



# **Mid-term review report for *Grain and Horticulture Food Systems***

EAST AFRICA, UGANDA



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**rikolto**  
VECO

## TABLE OF CONTENTS

Table of Contents.....	ii
1. Executive summary .....	1
1.1 Introduction.....	1
1.2 Rikolto East Africa schematic overview of DGD interventions .....	1
1.3 Summary of the main findings .....	7
2. Introduction.....	9
2.1 Context .....	9
2.2 Objectives of the Mid-term Review.....	10
2.3 MTR Process .....	11
2.4 MTR Method .....	11
2.5 Evaluation Criteria .....	13
3. Effectiveness of the Rikolto intervention.....	16
3.1 Analysis per pathway of change and result area .....	16
3.1.1 Pathway 1: Strengthening partners’ capacities for collective action .....	19
3.1.2 Pathway 2: Supporting an enabling environment .....	21
3.1.3 Pathway 3: Fostering innovation for an inclusive and sustainable food system	22
3.2 Findings from the Mid-Term Review .....	23
3.3 Counterfactual reflection.....	25
4. Relevance of the Rikolto intervention .....	26
4.1 Pathway 1: Strengthening partners’ capacities for collective action .....	27
4.2 Pathways 2: Supporting an enabling environment .....	27
4.3 Pathway 3: Fostering innovation for an inclusive and sustainable food system ...	28
5. Lessons learnt.....	29
6. Recommendations, exit strategy and conclusions.....	32

# 1. EXECUTIVE SUMMARY

## 1.1 Introduction

The Mid-Term Review or MTR is defined as a comprehensive exercise generally held at project midpoint, during which representatives of the a donor (Belgium government Development Corporation) and their implementing partners/Rikolto East Africa reassess the project's original development objectives, their relevance in light of new circumstances, and the likelihood of achieving them

This report therefore provides the details of the findings, conclusions and recommendations of the process of the Mid-term Review that was conducted for DGD regional funding support to Rikolto East Africa in Uganda.

This Rikolto East Africa programme started in 2017 and will be running for 5 years up until 2021, the programme is called creating shared value for all actors in grain and horticulture value chain in Tanzania and Uganda, with intention of ensuring sustainable and inclusive horticulture and grain food chains for smallholder farmers in the Rikolto East Africa operating regions of Tanzania and Uganda. In Uganda we are implementing programmes in the districts of Kayunga, Tororo, Butalejja, Manafwa, Bulambuli and Kapchorwa. Farmer organisations that we directly work with include: Kangulumilira, Kwapa, Bukusu, Doho, Mnafawa basin, Tabu, Bunambutye and Sabiny. We will provide a summary of the entire report in this section.

## 1.2 Rikolto East Africa schematic overview of DGD interventions

Here we provide the theory of change scheme and color code the blocks/boxes in function of the degree to which the results/ outcomes of each intervention have been realized. The scores provided focus on the performance at the strategic, result, evaluability and process.

Changes in this intervention have surpassed expectations.
Changes in this intervention have met expectations.
Changes in this intervention did not fully meet expectations.
Changes in this intervention did not meet expectations.

### Strategic performance of the intervention

Narrative	Intervention's planned changes since 2017	Score
Goal	Contribute to a thriving agricultural sector, respectful of the environment and based on a family farmer model, which supports women and youth participation contributing to a more inclusive society	
Objective	Horticulture food chains in 3 regions of Uganda are sustainable and inclusive for smallholder farmers (m/f)	
	Grains food chains in 3 regions of Uganda are sustainable and inclusive for smallholder farmers (m/f)	
Results 1	A structured trading system piloted in the grains and horticulture chains provides efficient services (BDS, financial services, transparent information systems) that enable smallholder farmers to benefit	
Result 2	Flexible, adaptable approaches and models for farmers' business management stimulate the inclusiveness of smallholders in the grains and horticulture chains	
Result 3	Market systems for grains incentivize sustainable production and consumption of safe food	
	Market systems for horticulture incentivize sustainable production and consumption of safe food	

### Performance Score Card: Rikolto East Africa - Uganda Country Programme

Criterion	Performance Measurement and Review Questions	Score
Efficiency	1.1 To what extent are the inputs managed cost-efficiently?	
	1.2 To what extent are the intended processes (all the types of activities that are subsidized) implemented within the time envisaged?	
Effectiveness	2.1 To what extent are the outputs achieved and of good quality?	
	2.2 With which probability will the specific objective be achieved if the implementation continuous to progress like it is today?	
Relevance	3.1 What is the relevance of the outcome, taking into account any changes that have occurred over the past year in the external context (country/partner/etc.) or within the organisation (global and/or at country level, in terms of HR, institutional and/or financial)? To what extent did these changes have an impact on the relevance of the intervention, and how was this handled?	
Potential Sustainability	4.1 What is the survival potential of the intervention from the financial and economic point of view? (financial sustainability)	

Social Sustainability	4.2 Are the conditions for local ownership met and will they still be met after the intervention ends (= end of the current subsidy)? (social sustainability)	
Technical Sustainability	4.3 Do the partners have the required capacities to take control of the intervention and continue the results (knowledge transfer/capacity strengthening/technical sustainability)	
JSF/ Partnerships and Networking	5.1 Will the intervention contribute to the strategic objective / the strategic objectives of the JSF as planned?	
	5.2 To what extent are the planned complementarity and synergies realized?	
Gender and Youth	6.1 To what extent are the gender and youth related measures implemented as planned? This can involve both specific results or outcomes that have a gender objectives and integration of a gender transformative programming.	
Environment	7.1 Are the environment-related measures implemented as planned?	

Approaches	DGD Programme Intervention Strategies		Score
DGD Intervention	Effectiveness	PI2: Production and Commercialization	
		PI2: planning and Investments	
		PI3: Participation in value chain	
		PI4: Resilience Building	
		PI6: Gender & Youth	
		PI5: Environment and Resource Management	
	Relevance of activities (farmer-level)		

## DGD INDICATORS UGANDA

Indicators	Statement	Baseline	Target Mid-Term	Actuals Mid-Term	Observed Changes across the Result chain
GL. Indicator 1	Share of income derived from quality food sales to the total household income	Grains - 0% Horticulture - 0%	50% 50%	33% 32%	It is only farmers from Kangulumira who were found to be producing "quality food". Therefore, for all other FOs this value would be 0%. From routine programme data the clusters in Butaleja, Manafwa, Bulambuli that are involved in grains reflected 33% compared to the planned 50%. For Horticulture in Kangulumira (Nazigo) and Kwapa (Mella) and Kapchesombe (Kwoti) we realized 32% out of 50%.
GL. Indicator 2	Increase in sustainable production index (for grains and horticulture)	<b>Grains</b> soil conservation: 1.6 water management: 1.1 resource management: 1.4 climate change: 1.0 biodiversity: 1.0 landscape management: 0.9  <b>Horticulture</b> soil conservation: 1.8 water management: 1.5 resource management: 1.8 climate change: 1.8 biodiversity: 1.7 landscape management: 1.2	1.8 1.5 1.7 1.5 1.5  1.9 1.7 1.9 1.9 1.8 1.5	1.4 1.1 1.5 1.0 1.3 1.5  1.3 1.0 1.8 1.0 1.67 1.7	Actuals for this sustainable production index for grains and horticulture still show that there is not as was expected so more work needs to done double.
GL. Indicator 3	Number of indirect end beneficiaries <sup>1</sup> % that are female (F) % that are youth (Y)	0	40,000	15,671 40% F 10% Y	It is less than target even yet at 50% achievement, however if all is done as planned and since the contractual issues delayed a number of activities were also curtailed and so since agriculture is not curtailed by COVID 19, it is expected that double efforts needs to be done to realize the targets.

