For the latter they are extension workers at local level and land users.

- Folder containing a short introduction to the project and summaries of all documented Ts&As in local languages: target audience are extension workers at province and district level, usage: wider dissemination of knowledge of local SLM practices, and for the decision support activities in year 2. This is a generic dissemination product, which can be tailored to optimally suite a target audience at hand.

Further dissemination products currently in preparation include:

- Short radio contribution on SLM practices to radio programme for farmers (Cambodia)

- Contribution to training material/curriculum for Community Extension Workers (CEW) on climate change and climate smart agricultural practices currently developed by ASPIRE (Cambodia)

- Technical guidelines with clear information on SLM for the village chiefs to transfer to the land users (Laos)

Component C: Enhancing policy frameworks and incentive structures for scaling up SLM

Overview of main activities carried out in year 1:

In all three countries the national expert group (NEG) was established with specific agreed Terms of Reference (TORs) for the groups (see Annex 8 for the TORs of the Cambodian NEG as example). The NEG teams are comprised of selected stakeholders from line ministries, UNCCD focal points, research organizations, NGOs and national bodies involved in extension services (see Table 5). In all countries the NEG gives technical and methodological advice for the project (i.e. the NEG reviews Ts&As documented and makes suggestions for scaling up), it helps coordinate and actively increases the visibility of the project within the government bodies as well as in the development community, and finally the NEG provides backstopping through the coordination of specific consultancies for the project.

Table 5: Key characteristics of the National Expert Groups (NEG) of the three target countries

Cambodia	
Chair: Dr. NGO Bunthan, Rector of RUA	
- Number of members:	9
- From MAFF	2
- Ministry of Environment	1
- UNCCD Focal Point	1

- Ministry of Land Management, Urban Planning and Construction		1
- IFAD investment project		1
- Royal University of Agriculture		3
Laos		
Chair: Dr. Bounthong Bouahom, Director NAFRI		
Number of members:		11
- From MAF		4
- Agricultural Extension Service		1
- UNCCD Focal Point		1
- Representatives of Partner projects on SLM in Laos financed by other development partners (e.g. NGOs)		4
- IFAD investment project		1
Uganda		
Chair: Sande Mutabazi, Commissioner, Farm Development (MAAIF)		
Number of members:		6
- From MAAIF		1
- Agricultural Extension Service		1
- UNCCD Focal Point		1
- Local Universities		2
- IFAD investment project		1

Further project activities carried out in year 1

- Project representatives for all three countries participated in the WOCAT Symposium and 18th WOCAT Network Meeting that took place from 13.6. until 16.6. in Colombia. While the team from Cambodia and Uganda gave an oral presentation, the representatives from Laos and also Uganda shared their project activities by posters. This gave the project partners the opportunity to present the work conducted in the project to a global audience and enhance their knowledge on the WOCAT decision support approach, which will be a key activity in the year 2 of the project. They also used the opportunity to exchange amongst the partners on key achievements and challenges encountered in the first year of the project. For the latter a separate session during the conference as organized and facilitated by CDE. Annex 9 provides the presentations given and posters presented by the partners from the target countries.

Cambodia

- A calendar has been produced for the year 2017 which show-case a selection of technologies as well as important information on SLM and the projects. The calendar has been distributed to the provincial and district level staff as well as other important stakeholders.

- Participated in the Event "World Day to Combat Desertification" held on 15.6.2017 at RUA, Phnom Penh. The project was present with a stall where WOCAT products and online database including the Khmer version, and the WOCAT-RUA project leaflet on activities of 2017 were presented. Around 500 people from a wide range of stakeholders including the Minister of MAFF.

- Regular posting of information from their project activities on the project Facebook page, see https://www.facebook.com/search/top/?q=caes-rua%20rua

Laos

- Attendance the National Thematic Workshop entitled "What Performance Indicators Exist for Assessing Agro-ecology Impacts?" The workshop was implemented by the Agroecology Learning Alliance in South East Asia in the framework of the Agence Française de Développment (AFD) in Vientiane from 29.11.2016.

Uganda

- Reconnaissance field mission from 9-12 February, 2016 to the study area.

- Participatory mapping and stakeholder analysis was conducted in the study area from 24-29 October, 2016. The report entitled "Participatory Mapping and Stakeholder Analysis Report" is given as additional material to this report.

- Workshops to identify potential knowledge products and the main potential dissemination channels was held in three districts of the study area 27 March – 7 April 2017.

