Australian Government
Australian Centre for International Agricultural Research

World Agroforestry Centre

ACIAR TREES FOR FOOD SECURITY PROJECT NATIONAL POLICY DIALOGUE

Addis Ababa, Ethiopia

17th July, 2014

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LIST OF ACRONYMS AND ABBREVIATIONS

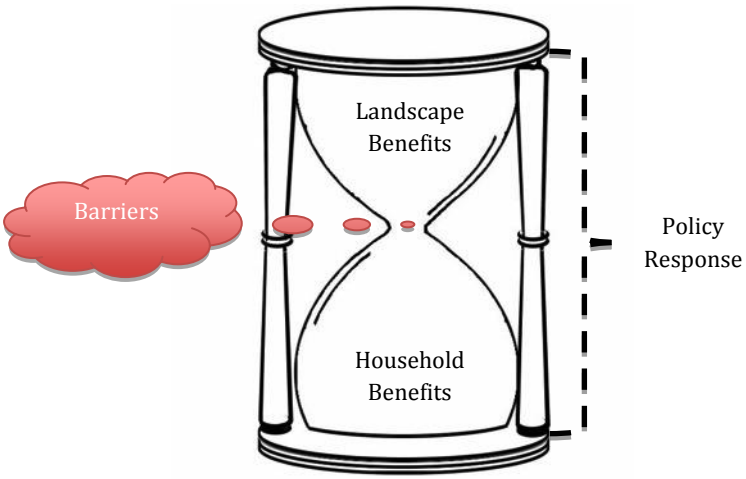
ACIAR	Australian Centre for International Agricultural Research
AGP	Agricultural Growth Program
ARDPLAC	Agricultural Development Partners Linkage Advisor Council
BoE	Bureau of Education
CIDA	Canadian International Development Agency
DA	Development Agent
EIAR	Ethiopian Institute of Agricultural Research
FRC	Forestry Research Center
FSP	Food Security Programme
FTC	Farmers Training Center
GPS	Global Positioning System
GTP	Growth and Transformation Plan
ICRAF	International Centre for Research in Agroforestry
MoA	Ministry of Agriculture
MoARD	Ministry of Agriculture and Rural Development
MOEF	Ministry of Environment and Forest
MOFED	Ministry of Finance and Economic Development
NGO	Non-Governmental Organization
NRM	Natural Resource Management
PSNP	Productive Safety Net Program
SLMP	Sustainable Land Management Project
SNNPR	Southern Nations, Nationalities and Peoples Region
SRI	Strengthening Rural Institutions
UNDP	United Nations Development Programme
USAID	United States of America International Development

INTRODUCTION

The ACIAR Trees for Food Security Project has been working on enhancing the food security of resource poor rural people in Eastern Africa through research that underpins national programmes to scale up the use of trees within farming systems. A critical deliverable as part of this project is the identification of effective methods and enabling environments for scaling up and out the adoption of trees on farm. Part of the process of identifying and facilitating an enabling environment is the recognition of pertinent policy that inhibits the adoption of trees on farm. To identify these challenges, policy dialogue meetings were undertaken at a district and national scale in the two focus countries of the project: Ethiopia and Rwanda, with a view to scale the results from the district level into a national level dialogue. This report presents a summary of the proceedings and findings of the national policy dialogue workshop that took place in Ethiopia, based on the outcomes from the Woreda level dialogues that engaged eight Woredas from the regions of Oromia and Tigray. The overall objective of the meetings were to establish a policy framework suitable for scaling up the use of trees within farming systems in Ethiopia and then scale out success to relevant agro-ecological zones in other countries.

METHODOLOGY

The format of the participatory workshop was designed on the premise of the scalability of the benefits from the Woreda level to the national level, with recognition of the constraining policy factors to fully foresee the free flow of these benefits. This scenario can be visually articulated through an hourglass with recognition that the household benefits of increased adoption of trees on farm, could be scaled up through to landscape benefits. It is, however, the policy environment that provides the enabling environment through the removal of the constraints inhibiting the scalability of trees on farm. The workshop design explored the key policy areas identified from the district dialogue and carried them through to the national discussion to establish their relevancy in inhibiting the scaling up adoption of trees on farm.