<sup>1</sup> No. of producers and consumers affected by changes in public and private policies that render the food system more sustainable and inclusive and to which Rikolto East Africa has contributed

R1. Indicator 1	Average volume of quality food per farmer sold through collective action mechanisms <ul style="list-style-type: none"> <li>Grains</li> <li>Horticulture</li> </ul>	<ul style="list-style-type: none"> <li>Grains 0</li> <li>Horticulture 0</li> </ul>	2.5MT 1.5MT	0.64MT 2.4MT	Rikolto East Africa has done a great job here since the actuals values are now exceeding the target especially for Horticulture and while the grains are yet to achieve the 50% mark, it is hopeful that efforts from the grains team will be able to achieve the results to reach target.
R1. Indicator 2	Average income (USD) of farmers per ha from quality food sales <ul style="list-style-type: none"> <li>Grains</li> <li>Horticulture</li> </ul>	<ul style="list-style-type: none"> <li>Grains 0</li> <li>Horticulture 0</li> </ul>	1,800 2,000	714 1607	It is highly likely that this indicator can be achieved in the lifetime of the DGD programme. The progress in grains is still low, less than 50% coverage of the target and needs to double efforts, however Horticulture is much close to the targeted 2000 and so within the remaining period, it will likely surpass.
R1. Indicator 3	Number of farmers receiving services through trading relationships	Grains 0	7,000	1666	The actual value if compared with the target is much lower and from existing information at MTR, the DGD Uganda programme faced some operational challenges which might explain the low performance.
R1. Indicator 4	Number of farmers selling through long term trading agreements <sup>2</sup>	Grains 0	7,000	750	The attainment of this indicator is still very low and will require double effort.
R2. Indicator 1	Number of accredited BDS providers providing services to farmer groups	2	6	8	The coverage against the targets are above average at mid-point which implies that we can achieve the numbers that were planned for in the BDS Framework.
R2. Indicator 2	Number of farmer groups paying for BDS services	0	5	2	We have reduced the groups from 12 to 8 to focus on larger more commercially viable groups.
R2. Indicator 3	Number of FBOs that have improved their economic viability as measured on SCOPEinsight scale	<ul style="list-style-type: none"> <li>1 at B1</li> <li>7 at B3</li> </ul>	1 at B2 4 at B3 3 at B4	1 at B2 2 at B3	B3 is a relatively strong and viable group. The transition to B4 is extremely challenging as it involves addressing social sustainability issues amongst others. We also expect BASIC and PRO tools to be merged when SCOPEinsight releases its revised tool soon.
R3. Indicator 1	Number of market systems actors (FBOs, traders) that have adopted safe food standards	3	8	10	They surpassed the planned targets at output level which in turn leads to realization of outcome level results over time from the proportion of market systems actors.

<sup>2</sup> Long term is defined as an agreement for purchases at least one month in the future. This agreement may be for volumes only with price depending on market rates.

R3. Indicator 2	Number of farmers adopting more effective soil and water management technologies and approaches	0	6,000	11,692	This output has also been greatly successfully achieved and it is almost doubled. In the next half of the project there might be need have to revised the targets
R3. Indicator 3	Net additional price received by farmers who produce safe and sustainable grain and horticultural products	0	10%	5%	This is also a fair enough performance since Rikolto East Africa Uganda Country office has been able to achieve 5% out 10% expected proportion.
R3. Indicator 4	Number of new initiatives undertaken by the Government actors and others to improve food safety in Uganda	0	4	7	Improvement of food safety in Uganda has also picked up greatly but we might need to review the target in the next half of the project.



### 1.3 Summary of the main findings

In this section we present the summary of each section of the impact assessment report which include the following: effectiveness, relevance and lessons learnt but also we extend to present work done on findings for transversal or cross cutting areas such as gender, environment, digitalisation, youth, innovation as relevant in relation to the intervention at hand. We present the findings based on document review, the focus group discussions and any other programme reports prepared between 2017 and 2020.

In Uganda, the DGD programme faced some challenges especially operational but while a lot was not accomplished, the findings show that effectiveness was met although not fully and therefore more work will be done in the remaining half term of the programme.

The structured trading systems which were piloted in the grains and horticulture chains indeed provided efficient services (BDS, financial services, transparent information systems) that enable smallholder farmers to benefit. For instance, through the linkage and support from Rikolto East Africa, DOHO farmer's SACCO in Butaleja District received a two-year agri-finance loan from the Uganda Government's Microfinance Support Center (MSC). This was the second successive loan in a two-year period with the Farmer's SACCO having been recipients of a UgX20 Million (about \$5,400) credit a year before.

Rikolto linked the Farmer Cooperative with Grow More Seeds, a company which offers credit to local farmers in the form of certified high-quality seed (beans and maize) with the aim of multiplying and providing the company with quality certified seed and grains. Grow More Seeds buys the seeds at a price above the average market price.

With the assurance of both inputs and market for the produce, Rikolto coordinated further conversations between TAABU and Microfinance Support Centre, resulting in the first credit for the farmer organization to support produce bulking initiatives.

Rice is a major contributor to greenhouse gas emissions and uses between 30-40% of the world's fresh water. The Sustainable Rice Platform (SRP) includes most of the largest businesses, researchers and NGOs engaged in the global rice sector. Rikolto has been a member of the Advisory Board and was recently elected to the SRP Board. One of the key initiatives of SRP is the testing of an approach to make rice trade more sustainable.

Results from the Doho Irrigation Scheme in Eastern Uganda showed a remarkable 33% increase in sustainability.

Rikolto piloted this initiative in Doho Irrigation Scheme and there were amazing results which showed a remarkable 33% increase in sustainability.

About 300 farmers, most of them women and youth had in the maiden season bulked over 2.5 Metric Tonnes of chilli.

In Uganda also through Rikolto East Africa Support, farmers in Kangulumira started producing quality foods was recorded during the assessment interview with the farmers. In Kangulumira also 24% of fruit farmers were able to access credit but overall, 100 % of vegetable farmers across the country accessed credit for their production.

The finding also showed that flexible, adaptable approaches and models for farmers' business management stimulated the inclusiveness of smallholders in the grains and horticulture chains for example Rikolto in collaboration with the Uganda National Bureau of Standards (UNBS) developed standards for milled rice in 2017. The standards were also harmonized in the East African Community in order to enhance trade for the commodity in the region. Though the harmonized standards are available for application, there still lies a problem of low awareness of the standards for rice among stakeholders in the entire value chain (Annual Report 2018).

AMEA network where Rikolto East Africa and like of EAGC, UCA, ICT firms has worked through the coordination of Rikolto East Africa to standardize the approach for professionalizing Farmer Organizations which will encourage higher quality and more harmonized support. Rikolto East Africa has worked with other service providers and innovators to stimulate the development of services for farmer business organisations. These services have been designed in line with Rikolto's experience in ensuring regular diagnostics, such as SCOPEinsight which is conducted to inform the next phase of support required for a farmer business organisation periodically. Rikolto East Africa has made these services affordable for rural entrepreneurs and businesses which has led to an increase in business partnerships between farm businesses and off-takers/buyers.

Finally, Rikolto East Africa had pledged to deliver Market systems for grains and horticulture incentivize sustainable production and consumption of safe food. For some time now, there has been intentional creation, implementation and enforcement of stronger, more robust and transparent national and international standards for sustainable production this has resulted in enhanced trust between actors within the food system. As seen in the case Rikolto East Africa through developing, piloting and implementation of quality management systems and SRP with EAGC has increased sustainable production and consumption of safe foods.

## 2. INTRODUCTION

### 2.1 Context

In 2017, Rikolto East Africa, then VECO East Africa, has obtained a 5-year funding from the Belgium development cooperation for a programme called “Creating shared value for all actors in grain and horticulture value chains in Uganda”. It was implemented both in Uganda and Tanzania with the aim of contributing to a thriving agricultural sector, in consideration of the environment in Uganda where farming was done based on a family model, this provided Rikolto East Africa with an Opportunity for Women and youth to participate and contribute to a more inclusive societal practice.

A lot has changed since the beginning of the programme, according to the National Population and Housing Census of 2014; Uganda had a total population of 34.9 million, an increase of 10.7 million from the 24.2 million given by the 2002 census but as we report on this MTR the current demographic statistics from UBOS indicate the Population of Uganda to be approximately 40.7 Million people. Although the majority of Ugandans live in rural areas, the urban population is growing faster. In 1992/93, about 90% of Ugandans lived in rural areas while in 2012/2013 this had fallen to 77%. From 2009/10 to 2012/13 the urban population increased by 3.1 million from 4.6 million to 7.7 million. This growing urban population will continue to depend on family farmers and smallholder subsistence farmers who are estimated to deliver between 75-80% of the total agricultural output and marketed agricultural produce.