- Workshop to identify degradation hotspots in nine districts were held 8-10 April 2017.

- A training on "Video and photography documentation" was conducted on the 20.3.2017 for 21 participants. The activity was carried out in collaboration with Farmers Media, an NGO involved in supporting farmers 'communication across scales.

- The Uganda Forum for Agricultural Advisory Services (UFAAS) hosted by African Forum for Agricultural Advisory Services (AFAAS) www.afaas-africa.org to host training on WOCAT tools to National Expert group and participated in their design and implementation of Community of practice on integrating gender and nutrition within agricultural extension services

- An MoU with the Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) scaling SLM and capacity building using WOCAT tools methods to document SLM practices was drafted and is presently at Solicitor General level for clearance .

- Collaboration set up with FAO /SPGS 111 www.mwe.go.ug/projects/spgs towards documentation of technologies associated with sawlog production scheme (commercial tree planting , community and institution wood lot support.

Collaboration with IFAD investment projects

Besides informal meetings and exchange with the investment projects in the three target countries, the teams used the following events for collaboration and exchange:

Cambodia

- ASPIRE project team attended WOCAT project consultation workshop (14.11.2016). Both parties presented on the link between WOCAT and ASPIRE projects and aligned their workplans as much as possible based on the discussions.

- First follow-up meeting between WOCAT-RUA and ASPIRE team for initial concrete collaboration, (15.12.2016)

- Participation of project manager at the National Workshop of ASPIRE IFAD investment programme, including a presentation on an overview of the WOCAT project (Phnom Penh, 22.12.2016.

- Lecture on WOCAT overview, WOCAT tools and SLM, in the 3-months intensive training of ASPIRE provided (11.2016). Further collaboration started for the 2017 3- months intensive training of ASPIRE.

- Meeting between WOCAT-RUA and ASPIRE team to discuss collaboration (20.3.2017)

- Attendance of project assistant to ASPIRE's Workshop on "Reviewing and Providing Quality Assurance of Agricultural Documents and Extension Materials in Cambodia" (13.5.2017). The objectives of the workshop were (1) to show and discuss on the draft of reviewing and providing quality assurance of agricultural documents and extension materials in Cambodia and (2) to review and select the agricultural documents and extension material for existing rice production to evaluate the appropriate agricultural materials.

Laos:

- Participation in the Midterm Review Mission of IFAD to the FNML project areas (Attapue province, 18-19.11.2016). The team shared their view on how to link the SACCC workplan and the WOCAT project worklpan.

- Participation in the Midterm review and wrap up for FNML (Vientiane 22.11.2016).

- Participation in the Annual Work Plan Budgeting training in the framework of IFAD template and guideline (Vientiane, 21-22.11.2016).

- Bilateral meeting between the FMNL team and the WOCAT team of the CDE office in Laos on the progress of the activities and next steps (Vientiane, 17.05.2017)

- Meeting with FMNL, SACCC and WOCAT projects representative from the Lao team, CDE office in Lao PDR and CDE office in Bern to discuss about the project activities, next steps and future alignment of the SACCC workplan and WOCAT grant workplan (Vientiane, 06.06.2017)

- Participation in the implementation support mission from IFAD (Vientiane, 13-18.5.2017).

Uganda:

- Participation in the IFAD supervisory mission Wrap meeting dated 9th July, 2016 NOON-2.00pm (ULN invited)

- Participation in the Project Coordination committee at UNL office , Makerere on 14th Dec.2017 9- 12.00 Noon (PRELNOR PMU Invited)

- Participation in end of appraisal phase workshop and PRELNOR made a presentation on Project Progress   on 29th January, 2017 8.30 -2.00 pm   (PRELNOR Invited)

- Attendance of PRELNOR staff in project field visits including:

- Participatory mapping and stakeholder analysis (23rd -29th October, 2017)

- Data collection using WOCAT questionnaires to the 9 districts (Northern Uganda) Trip16th -25th February, 2017

- Identifying potential knowledge products and the main potential dissemination channels 27th -7th April,2017

- Gap filling –Degradation Hot spot identification in 9 districts   8th -10th April, 2017

- Data collection WOCAT questionnaire 26th – 29th April , 2017, 8th -13th May, 2017, and 23rd May- 3rd June,2017

Kex challenges faced during the implementation of tasks in year 1

- Involving local (district and sub-district) government representatives and extension workers for provision of "local best practices" of SLM practices proved challenging as local knowledge on SLM is largely undervalued and the extensions services are dominated by a top-down structure and modus operandi. Local land users and extension workers at first did not feel comfortable to share local (low cost) SLM technologies but were expecting the provision of (high-tech) solutions form the national level teams instead. Solutions found: many efforts were spent on trust-building and engagement with local stakeholders, detailed explanations were required on the aims of the project and the role of the local stakeholders.