NATIONAL POLICY DIALOGUE - ETHIOPIA

Opening remarks and introduction to policy dialogues

The workshop began with participants being welcomed and an overview of the role of a policy dialogue to identify the necessary policy measures to **facilitate the scaling up adoption of trees on farm**. The identification of policy issues from the district, and carrying through to **national level discussion with the key policy makers to identify measures** required was noted. The key output as part of this process is the view to increase the adoption of trees on farm for small scale farmers to achieve food security. This workshop was day one of a two day workshop that also involved the national seed and seedling stakeholder workshop on the second day. The combined objectives for the workshop included:

1. Conclude national policy dialogues building on Woreda level dialogues
2. Present scenario on tree seed and seedlings in Ethiopia from on-going studies within the Trees for Food Security Project and case studies on developing agroforestry seed and seedling systems in Cameroon and Ethiopia
3. Conduct a SWOT analysis of the country seed and seedling system based on country and comparative study presentations
4. Outline possible interventions and research studies for the remaining TFS project period at both site and national levels

Overview of the ACIAR project and Baseline survey reporting

An overview of the ACIAR project highlighting the key objectives of the project was presented. The overview also highlighted activities that had already taken place for the project implementation period including:

- Characterization and targeting of farming systems in various landscapes
    - Household survey
    - Marketing survey
    - Land health survey
    - Local knowledge
    - Tree inventory
- Participatory trials established in homestead areas and in crop fields in eight project sites jointly with farmers and the extension
    - Participatory trial 1 – Social and physical fencing for improving the survival and growth of planted seedlings in crop fields to address problem of poor seedling survival rate due to grazing systems
    - Participatory trial 2 – Assessment of different soil moisture retention structures and establishment of fruit and agroforestry tree species in homestead areas
    - Participatory trial 3 – Assessment of the effect of different levels of manure applications on the establishment of some fruit and agroforestry tree species in homestead areas

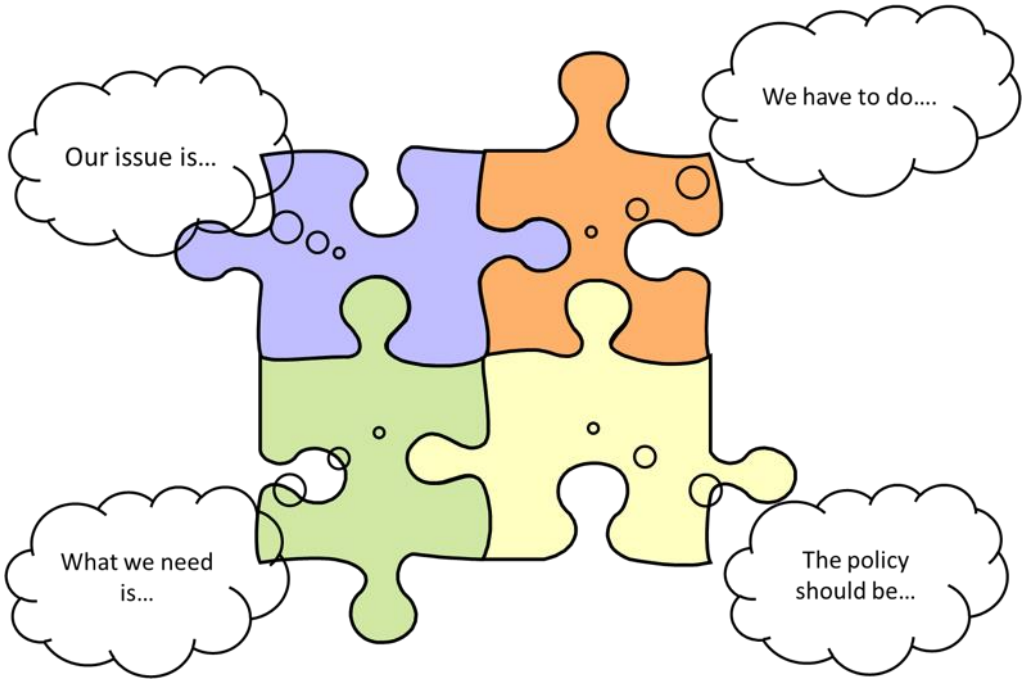
A summary of the baseline study undertaken as part of the ACIAR project in Ethiopia was presented. The presentation gave an overview of the biophysical, socio-economic and institutional barriers to adoption of trees on farm and the need to develop effective strategies for scaling up/out the packages of agroforestry technologies. The extension system in Ethiopia was noted as elaborate, and important to consider given the adoption of a participatory approach as part of the program design. Some challenges were noted as part of this, including a lack of available resources to undertake extension activities. In the context of the baseline study, a number concerns and clarifications were discussed as presented in the table below