Uganda government recognized the need to support agricultural market development in their respective agriculture policies with the aim of transforming subsistence farming to sustainable commercial agriculture. The National Development Plan (NDP II, 2015/16 - 2019/20) aims for a sustainable and market-oriented production, food security and household incomes and targets to increase agricultural exports to USD 4 billion by 2020 from USD 1.3 billion then in 2016/2017. One of the key areas of focus was to improve agricultural markets and value addition in 12 prioritized commodities i.e. cotton, coffee, tea, maize, rice, cassava, beans, fish, beef, milk, citrus and bananas. It is important to note that rice, maize and pulses (incl. beans) are grains Rikolto East Africa choose to deal with in addition to fruits, vegetables and spices in horticulture.

The strategic objectives of the programme were to ensure that the horticultural and grains foods chains in the 3 regions of Uganda are sustainable and inclusive for smallholder farmers. This Rikolto East Africa intended to achieve through structural changes in the agri-food systems that will unlock the farming potentials of acritical mass of the small holder farmers.

This programme was meant to be implemented through the following three approaches to realize the change that Rikolto East African desired to see:

- strengthening partners' capacities for collective action,
- supporting an enabling environment and
- fostering innovation for an inclusive and sustainable food system.

Furthermore, the programme envisaged innovation in the following result areas:

- I. structured trading systems which are inclusive
- II. flexible approaches for developing smallholder business models and organizations
- III. market incentives for sustainable production and consumption approaches.

An intentional and deliberate attention was emphasized to be paid on identification of opportunities for women and youth participation into an inclusive societal process. Rikolto East Africa pledged to work collaboratively with apex associations and research Institutes to systematically measure results to enable conversion of evidence into new practices and policies. Rikolto East Africa targeted 13,500 farmers and 2,500 consumers through its pilots with partners and an additional 80,000 through policy and practice changes.

To do the above ambitious and very beautiful strategies, Rikolto East Africa needed Euro 2,100,000 and aimed to realize at least a 20% increase in real income from sustainable production.

Rikolto East Africa pledged to work together with stakeholders from private companies, public administrations, banks and research institutions and create the collaborative space for them to develop answers to the challenges facing the future of our food.

Over the years of implementation all has not been rosy, some challenges among others have been the questions of risk distribution within the food production more fairly or proportionately among all players, provision of loans for business start up to farmers and the respective farmer organizations, establishment of a proper monitoring system to track quality and food safety standards and coming up with the most sustainable models for companies sourcing from small-scale farmers.

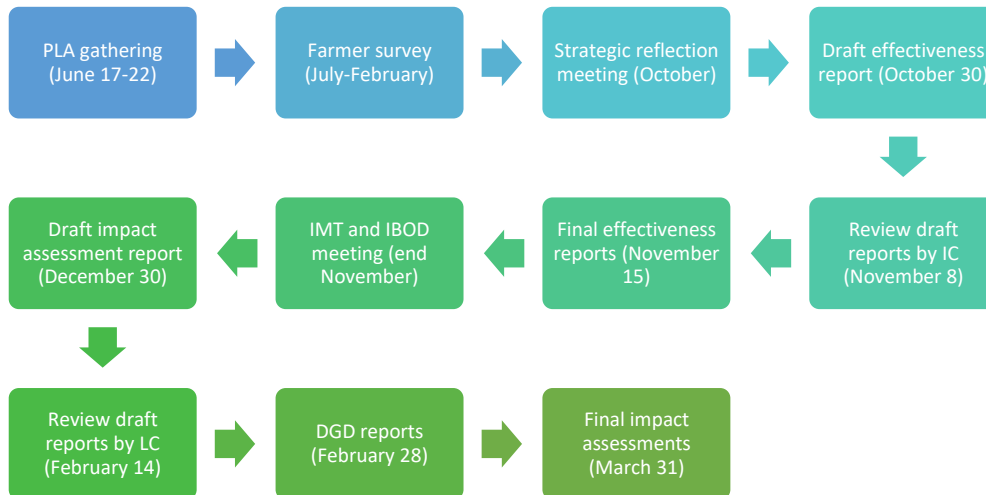
In the past two and half years of implementation of the “Creating shared value for all actors in grain and horticulture value chains in Uganda programme”, our strength as Rikolto East Africa has been the wealth of experience that the team in Uganda had in engaging with decision-makers in order to inspire mainstreaming of successful business practices and policies. This has allowed Rikolto East Africa to promote networks where farmers can have a voice and a stake in changing the agricultural and food sectors in their Country.

## 2.2 Objectives of the Mid-term Review

- 1) To determine the extent to which Rikolto East Africa has been able to progress towards the achievement of planned objectives of DGD programme that was started in 2017.

- 2) To assess the continued relevance and effectiveness of Rikolto East Africa DGD intervention and the progress made towards achieving.
- 3) To provide an opportunity to make modifications from the lessons learned to ensure the achievement of the objectives within the lifetime of the DGD project in Uganda by 2021.

### 2.3 MTR Process



### 2.4 MTR Method

The method applied for this MTR was both a qualitative and quantitative cross sectional survey through document reviews of the past two years to identify which changes have been realized and lessons learned that could be useful to influence the institutional environment but also the inform the remaining half of the DGD interventions but above all, in order to create lasting structural changes. The collection of quantitative and qualitative information was done through the Focus group discussion, key information guides and structured survey with different farmers and farmer organizations conduct an evaluation of the effectiveness and the relevance of the DGD interventions for the past 2-3years and then we followed this with an evaluation of the structural change agenda where also had assess the link between the approaches and to the impact and outcome of the interventions.

It is a fundamental principle for Rikolto global to measure their performance by use of theory of change model which uses the Pathways of Change (PoC); these were therefore the starting point of our analysis - evaluating each pathway separately, before drawing conclusions on the progress made at the Mid-point implementation of the DGD project.

Rikolto's global strategy is directed towards structural changes in the agri-food system and upscaling of well-functioning practices and policies that unlock the farming potential of a critical mass of small holder farmers. In East Africa, Rikolto aims to contribute to the development of a dynamic, sustainable and inclusive agricultural sector with family farmers

providing quality produce for own consumption and for diverse markets (national, regional and international markets).

Rikolto in East Africa believes that smallholders can only obtain fair returns from the grains sector when trading systems provide services that support their growth (**Result 1**), such as transparent market pricing systems and trading mechanisms which are efficient and affordable for smallholders to engage in.

The Theory of Change also recognizes that market systems, especially the buyers and traders in the market, must develop approaches which incentivize production of safe, and sustainable food (**Result 2**). This is particularly relevant in grains where the contamination risk, especially of aflatoxins, is acute in East Africa and needs to be addressed to restore trader and consumer confidence.

Finally, the Theory of Change recognizes that collective action mechanisms, whether Cooperative, Private Business or other, remain challenging for smallholder farmers and that capacity building efforts have often only built temporary islands of success. There is therefore a need for flexible, adaptable approaches to be found and adopted by large scale institutions (**Result 3**) that support smallholder development, such as Agricultural Financing Facilities, Business Support agencies and large-scale donor initiatives.

The 3 Results are all Structural Change Agendas (SCAs) which are closely inter-linked and are all necessary conditions for grains and horticulture sector transformation. These SCA are also strongly aligned to the National Agriculture Policies of Uganda which aims at achieving middle income status within the next 20 years and the Sustainable Development Goals.

Therefore, to undertake this MTR focus was on direct outcomes at the Farmers Organization level that allows us to assess the effectiveness of the programme and indirect impact at the farmer level so that we examine relevance of our interventions at household level.

As outlined in the MTR process diagram above, it was initiated by the PLA gathering, followed by Farmers surveys, then there was a strategic reflection meeting conducted before the effectiveness reports was written

To have the output for this MTR, the reporting team had to pick information from the intervention Frameworks, the DGD proposal and DGD programme documents for baseline data, reviewed the annual reports, lessons learnt and PSC's to map up some outcomes across the intervention and the different pathways of change for both grains and horticulture programmes. The cross-sectional data that was then obtained from the surveys and the strategic reflections reports.