- The translation into the local languages Khmer and Lao proved more time consuming than expected. This was due to (1) the correct usage of technical terms – often context specific for these languages. Hence, there were several rounds of translation required from and back to English in order to ensure the correct and specific naming and description of technologies.

- Internet connection is an issue in Uganda and Laos at the district (and sometimes also province and national level). For the Lao team 3G pocket wifis were purchased.

- The communication and relation with the UNCCD focal point are in general good, however in the case of Laos, partnership with the UNCCD focal point proved to be difficult due to the low involvement of the country in tthe convention and rapid change of assigned persons for the focal poin position as well as shifts of department between and within the responsible ministries.

- For the Lao team, the synchronisation of workplans between the SACCC and our project provided difficult as the SACCC faces its own challenges for the implementation and hence activities had been delayed. Nonetheless the teams continue their efforts of collaboration and ensure these are possible through regular updates of the project tasks.

- The target areas in the three countries, as they are the same as the IFAD investment project, are very large. Hence field work took up more time than originally estimated order to be really able to cover all the districts of the investment projects.

Implementation arrangements

The project is implemented by CDE of the University of Bern, Switzerland, hosting the WOCAT Secretariat. CDE/WOCAT Secretariat carries the primary responsibility for the overall coordination and implementation of the project. In particular, it is responsible for (1) the capacity building on WOCAT tools and methods of the three country partner organizations, (2) the technical implementation including the tailoring and application of WOCAT tools and methods, (3) SLM implementation and impact assessment, and (4) providing guidance for the national expert groups.

In each country, a national institution acts as the national CDE/WOCAT Secretariat project partner and is responsible for the coordination and conduction of project activities in the target countries in consultation with CDE/WOCAT Secretariat and the respective IFAD investment programme staff.

The national partners in Laos and Cambodia are additionally supported by the CDE office in Vientiane, Laos, where a senior research scientist is closely following the activities in the two countries, is frequently meeting with the project teams and offers advice, support and backstopping for carrying out project activities.

The national project partners are UNL in Uganda, CAES of RUA in Cambodia, and NAFRI's Planning and Cooperation Division (PCD) in Laos. The IFAD investment programmes are PRELNOR (Uganda), ASPIRE under the overall guidance of the Ministry of Agriculture, Forestry and Fisheries' (MAFF) General

Directorate of Agriculture (GDA) (Cambodia), and the SACCC of FNML under the overall guidance of NAFRI (Laos).

Innovation

This project contributes to innovation on three main aspects:

(1) Content knowledge and innovation: The innovation potential of existing good SLM practices, which were either invented/adopted by local land users or which were successfully delivered by previous development projects are often not understood well or the knowledge about them exist only to a limited extent (spatial extent and extent beyond the scope of a project). In the project these SLM practices are identified and documented in a standardized and harmonized manner and hence made available to a broader audience (multiple stakeholders at different levels), which enables to compare these practices with regards to e.g. costs, benefits and impacts and out-scale the best practices after a negotiation process with local stakeholders and a decision-making process which is based on the knowledge created. This process is in stark contrast to the general way of development assistance, where local knowledge is often not taken into account, but new solutions from outside are provided without negotiating different options with local stakeholders (top-down approach).

(2) Methodological innovation: The documentation of good SLM practices is conducted in a participatory way together with the local extension services and the local land users who provide the key knowledge on the good SLM practices. We use the WOCAT tools for documentation of good SLM practices (and later in year 2 for stakeholder negotiation). These tools are standardized and enable the comparison of identified good practices in terms of economic, social and environmental benefits and short-comings and hence provide the basis for true evidence-based decision making for local land users in order to determine which practices are most suitable to implement in their specific situation.

(3) Process innovation: The approach of the project is designed to involve stakeholders across multiple levels. Thereby we are careful to navigate around and facilitate problems arising from long standing power structures with regard to definitions of good practices and later on in year 2 for the decision making process of selection of Ts&As to be out scaled. This approach is very new to the national partners, although most of them have previously participated in participatory stakeholder workshop events.