The questions for the surveys, FGDs and the key informants' guides were generated following the evaluation questions guides from the DAC criteria and that allowed for

triangulations of findings. Therefore, conclusions on effectiveness of the interventions were made based on the evidence from the above documents. Farmers survey data were analyzed also to generate insight on effectiveness and relevance of the interventions to the communities for both Horticulture and grains sections.

For Structural chain Agenda (SCAs), the three defined pathways of change for Rikolto East Africa provided the focal point through which analysis were done.

We reviewed the relevant progress indicators in the Structural Change Agenda Reports (SCARs), defining initial hypothesis on the effectiveness of the SCA. We then extracted the relevant qualitative information from the SCAR. We extracted the relevant qualitative information from the Chain Intervention Reports (CIRs). Hypothesis were then reformulated on the effectiveness of the SCA and made a list of questions for key informant interviews. Key informants and beneficiary farmers were then interviewed key informants from partner organizations. We evaluated all evidence and wrote main conclusions on the effectiveness of the SCA activities We evaluated the link between the interventions and the SCA, assessing Rikolto's ability to create structural change and following the reflection and review of the findings on the effectiveness of the SCA, and the link between the interventions and pilots and the SCA, and concluded the impact assessment of the SCA.

## 2.5 Evaluation Criteria

The Mid-term review applied the agreed revised OECD/DAC evaluation criteria to assess the DGD programme in the following ways:

**Efficiency** - is directly related to the capacity of the Rikolto East Africa in terms of its quality of management and the calibre of its personnel to use resources. An efficient institution is expected to implement interventions in a timely and economic manner, to obtain the maximum benefits from available resources and to capitalize on potential synergies. In such an Evaluation or impact assessment focus is on the extent to which the capacity of the Rikolto East Africa is sufficient to achieve these ends, recognizing that such capacity is dependent upon not only the staff themselves, but also the validity and robustness of the intervention logic/ framework including the procedures and responsibilities within which staff interact, as well as the morale of the organization overall.

**Relevance** - the DGD programme includes different pathways of change and that ties in with the Rikolto global strategy which is directed towards structural changes in the agri-food system and upscaling of well-functioning practices and policies that unlock the farming potential of a critical mass of small holder farmers. The theory-based approach, combining a review of the pathways of change that underlie the programme with the assessment of specific activities on the ground for both grains and Horticulture to ascertain whether Intervention is doing a right. In this MTR we examine the extent to which the interventions

objectives and design respond to the beneficiaries, SDGs, Uganda NDP and Rikolto East Africa needs, policies and Priorities and continue to do so if circumstances change.

**Effectiveness** - Is the DGD intervention achieving its objectives? we seek to understand to which extent the intervention has achieved or is expected to achieve its objectives and its results including any differential results across the different farmers groups and partners. While a theory of change may link an activity to a specific outcome and eventual impact, the linkage alone may not be sufficient to justify continued support for that activity if its actual contribution is small or weak. Inevitable resource limitations require that only those activities that are most effective in achieving the desired objectives or outcomes and impacts should be continued. The MTR placed emphasis on the identification of those interventions that have been most effective in contributing towards the achievement of DGD results and eventually in a long run their impact.

**Coherence** - How well does the intervention fit? What is the compatibility of the DGD intervention with other interventions for instance JSF, AMEA that operate globally, regionally, nationally or sectoral and institutionally? How does the pathways of change tie into other interventions championed by the Country? The MTR assessed the partnership and coordination fit of the interventions with other players globally or in Uganda. This is a new DAC Criteria which addresses internal and external coherence which looks at synergies and inter-linkages between the intervention and other interventions carried out by the same institution/government, as well as the consistency of the DGD intervention with the relevant international norms and standards to which Rikolto East Africa adheres and the MTR assessment of external coherence is meant to examine consistency of the intervention with other actors' interventions in the same context. It includes complementarity harmonization and coordination with others, and the extent to which the intervention is adding value while avoiding duplication of effort.

**Impact** - the intervention framework supporting the DGD proposal which was aimed at contributing to the development of a dynamic, sustainable and inclusive agricultural sector with family farmers providing quality produce for own consumption and for diverse markets (national, regional and international markets). Its programmatic focus is on a dynamic, sustainable and inclusive agricultural sector development with smallholders providing quality produce for own consumption and diverse markets especially in Uganda. Ideally the focus on poverty reduction and food security is the overarching objectives. The MTR assessed the difference the intervention has made, examine the extent to which DGD intervention has generated or is expected to generate significant positive or negative higher-level effects both intended or unintended. The MTR assessed the extent to which real impact has been achieved through the selected pathways of change and all the approaches adopted in the intervention framework. In doing so, it also considered the extent to which hypothesis, risk



and assumptions made during programme design have been justified. Political and economic circumstances, as well as drought and disease are particularly relevant and will undoubtedly affect the achievement of impact. Reduced impact as a result of inaccurate assumptions need not negate the causal pathway underlying the programme if the disruptive circumstances are short-term in nature or can be mitigated in future. The evaluation was sensitive to the socio-economic dynamics of the region in its interpretation of impacts achieved by the programme.

**Sustainability** - the evaluation assessed the sustainability (technical sustainability, financial sustainability, social sustainability and environmental sustainability) of results or benefit will last after the funding is closed. What is the extent to which the net benefits of the DGD interventions continue or are likely to continue after the 5-year DGD programme ends. In both cases, the results of each assessment are projections that are vulnerable to changing circumstances. Nevertheless, the MTR made a realistic evaluation of the likelihood of technical sustainability, financial sustainability, social sustainability and environmental sustainability) and of the sustainability of impacts, based upon best-case, worst case and most likely future scenarios.

### 3. EFFECTIVENESS OF THE RIKOLTO INTERVENTION

#### 3.1 Analysis per pathway of change and result area

Intervention		Output	Immediate outcome	Intermediate outcome	Ultimate outcome	
1.	Enable Farmer Organisations to access structured trading systems	CA	Support EAGC, UCA and 8 FOs to develop and implement business models which enable access to better markets. Current focus is maize, beans and rice but this is likely to change to pulses and rice after March 2018.	Research on different business models (G-Soko, Commodity exchange, B2B) for rice and pulses value chains enable greater access for farmers to structured trading systems.	Increased investment made in high potential FBOs.	Increased returns for smallholders from formal trading systems.
		IN	Support Lead Firm (Bongomin Group, and others) to develop business models for Farmer Organisations and pilot with up to 2 FBOs.	Evidence developed and adaptation made to model. Further piloting.	Business model ready for expansion. Impact investment funds acquired from the Rice Fund in Uganda Development Bank, other financial institutions such as DFCU, aBi Trust, for expansion of model and acquisition of processing capacity.	National and International recognition for innovative approach which influences other private sector traders to try new approaches for inclusive business.
		EE	Support EAGC, UCA and other stakeholders to conduct Investment Analysis to guide future investments in improving competitiveness and inclusiveness of rice and pulses value chains	Round table debates, on investment options especially on processing. This would include; the maize and beans platform, rice millers council. IITA, IFDC, CIAT, UDB, DFCU BOU (under the Agricultural credit facility) will also participate in these debates.	New Investments are based on better information.	Public and private sector Investment in sustainable and inclusive business models increases and has greater impact.
		IN + EE	Support EAGC, UCA and other stakeholders to conduct assessment of farmer and FBO ICT systems in order to guide next generation ICT system piloting and/or scale. This includes QMS data requirements.	Agri Profocus innovations community on ICT ( which includes EAGC-RATIN FIT Uganda-, Grameen foundation, farm gain Africa etc) and Akorion conduct assessment of farmer and ICT systems and identify most suitable for piloting.	Pilot and/or scale up next generation of ICT products with strong partnerships - Private Sector, ICT providers, Banks, Mobile Phone Companies, etc	Private sector led, sustainable System in place which enables significant numbers of smallholder farmers to access formal trading systems, including access to finance.

						Rice actors have compelling business case to work with smallholders to integrate them into the trading systems.
		CA + IN	Support EAGC, UCA to identify segments within the structured trading systems that have potential to integrate women and youth and develop programs targeting them.	Round-table debates on investment options and opportunities for engaging youth and women in lucrative VCs This would include; the maize and beans platform, rice millers council.	Partners design and implement initiatives to increase women and youth participation in structured trading systems.	The rice and pulses sectors are more representative at the governance, business and assure generational continuity.
				Partners are aware of the main challenges regarding gender equity in the sector	Partners design and implements actions to promote gender equity	
2.	Support institutionalisation of new approaches for Farmer Business Organisation capacity development	IN + EE	Support UCA and EAGC to assess FBOs using SCOPEinsight tools/OCA and implement IFC tools in 8 Farmer Organisations (may reduce after Food Trade).	Learning from the pilot supports IFC, aBi Trust and SCOPEinsight to design sustainable and effective approach for strengthening BDS for FO capacity building.	Evidence supports policy dialogue and results in Government and credible research partner buy-in.	Government Programme for lower capacity FOs to obtain BDS at subsidized cost enables FOs to obtain Private Sector BDS which includes incentive payments based on impact of capacity building.
		IN +E E	Support UCA and EAGC to develop a pool of independent BDS providers with a focus on providing opportunities for rural youth.	Learning from pilots is adapted in the curricula to improve effectiveness of training and integrated into strategy discussions with IFC, aBi Trust and SCOPEinsight.		
		IN +E E	Support EAGC, UCA, and secondary level FBOs to develop BDS package for higher capacity FOs (PRO level?).	Pilot and develop BDS package including outreach/marketing strategy.	Affordable and appropriate BDS in place for EAGC, UCA and other Grain network members.	FBOs at PRO level can access high quality, accredited services.

		EE +C A	Support EAGC and UCA, to develop commercially viable and sustainable management models for farmers' business organizations including piloting of innovative models.	Round-table debates (This would include; the maize and beans platform, rice millers council) on various management models of small holder farmers' business organization e.g. management contract, managing costs along the business line, among others.	Dissemination and Scale up of successful models leading to new investments by private sector and government are based on solid evidence.	Increased returns for small holder farmers as a result of reduced transaction costs (increased efficiency) and competitiveness.	
3.	<b>Support additional investment into Sustainable Production and Processing approaches</b>	IN +E E	Support Action Research with private service providers and UNBS on Quality Management Systems (QMS) integrating SRP in 2 FBOs.	Evidence base of impact of QMS supports engagement in Public-Private Sector dialogue.  Evidence base of effectiveness of SRP tool to inform Global SRP and VECO cluster.	Government and Private Sector stakeholders agree scale up process for QMS and SRI. This is likely to be through:  Requiring QMS to be used for all rice production through regulations issued by Uganda National Bureau of Standards.  Local Government regulations to define water stressed areas and require SRI in those areas. This will lead to changes in water permits as well.  Resourcing the Government extension system to support farmers to implement QMS and SRI where applicable.	System for quality management in place which enables significant numbers of smallholder farmers to deliver food products in line with EA grain standards.  SRI implemented in all water stressed areas and rice production is sustainable.	
		EE	Work with private service providers and UNBS as part of QMS work to demonstrate effectiveness of SRI in water stressed areas.	Multi-stakeholder dialogues to agree way of expanding SRI uptake in water stressed areas.			
		IN + EE					
		IN	Work within SRP pilots (see section 3) to also pilot the Inclusive Business Principle of the SRP tool once it is developed	Rice Millers Council debate evidence of business case from practicing SRP	Improved SRP tool after 3 seasons of testing	FBOs in Butaleja adopt the tool	

In analysis of pathways of change by Indicators from the different results based on the pathways framework above, we were guided to tackle indicators per result and bring their connections. Indeed, to elaborate each connection we have pointed some of the crucial activities that were carried out to achieve the different results. For each pathway, we have derived a main conclusion after reviewing the observed evidence and the results from the triangulation in the field.

### 3.1.1 Pathway 1: Strengthening partners' capacities for collective action

To measure the progress and effectiveness of this pathway in realizing our outcomes, Rikolto East Africa pledged to determine the Average volume of quality food per farmer sold through collective action mechanisms for both Grains and Horticulture, In 2017 when the programme was starting the baselines were showing no support along those lines but a target of 5 (five) Metric tonnes were set for grains and 1.5 Metric tonnes for Horticulture, so at the Mid-point of implementation actual average volumes of quality food per farmer in Uganda sold through collective action mechanism for grains was 1.92 Metric tones and 7.3 for horticulture. As recorded Rikolto through this pathway of change has not been able to realize fully the expected change.

This was achieved through Identifying sustainable, high potential value chains in collaboration with business associations and buyers, including intentional involvement of women and youth. There was also support to EAGC, UFVEPA, apex FBOs and other actors in order to equip their personnel with relevant skills in trading and setting up of systems and procedures for collective marketing, including coordination of chain actors (producers, buyers, input suppliers, financial institutions, etc.).

Rikolto also supported all their strategic partners as well as the government institutions to raise awareness on national and regional quality standards to improve grain and horticultural produce storage/collection centers. Rikolto undertook to support EAGC, UFVEPA, apex FBOs and other actors to develop effective market information systems that enhances structured trading systems.

In order to ensure that we realized that indicator we had to facilitate linkages between private BDS providers and FBOs by supporting services providers and partners to provide embedded services to farmer business organizations and their members.

We also pledged to increase the Average income (USD) of farmers per ha from quality food sales for Grains and Horticulture. The planned values as a target at Mid-term was 400USD for grains and 4,000USD for Horticulture foods, however due to the support from Rikolto East Africa, the Uganda team has been able to achieve an actual value of 714 USD for grains and 494 USD for Horticultural foods.

Number of farmers receiving services through trading relationships was planned to be 8000 farmers after 3 years, but Rikolto East Africa has reached out to 6045 farmers in the achievement of this indicator.

Number of farmers selling through long term trading agreements was planned at 7000 individuals but Rikolto was able to achieve 3038 Individuals, this target was not arrived at because the Farmer Organisations did not have working capital to make cash payments to members and encourage trade through their organisations structures.

We can therefore conclude that the achievement of our results as highlighted from the table above was below average at the Mid-term Review and therefore it is clear now that Mid way our implementation we have not been able to fully meet the expectations of attaining a **structured trading system in the grains and horticulture chains so as to provide efficient services (BDS, financial services, transparent information systems) and thereby enabling smallholder farmers to benefit.**

To link the pathway of change with outcome or result 2 and examine if indeed we were able to stimulate inclusiveness of smallholder farmers in the grains and horticultural chains by use of flexible, adaptable approaches and models for farmers' business management.

Rikolto East Africa engaged in a number of activities such as facilitating EAGC, UFVEPA and other network organization to assess their members using SCOPEinsight tool, supported EAGC, UFVEPA, apex FBOs and other BDS providers to build capacity to offer services to their members and also design commercially viable BDS strategies especially focusing on young entrepreneurs.

As a modality to enhance collective action Rikolto East Africa supported FBOs to integrate BDS costs into their business models and to strengthen their financial and business management systems and aligning to their target markets thereby promoting inclusiveness.