Knowledge management

The project is based on the premise that although most agriculture extension systems have diversified knowledge on SLM, information is often scattered and no formalized knowledge management system is in place. This constrains the ability of extension workers and farmers to make evidence-based decisions in SLM, opting for SLM solutions that are relevant and context-specific. The project is creating a cadre of extension workers fully versed in the WOCAT methodology, knowledgeable in using WOCAT tools and methods, and capable of training the next batch of extension workers. An overview of already conducted trainings on WOCAT Ts&As documentation is provided in Table 3 above. While in year 1 extension workers were capacitated to gather the necessary information and data on SLM practices year 2 will focus on enabling them and the farmers to make evidence-based decisions on where, what and how to up-scale SLM. During a review of year 1 activities, we identified a need to conduct further trainings on the documentation of Ts&As as well as a need for further exchange of experiences gathered so far and refresher trainings. These are planned and carried out in year 2.

Knowledge management at local level hence includes that extension workers will identify, assess and document locally existing, climate-smart SLM practices in a participatory manner together with farmers. In addition to these activities, national repositories of detailed knowledge on SLM practices are being created for extension workers, farmers and other SLM stakeholders. In Laos the repository will be hosted by NAFRI as the national institution for expertise in knowledge management for agricultural extension services, in Cambodia we will feed the knowledge gained from the project into the knowledge hub from ASPIRE as well as contribute to university curricula and other trainings courses for extension workers. In Uganda NARO is acting as the knowledge broker and is currently designing a special entry on SLM practices and WOCAT on the national SLM website and the national repository to hold key data and information on SLM best practices.

At the national level further more the creation of the NEGs (see Table 5) with their regular meetings and activities provides a platform for knowledge exchange among national level stakeholders and representatives of development partners. It furthermore plans and carries out contributions to other national policy dialogue fora such as the Sector Working Group on Agriculture and Forestry in Laos. In addition, the three in-country partners liaise with the UNCCD focal points and make a direct contribution to UNCCD and the SLM best practices reporting as the global WOCAT database has been chosen by UNCCD as the primary recommended database for SLM best practices.Next contributions from the project are envisioned for the UNCCD COP13 in Ordos, China (6 -16 September 2017).

The knowledge products envisioned include:

-   Summary reports on each SLM practice (in development)
-   Overview poster/flyer of each SLM practice (in development)
-   Instructional videos on selected SLM practices
-   an instructional audio, playable on basic phones on selected SLM practice
-   a compilation of all SLM practices in a book/folder or tablet application (under development)

The KM components in all three target countries, particularly in Laos are currently behind schedule. The national partners are aware of this situation and are looking into speeding up the process for knowledge products production. One currently discussed option is to engage consultants for their creation, rather than the project team creating the products themselves. However, as the creation of the knowledge products especially the low-cost video production is part of the projects learning process on SLM care has to be taken that the involvement of these external experts ensure that knowledge and experience will be gained within our partner institutions. In Laos efforts are underway of creating a project position of "knowledge products manager" responsible for the creating of the defined products and to assist the project manager.

Scaling up and sustainability

The project intends to develop the capacity and an enabling environment for scaling-up SLM. Establishing a functioning foundation of capacitated extension services and processes as well as enhanced policy and incentive frameworks is a major challenge and is urgently needed in order for SLM scaling-up to succeed. As such, the project has made good progress in its first year of implementation on training extension workers as well as members of potential partner institutions and projects in the three countries on the identification and documentation of SLM technologies and approaches.

In year 1 the national expert groups have been created and will during year 2 and 3 accompany the project and play a key role for continued SLM scaling-up in country. They will share and promote

knowledge on the impacts and benefits of SLM at a national scale with all relevant stakeholders from line ministries, research organizations and NGOs,

The project members have received initial training on the WOCAT SLM scaling-up methodology during year 1 and will be adapting and tailoring the methodology for their own national context in year 2, while the out-scaling of technologies and approaches with demonstration sites, farmer-to-farmer exchange etc. will follow in year 3.

The SLM scaling-up methodology will be integrated into extension curricula and capacitated extension workers will continue to apply WOCAT tools and methods beyond the project's life cycle to promote SLM and support SLM adoption by smallholder farmers. The IFAD investment projects with their planned SLM activities will offer the necessary vehicle for the continuation of the SLM scaling-up process after the grant project ends, as a large-scale SLM adoption is not realistic within the three years of the grant project.