**Additional activities that Rikolto East Africa has conducted to ensure that they create a linkage between the POC 1 and Results 2.**

- Support FBOs to recruit and hire competent and experienced business management staff
- Support FBOs to access finance from financial institutions, and mobilize internal savings
- Support EAGC, UFVEPA, apex FBOs and other BDS providers to acquire improved skills in business modeling and planning
- Support private sector lead firms to evaluate and develop their BDS approaches
- Facilitate EAGC, UFVEPA, apex FBOs and other BDS providers to promote new business models
- Engage EAGC, UFVEPA, buyers and other actors to design improved inclusive sourcing

In relating the pathways of change 1 and Results 3: We assess the extent to which Strengthening partners' capacities for collective action will result into incentivization of sustainable production

and consumption of safe food in the market systems of grains and horticulture. It was noted that there was a little challenge in implementation of the activities of the intervention in Uganda due to some operational issues but yet Rikolto East Africa supported EAGC and UFVEPA, UNBS to develop and disseminate information on food safety and standards, engaged with UNBS, EAGC, UFVEPA, Research Organizations, etc. to develop quality managements systems (including environmental management), supported EAGC, UFVEPA and apex FBOs to assist FBOs to implement quality management systems, supported EAGC, UFVEPA and apex FBOs to train their members in IPM/ICM and train their members in soil and water conservation and build thematic communities among all regional offices, partners and stakeholders of Rikolto to mutually reinforce/strengthen capacities for programme implementation including Organizing international clusters around Sustainable and Inclusive Business practices and co-implement programme activities for rice with VECO's, partners and other stakeholders

### 3.1.2 Pathway 2: Supporting an enabling environment

**Result 1: A structured trading system piloted in the grains and horticulture chains provides efficient services (BDS, financial services, transparent information systems) that enable smallholder farmers to benefit**

Rikolto East Africa ensured that in order to support an enabling environment they had to undertake the following intervention, firstly Support partners and FBOs to undertake studies that generate evidence for influencing policy issues affecting the agri-food chains, secondly they facilitated partners, FBOs and other stakeholders to establish functional multi-stakeholders' platforms that address the needs of farmers and other actors in grain, pulses, fresh fruits and vegetables, furthermore supported EAGC, UFVEPA, UCA and other associations and network organizations to conduct lobbying and advocacy and campaign activities related to issues affecting the chain and engaged in Rikolto Global Cluster for Rice to enhance support to lobbying and advocacy partners and to enable innovations from other Regions to be piloted in Uganda and finally supported partners to profile their respective value chains, including those which can attract women and youth, and disseminate the information for financial institutions and public and private investors

**Result 2: Flexible, adaptable approaches and models for farmers' business management stimulate the inclusiveness of smallholders in the grains and horticulture chains**

Support apex organizations and government (UCA, Ministry of Trade, etc) to design business development curriculums tailored to market demands - Support partners to lobby for policies that provide incentives to buyers sourcing directly from farmers - Support private sector learning exchanges to enable them to learn from good examples of inclusive sourcing

**Result 3: Market systems for grains and horticulture incentivize sustainable production and consumption of safe food**

Facilitate and work with standards bodies to create awareness on rules and regulations governing food safety and standards - Support development of appropriate legal and institutional frameworks to guide food safety and standards - Support lobbying and advocating for improved market infrastructure and utilities - Facilitate partners, local governments and FBOs to develop local level policies on food safety and environmental sustainability - Work with Government, UNEP and NGAs, including BOS+, to develop an effective multi-stakeholder platform to support Mount Elgon watershed management - Dissemination of methodological and thematic knowledge and expertise to expand the programme support network (increase impact through replication by other organisations and through increased implementation support)

### 3.1.3 Pathway 3: Fostering innovation for an inclusive and sustainable food system

**Result 1: A structured trading system piloted in the grains and horticulture chains provides efficient services (BDS, financial services, transparent information systems) that enable smallholder farmers to benefit**

Supported partners, FBOs, to adopt cutting edge market information and trading systems (G-Soko, FARMIS, etc.) and partners to identify segments within the structured trading systems that have potential to integrate women and youth and develop programs targeting them.

Rikolto East Africa has also been assisting the FBOs and partners to access and use digital agricultural production and market information systems for both grains and Horticulture and working with media houses to develop communication mechanisms that increase outreach to actors, partners and farmers.

**Result 2: Flexible, adaptable approaches and models for farmers' business management stimulate the inclusiveness of smallholders in the grains and horticulture chains**

Rikolto East Africa also facilitated and worked with standards bodies to create awareness on rules and regulations governing food safety and standards, the Uganda office was also facilitating partners, local governments and FBOs to develop local level policies on food safety and environmental sustainability.

Over the period from 2017 to date, the Rikolto East Africa team has also worked with Government, UNEP and NGAs, including BOS+, to develop an effective multi-stakeholder platform to support Mount Elgon watershed management and will continue to support the development of appropriate legal and institutional frameworks to guide food safety and standards including lobbying and advocating for improved market infrastructure and utilities.

As a way of sharing learning, Rikolto East Africa has been and will continue to undertake the dissemination of methodological and thematic knowledge and expertise to expand the programme support network (increase impact through replication by other organisations and through increased implementation support).



### **Result 3: Market systems for grains and horticulture incentivize sustainable production and consumption of safe food**

Rikolto East Africa in the first half of the DGD intervention has supported UFVEPA to train and brand kiosks/green grocers for marketing sustainable foods, also supported UFVEPA, EAGC, UCA to implement ICT-based traceability systems for participating farmers and development of an inventory of FBOs & buyers that adhere to food safety and quality standards.

Rikolto East has also developed strategy with District Technical Teams to rapidly increase SRI/SRP adoption through buying down of farmer risks i.e. providing incentives and insurance against failure, Implemented by-laws to sustain change with partners, work with the financial institutions to give access to credit to farmers for water efficient irrigation technologies and finally participation in the development of global tools and methodologies to monitor and harness the quality of programme implementation and to measure impact.

#### **3.2 Findings from the Mid-Term Review**

The basic premise of Rikolto East Africa especially the Uganda Country office and DGD in this intervention was to use the approach of Strengthening partners' capacities for collective action, flexible, adaptable approaches and models for farmers' business management stimulate the inclusiveness of smallholders in the grains and horticulture chains and Market systems for grains and horticulture incentivize sustainable production and consumption of safe food in order to realize a structured trading system piloted in the grains and horticulture chains provides efficient services (BDS, financial services, transparent information systems) that enable smallholder farmers to benefit.

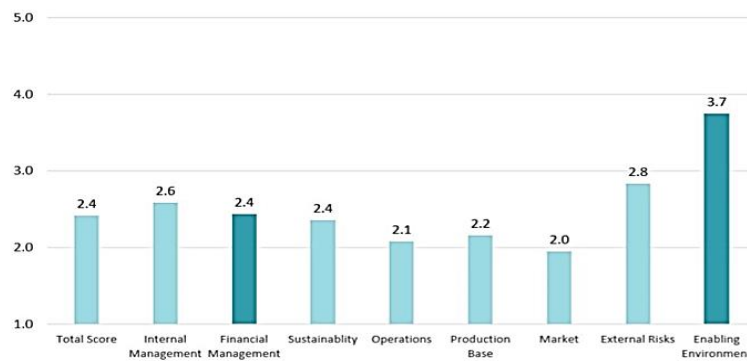
Upon review of respective documents, the findings show that Rikolto in collaboration with the Uganda National Bureau of Standards (UNBS) and key value chain actors developed easy to use rice dissemination materials based on the East African Standards of Milled Rice (EAS 128:2018) to ensure appropriate sharing of information with actors in the rice sector and to allow for a common approach in implementing the standard on rice.

Rikolto is a Board Member and a key contributor to the Working Groups of the Agribusiness Market Ecosystems Alliance (AMEA). The AMEA global network aims to standardize the approach for professionalizing Farmer Organizations which will encourage higher quality and more harmonized support.

In East Africa, Rikolto is already using AMEA tools such as SCOPEinsight which allows farmers to understand the current capacity of their organisations and decide which improvements to prioritize depending on their business model. Rikolto has also initiated the start-up of the AMEA Uganda network with their partner, Uganda Cooperative Alliance. This lively network's advancement of increasing the professionalism of farmer organizations and farming as a business is already attracting a lot of interest from Government, Donors and Capacity Builders.

## Average Scores of Assessed Organizations

What are the average scores by dimension?



On average, the 2019 Scope Basic assesseees in this project scored highest in Enabling Environment with a score of 3.7, while they scored lowest in Market with the score of 2

Sources Scope Insight Report September 2019.

In Uganda, the **SRP standard** helps rice farmers to adopt more sustainable farming practices. The innovation in Rikolto's work lies e.g. in the **measurement system via phone**. This system helps farmers to measure their scores at the end of the season and motivates them to adopt more sustainable cultivation practices as they want to see their scores/ sustainability credential go-up at the end of season.