Exchange with the respective IFAD investment projects in the countries, including the choice of the same target areas, and exchange with other projects and development partners from the start (inclusion of representatives in the appraisal phase workshop, in the NEG and in the trainings) is now enhancing the likelihood of the benefits generated to continue after grant completion.

Monitoring and evaluation

Within this project, data on SLM technologies and approaches is collected following a standardized approach and standardized questionnaires developed by WOCAT. This insures quality and completeness of information at the time of data collection and makes comparison between SLM practices possible. The collected data is then entered into the global WOCAT database, following a rigorous sub-mission and review process which is similar to the submission process of scientific articles. After submission there is (1) an internal review (for document and content completeness), then (2) an external review by an SLM expert (e.g. from the WOCAT community). In this second review process the submitter of the SML technology or approach can be asked to provide more information and make editorial changes to his/her submitted case. Annex 5 gives a more detailed overview of the WOCAT review process.

Furthermore quality aspects of Ts&As collected in the field as well as their relevance in the three countries (i.e. possibilities for out-scaling, comparison to other similar SLM Ts&As existing in the countries) are ensured through the sharing of these Ts&As with the NEG and the implementers of the associated IFAD investment programs.

The project's output and activity indicators are defined in the results-based logical framework (see Annex 1 of large grant design document). Table 6shows the progress of the project in year 1 with achieving the output and activity indicators:

Table 6: Indicators for objective verification of project output (as defined in the large grant design document) and the contributions towards their achievement during year 1 of the project implementation

Objectively verifiable indicators	Achievements in year 1
20'000 households supported in the adoption of climate-smart SLM	(not relevant for y1)
WOCAT tools and methods tailored to country and extension context and needs	Done in all counties, see translated inventory sheets, questionnaires for documentation of Ts&As, and databases
450 extension workers and lead farmers trained	XY extension farmers trained

At least 60 SLM practices documented and entered into national SLM database	133 SLM technologies and approaches documented in the field 21 in Laos, 30 in Cambodia, and 82 in Uganda; these are currently in the WOCAT Database review process.
3 national SLM databases established and functioning	Elaboration of concept of and strategy for creation of the 3 national databases. The implementation of them is on-going
At least 60 trained extension workers conducted stakeholder workshops	XY extention workers conducted XY SH workshops
At least 30 SLM demonstration plots set up and promotion activities implemented	(not relevant for y1)
At least 600 households directly supported in scaling-up climate-smart SLM practices through access to SLM knowledge and DS[1]	(not relevant for y1)
Nat. expert group set up and functioning	National expert groups (NEGs) have been set up: TORs for NEG formulated and members identified, first meetings held
Desk study & survey on policy frameworks and incentive structures, policy dialogue fora, national workshops implemented	Appraisal Phase workshops were conducted; desk study and survey on policy frameworks and inventive structures are in planning by the NEGs
SLM scale-up methodology formulated	National partners have received introduction to the planned tasks of y2 (and y3) and are tailoring the Decision Support tools as a component of the scale-up methodology to their respective contexts.

Trainings conducted are monitored by inscription lists (for monitoring of participants) and evaluated using evaluation forms for trainings. Annex 10 gives an example of the evaluation forms used and a training evaluation report.

Financial and fiduciary management

The total amount of the Grant is US$2,000,000. Of this amount a total budget of 460,000 USD each per national partner institution has been allocated, summing up to 1,380,000 USD. The remaining 620,000 USD are budgeted for project activities of WOCAT/CDE as well as support of the WOCAT secretariat. The three national partners receive three yearly installments to their respective project accounts which are each divided into three payments and are based on fulfillment of the project deliverables stated in the respective contracts. In Laos, an additional project account was opened on behalf of CDE's country office in order to further transfer the allocated amounts to NAFRI[2] as well as to cover regional expenses. The national partners conduct yearly reporting as per the following schedule:

- Year 1: June 30 2017
- Year 2: July 31st 2018
- Year 3: March 31"t 2019

Overview of financial situation at the end of year 1

Table 7 gives an overview of the overall financial situation of the project. The official statement of expenditures – overall, as well as from all the project partners in given in Annex 11.

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[1] These households are a sub-set of the IFAD investment project target beneficiaries.

[2] NAFRI is not allowed to receive funding from outside of Laos directly to a project account, but otherwise must first go through a NAFRI institutional account.