Rikolto East Africa led in quality management of outputs delivered by partners as well as in ensuring that effective and collective dialogue takes place within clusters.

Rikolto East Africa has continued from their previous deliverables on the results from before 2017, the organization has been in collaboration with apex business organizations and innovative private sector partners with a commitment to inclusive business, such as East African Grain Council (EAGC), Uganda Fruit and Vegetables Exporters and Producers Association (UFVEPA), Amfri Farms and Mace Foods and thus developed and implemented innovative pilots in the grains and horticulture sub-sectors.

There were contractual challenges with one of our partners (UFVEPA whose 2019 funding contract didn't materialize due to 2018 funds misappropriation) as well as implementation of result area 3 activities in collaboration with UNBS due to bureaucratic delays in signing the MoU with Rikolto spelling out roles and responsibilities.

In 2019, inclusive contracts were signed among a consortium of FBO's, finance and off-takers in some instances. In addition, long term MoU's for direct FBO and off-taker trading relationships. As a result, about 60% of the indicator results for both grains and horticulture were realized. 2020 will be a test for the fulfilment of more than 80% of these trading relationships.

**Some of the DGD intervention progress recorded**

Horticulture	Grains
<ul style="list-style-type: none"> <li>a. An assessment to identify high potential value chains (VCs), their structuredness and the segments which are attractive to women and youth, in selected districts of Tororo, Kapchorwa, Kayunga, Sironko and was conducted by UFVEPA</li> <li>b. Suitable clusters were identified, and investments profiles developed for the various high potential VCs</li> <li>c. Regional-level round table debates within selected clusters with stakeholders were held to discuss investment options in selected horticultural VCs</li> <li>d. Select actors (lead firms/buyers) and other stakeholders (FBOs) were identified to participate in the pilots</li> <li>e. 2 horticulture FBO's were assessed by UCA using the SCOPEinsight tools, reports shared, and consensus built with the FBOs on areas of improvement to implement in year 2</li> </ul>	<ul style="list-style-type: none"> <li>a. EAGC identified lead firms that transact with clusters and their business models benchmarked</li> <li>b. An assessment to develop an inventory of BDS providers and best practice farmer organization management models and the key gaps in service delivery was done by EAGC within the different clusters</li> <li>c. 5 grain FBO's were assessed by UCA using the SCOPEinsight tools, reports shared, and consensus built with the FBOs on areas of improvement to implement in succeeding year.</li> <li>d. Assessments of existing aggregation centres was done, and their upgrade/construction coupled with capacity building in management of the stores enabled streamlining of the trading system, improved coordination, bulking and access/linkages to quality differentiated buyers (Output 1 - Improved storage &amp; aggregation - Food Trade)</li> <li>e. Improved farmer access to market information through market intelligence (Output 2 - Improved supply chain information and chain coordination - Food Trade)</li> </ul>

This MTR is looking at the effectiveness from the different pathways of change advanced and their respective intervention or activities and these can be able to deliver the different results as discussed above.

**3.3 Counterfactual reflection**

There were contractual challenges with one of the strategic partners (UFVEPA whose 2019 funding contract didn't materialize due to 2018 funds misappropriation) as well as implementation of activities in collaboration with UNBS due to bureaucratic delays in signing the MoU with Rikolto spelling out roles and responsibilities. However, if this had this engagement was not successful then we have not been able to realise result 3 on market systems for grains and horticulture incentivization of sustainable production and consumption of safe food.

Some FOs had challenges in accessing working capital as a result of their failure to meet lending requirements of finance institutions, struggled to market collectively and have a higher bargaining power due to economies of scale. Rikolto & MSC continue to strengthen FOs to ensure that they comply with lending requirements. Rikolto has also supported the development of a computer-based MIS to improve record management in FOs and thereby enable farmer organizations store and manage records required by financial institutions during loan appraisals.

## 4. RELEVANCE OF THE RIKOLTO INTERVENTION

Relevance focuses more on any changes that may have as consequence that relevance cannot be (fully) guaranteed anymore and therefore that adjustments are required. These adjustments may include, for example, an adjustment of the Theory of Change.

In this section, we evaluate the relevance of DGD's interventions by looking at the farmer-level impact. We investigate whether the DGD interventions at the FO-level have also created notable differences (positive or negative) on the farmer impact level. We compare baseline values against the actual to examine whether the objectives have been achieved and how the design has responded to the beneficiaries.

To start with over the past 3 years, Rikolto East Africa has reached 16,663 direct beneficiaries and 83,315 indirect beneficiaries through both grains and Horticulture programmes. The direct beneficiaries were composed of 7659 for Pulses, 8012 for Rice and 992 for fruits while for indirect beneficiaries there were 38295 for pulses, 40060 for Rice and 4960 for fruits.

To further address the relevance of the intervention, we ask the following questions.

What is the relevance of the outcome, considering any changes that have occurred over the past 3 years in the external context (country/partner/etc.) or within the organisation (global and/or at country level, in terms of HR, institutional and/or financial)?

To what extent did these changes have an impact on the relevance of the intervention, and how was this handled?

There have been some context changes regarding trading conditions which create both opportunities (Tanzania export restrictions) and threats (potential EU ban on chilli exports). However, the program is designed to enable FBOs to adapt their business models to target areas of market opportunities, therefore we do not see that these changes will affect the relevance of the outcome to "contribute to the sustainability, competitiveness and inclusiveness of horticultural and grains food chains in 3 regions of Uganda."

There are no significant changes that will affect the relevance of the outcome to "contribute to the sustainability, competitiveness and inclusiveness of horticultural and grains food chains in 3 regions of Uganda."

There is increasing government attention to sustainable cultivation in wetlands and professionalization of farmer cooperatives, which we believe means our focus is even more

relevant. There is a shift by government on imported brown rice which will be stopped by June 2020, showing potential increase in investment and growth domestically.

#### 4.1 Pathway 1: Strengthening partners' capacities for collective action

	Farmer Organisation	Male	Female	Total Members
<b>Grains</b>				
1.	Bukusu Yetana ACE	3174	3845	7019
2.	DIFACOS	3347	647	3994
3.	MBRFC	1265	235	1500
4.	TAABU ACE	1121	1397	2518
5.	Bunambutye ACE	369	271	640
<b>Horticulture</b>				
6.	Kwapa Farmers' Co-operative	579	447	1026
7.	Sabiny Agro-commodity Farmers' Co-operative	318	220	538
8.	Kangulumira Horticulture Co-operative Society	86	68	154
<b>Total</b>				<b>17,389</b>

Rikolto East Africa has also been able to support several farmers to come into together into farmers organisation that enables them to have capacities for collective actions such as access credit as a group and or bargain for fair prices. For planning and investment according to the data from the farmers survey indicated for example the proportion of farmers accessing credit with the farmers organisation was 24% for Fruits farmers, 100% for Vegetable growers, 81% for Maize, 54% for pulses, 98% for Rice farmers. These statistics show that the DGD intervention is indeed relevant as the proportions are showing beneficiaries responding to the different indicators for the achievement of the objectives.

#### 4.2 Pathways 2: Supporting an enabling environment

Supporting an enabling environment for production and consumption of safe foods is crucial to sustainability and this is a justification of the relevance of the intervention. Rikolto East Africa has been to create, implement and enforce stronger, more robust and transparent national and international standards for sustainable production which has been key in enhancing trust between actors within the food system. They have developed, piloted and implemented quality management systems with UFVEFPA in order to increase sustainable production and consumption of safe foods. This has led to more confidence in Ugandan produce and there is hope that this will motivate and enhance opportunities for exports to be re-established.

As consistent supply of produce to the market is a prerequisite to market retention, exploitation of water and soil resources will need careful consideration. Financing of efficient irrigation systems for small holder farmers by financial institutions will be sought together with prerequisite skills needed to reduce water consumption and waste. Soil testing and application of appropriate management practices will be done in collaboration with research institutions to reduce soil and water pollution as well as minimizing the use of harmful soil fertility management practices. The expected outcome of the above outputs is a market system for grains, fresh fruits and vegetables that incentivizes sustainable production and consumption of safe food.