Table 7: Overview of expenditures under the grant at the end of year 1

	Category of Expenditures	Received	Budgeted	Spent	Outstanding	Balance
	Budget received from IFAD to CDE	626'878.06				
I	Salaries and allowances		72'208.00	64'379.46	7'828.54	
II	Consultancies		50'930.00	33'015.24	17'914.76	
III	Operating Costs		21'670.00	13'930.20	7'739.80	
IV	Goods, Services & Inputs		141'352.00	73'649.61	67'702.39	
V	Equipment & Materials		16'790.00	19'519.14	-2'729.14	
VI	Workshops		93'771.00	88'017.05	5'753.95	
VII	Trainings		111'419.00	70'766.45	40'652.55	
VIII	Travel and Allowances		154'804.00	102'604.63	52'199.37	
IX	Overheads/Management Fees		53'333.00	51'840.27	1'492.73	
	Totals	*626'878.06*	*716'277.00*	*517'722.04*	*198'554.96*	*109'156.03*

Conclusions and recommendations for follow up

Main achievements of year 1:

- Identification of national partners in the three target countries and institutionalization of collaboration in the projects through (1) institutional MoUs and (2) project specific contracts. The three partner institutions are Uganda Landcare Network (ULN), the Royal University for Agriculture RUA in Cambodia, and the National Agriculture and Forestry Research Institute (NAFRI) in Laos.

- A total of 10 trainings on the documentation of SLM technologies and approaches using the WOCAT standard tools and procedures were conducted. The focus was on training extension workers at district and local levels.

- A total of 133 SLM technologies and approaches were documented in the field by the project teams and the trained extension workers; 21 in Laos, 30 in Cambodia, and 82 in Uganda; these are currently in the WOCAT review process.

- At the national level the national expert groups (NEG) were defined for backstopping of the project implementation and for dissemination of results into the wider context of sustainable land management and climate smart agriculture.

Identified challenges and envisioned solutions to be followed up

- The common understanding of "good" SLM practices amongst the project team members proved difficult at first and only became clear after conduction of joint field studies. Throughout the documentation process, new questions regarding Ts&As arised and more knowledge on their collection was gained also by the project teams. In order to pass on this knowledge to local extension workers we recommend carrying out refreshment trainings for the local level extension workers, as well as the compilation of ashort manual which highlights the key aspects of "good" SLM practices and provides assistance on the identified key challenges at the time of data collection.

- The data collection process was not as straight forward as envisioned and in most cases couldn't be carried out by a single person due to lack of skills (mostly computer skills at local levels) and IT infrastructure (computers in local offices, internet line). Data collection teams

existing of extension officers/gov officials from different levels with specific taskswithin the overall documentation process were introduced in order to distribute the tasks according to the possibilities and limitations at the respective levels (e.g. data collection in the field conducted by district staff, data entry into the database by province/national level staff). Additionally, to simplify the data collecting process and in response to requests by IFAD, the data collection using tablet technology will be explored in year 2 of the project.

- There is a delay in completion of work plan tasks, particularly the production of knowledge products from year 1. For year 2 a speeding-up of project outputs is foreseen. For this purpose the backstopping of the in-country project teams will hence be expanded, more tasks will be distributed to additional staff supporting the project on a short-term basis, and the work plans will be adjusted.

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Annexes

Annex 1:   Overview of Project locations in three target countries

Annex 2:   Appraisal Phase Reports of Cambodia, Laos, and Uganda

Annex 3:   Report on training workshop on *World Overview of Conservation Approaches and Technologies (WOCAT) Tools and Methods for Sustainable Land Management* for provincial and district agricultural extension officials in Pursat and Kratie Province

Annex 4:   Training report for Laos in Darkchung district of Xekong province

Annex 5:   WOCAT Review process for entering technologies and approaches into the global database

Annex 6:   Overview of Technologies and Approaches documented in the study sites in Cambodia, Laos and Uganda

Annex 7:   Example of final documentation of a technology in Khmer

Annex 8:   TORs for National Expert Group (Example from Cambodia)

Annex 9:   Contributions of national partners to the WOCAT Symposium and 18th WOCAT Network Meeting in Colombia (13.6. – 16.6.2017)

Annex 10:   Training evaluation forms and example of a trainings evaluation report

Annex 11:   Statements of expenditure (SOEs)

(All Annexes are provided on a dropbox folder)

Additional documents

We have compiled a selection of additional documents (project outputs e.g. flyers, presentations, posters) which where created during year 1 but which were not explicitly part of the AWPB of year 1 in a dropbox folder entitled "Additional documents".