### **4.3 Pathway 3: Fostering innovation for an inclusive and sustainable food system**

Innovative ICT solutions will also be developed to enable smallholder inclusion through enabling access to market information, business services and financial services as well as enabling use of appropriate farm management systems. These ICT innovations should lead to more transparency in the market, especially on price information, and allow the farmer to build up credible business data for use in negotiations with off-takers/buyers and financial institutions.

There were no significant changes that will affect the relevance of the outcome and or "contribute to the sustainability, competitiveness and inclusiveness of horticultural and grains food chains in 3 regions of Uganda." There is increasing government attention to sustainable cultivation in wetlands and professionalization of farmer cooperatives, which we believe means our focus is even more relevant. There is a shift by government on import of brown rice which will be stopped by June 2020, showing potential increase in investment in and growth of domestically grown rice.

## 5. LESSONS LEARNT

In the 3 years of implementation of the DGD programme, Rikolto East Africa has realized the following lessons and have been improving on them year in year out.

### ***Change dynamics and intervention strategies: Shaping inclusive business models***

In 2017, innovations in new approaches such as the online trading systems G-SOKO, Infotrade and QMS were introduced but this will require time to obtain buy-in and deliver sustainable returns. The piloting of G-SOKO and Infotrade was therefore not successful but it raised awareness in the sector of the benefits of farm business history and market information. Rikolto will therefore continue to pursue pilots such as FOs delivering market information as a member service and support FOs to adopt simple, practical tailored-made Management Information Systems.

Rikolto East Africa engaged UCA and local stakeholders, while building their own capacity, to provide technical support for FOs to adopt SCOPEinsight recommendations

We contributed to the development of investment analysis in the rice sector, jointly with the Rice Millers Council (RMC) of Uganda, which contributed to other initiatives that IITA and IFDC were leading.

Rikolto East Africa also realized that milling 1Kg of chilli, can give you 20 powdered bottles of 100ML each and each bottle on the local market is sold at wholesale price of UgX 2000. Paddy says a farmer is able to earn about UgX 40,000 for each kilo of chilli as opposed to UgX 9,000 that Mercy Foods had promised to pay the farmers.

### ***Digitalisation***

We learnt that Farmer Organizations who acquired computer-based Management Information Systems as part of innovative Information Communication and Technology solutions to enable smallholder inclusion and access to financial services as well as markets.

### ***Gender and Youth***

The Rikolto SRP data collection tool<sup>3</sup> (open source application) has facilitated the involvement of young people in the process via their smart phones. FOs are reluctant to meet the cost of data collection<sup>4</sup> because they do not see the importance of data but are only willing to use any innovations around it for free until the project ends and may then

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<sup>3</sup> SRP data collection tool is Kobo Collect Toolbox (open source applications are for free)

<sup>4</sup> FO's not meeting cost of data collections from their members and Rikolto is now meeting it.

stop using it. For instance, Bongomin Group were supported to deliver sustainable rice cultivation practices to their clients based in the SRP (sustainable Rice platform) standard.

This was possible because logically not all services in rice production in Uganda can be mechanized, at least for now, and therefore there are opportunities which youth can exploit to provide professional manual labour to rice farmers. In 2019, the company enrolled and deployed 333 young people to provide labour services to three large-scale farms in Bulambuli (including the Kingdom Rice farm in Bulambuli district). In 2020, the company plans to target an additional 600-700 young people in the scheme as a scale up to cover more rice growing areas. Equipping young people, already providing labour to farmers with more technical skills, enables them to work with bigger companies (such as SWT, contracted to supply professional labour from 2020).

### ***Partnerships***

Rikolto East Africa is a member of AMEA network that uses collective and transformative power for scaling up the development of professional farmer organizations to access market opportunities and improve livelihoods. In 2019, we shared a case study on achieving bankability looking at access to finance via the partnership with MSC on disbursements realised, success factors, lessons and recommendations. Other implementing partners in the AMEA network (Lutheran World Federation, Self Help Africa et al) have since began partnership arrangements with MSC in their respective regions of operation. Networks are an important avenue to amplify learning as they provide the platform for partners, including Rikolto, to share practical experiences, such as our work on access to finance for smallholder FOs which is evidence that the organisations have become professional.

### ***Synergies and complementarities***

In collaboration with VSF Belgium a learning visit took place in March 2019 in which VSF farmer organizations visited the Rikolto Uganda programme and picked learning around inclusive business models as well as modalities on access to finance, especially the successes around the VSLA's and SACCO's from cooperatives Rikolto is supporting. The synergistic action led to knowledge transfer on how VSLAs operate, improved livelihoods of farmers as a result of VSLA savings.

### ***Environment***

Rikolto is at the forefront of promoting wide-scale adoption of the SRP Standard for sustainable rice cultivation. From the round-table meetings that we had with stakeholders in the rice sector to share our experiences with the SRP Standard, and evidence from the



SRP pilots that we carried out in Butaleja, we learn that the organization needs to fast-track the process of facilitating the formation of a national SRP Chapter to, among other things, locally interpret the standard to make it relevant and practical within the Ugandan context, before its use can be taken to scale.

***Change dynamics and intervention strategies: Fostering sustainability partnerships***

The nature of the agreement that Rikolto East Africa has undertaken of working through strategic partners<sup>5</sup> for a period of 5 years embedded in the MoUs leaves no room for flexibility to work with other stakeholders (e.g. government entities) in the event that the partners underperform within the agreed timeline.

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<sup>5</sup> Strategic partners of Rikolto are Uganda Cooperative Alliance and Uganda Fresh Fruits and Vegetable Exporters and Producers Association (UFVEPA)

## 6. RECOMMENDATIONS, EXIT STRATEGY AND CONCLUSIONS

The theory of change recognizes that collective action mechanisms, whether Cooperative, Private Business or other, remain challenging for smallholder farmers and that capacity building efforts have often only built temporary islands of success. There is therefore a need for flexible, adaptable approaches to be found and adopted by large scale institutions (**Result 3**) that support smallholder development, such as Agricultural Financing Facilities, Business Support agencies and large-scale donor initiatives.

The Structural Change Agendas (SCAs) which are closely inter-linked and are all necessary conditions for grains sector transformation. These SCA are also strongly aligned to the National Agriculture Policies of Uganda which aims at achieving middle income status within the next 20 years and the Sustainable Development Goals.

### ***Structured trading systems which are inclusive***

Innovative aggregation and trade models which target multiple markets including high potential export/regional value chains using these trading systems are expected to enhance inclusiveness and reduce risks for small holder farmers.

Innovative ICT solutions will also be developed to enable smallholder inclusion through enabling access to market information, business services and financial services as well as enabling use of appropriate farm management systems. These ICT innovations should lead to more transparency in the market, especially on price information, and allow the farmer to build up credible business data for use in negotiations with off-takers/buyers and financial institutions.

### ***Flexible approaches for developing smallholder business models and organisations***

Rikolto will work with EAGC, UCA, ICT firms, network platforms such as AMEA, and other business development service providers/innovators and others to find ways to stimulate the development of services for farmer business organisations. The aim is that if these services are available and affordable for rural entrepreneurs and businesses then this will lead to an increase in business partnerships between farm businesses and off-takers/buyers. The innovative aspect will be the flexible approach but also more significantly making a breakthrough in affordable and sustainable rural business development services.

### ***Market incentives for sustainable production and consumption approaches***

Supporting an enabling environment for production and consumption of safe foods is crucial to sustainability. Creating, implementing and enforcing stronger, more robust and

transparent national and international standards for sustainable production are key to enhancing trust between actors within the food system. Developing, piloting and implementation of quality management systems and SRP with EAGC will increase sustainable production and consumption of safe foods. It will also lead to more confidence in Ugandan produce which will enable opportunities to be re-established.

### ***Exit-strategy***

Rikolto East Africa also developed a MOU with IFDC to align and strengthen her work but allow for exit modalities. Rikolto will continue to hand over leadership to stakeholders, as it allows partners to develop ownership on projects and studies conducted but also in their advocacy actions. Rikolto will work with Bongomin group to popularise this youth engagement model in the EU DINU programme and SOLIDARIDAD is planning to adopt it in coffee farming through Rikolto support.