CONCERNS	CLARIFICATIONS
Distinction between EGA and TFS specifically on the institutional arrangement	No major distinction, just the branding as a way of encouraging and scaling up AF technology adoption by farmers
Several AF initiatives with similar objectives – have opportunities for synergies amongst these initiatives been explored?	The project engages with existing structures and actors in various quorums to ensure synergies are enhanced. An immediate example is the engagement of all the core actors across the various sectors in the implementation committee
Are the results of the various tree species researched under the EGA project available for informing policies?	Various species have been planted to quantify their impact on productivity and experiments are still in place. An example of a species of interest is acacia which, based on indigenous knowledge, reduced crop production although it is still preferred by farmers because of its many other benefits
What are the other outcome indicators of the project other than the capacity development of national partners?	Several indicators have been developed through the monitoring and evaluation process. Most of these indicators were developed and evaluated through a community level survey approach
Extension packages for AF interventions are available. Clarify on what the baseline research findings consider insufficient?	Very detailed surveys have been conducted that have evidenced the lack of extension capacity to facilitate AF initiatives. Some of these surveys include: 1) Household surveys to understand farmer perceptions 2) Tree inventory and soil characterization surveys 3) Stock taking on existing extension approaches 4) Seeds and seedlings systems surveys 5) Nursery operators surveys 6) Indigenous knowledge surveys

On the issue of inadequate seed species, what is the real issue is it the tree species or the supply system?	Site visits confirmed need [based on demand] for diversified seed species
Issues of land tenure are being managed by the government through enforcing land certification policy, so land tenure is not a problem	Studies have proven that land tenure enables adoption of trees on farm and not the other way round
Free grazing is indeed an issue, what is the way forward?	Policy deliberations with government and across sectors policy actors are already in place to support establishment of a policies which advocate for zero grazing systems
Most AF initiatives have overlooked the demand-driven tree species supply and focused a lot more on supply-driven tree species interventions. How is this project taking into consideration this aspect?	The TFS project takes consideration on demand rather than supply of the various tree species as it appreciates the central role of farmers and benefits derives from the various trees. This is evidenced by the various baseline surveys conducted prior to interventions as they inform and guide the project implementation processes. Currently prioritization of trees species and adoption practices is being conducted
How is the extension system related to the free supply of tree seedlings?	Seedlings are distributed freely for both private and communally owned lands as part of the government policy aspect. A lot of studies have confirmed lack of ownership from such kinds of free distributions. Currently the government is detaching from the free distribution approach and replacing with subsidy approach so that farmers can own these tree seedlings and manage them properly
AF initiatives capitalize on creating a green-cover system in farmlands all year round. To achieve this there is need for diversity of trees. Why is diversity of tree species a challenge in semi-arid areas?	Diversity of tree species experiences a lot of challenges related to water stress. There is need for interventions that integrates sustainable water and AF solutions

Introduction to policy dialogues

The Policy Dialogue process was introduced and it highlighted the issue as being the scaling up of adoption of trees on farm. This process follows four broad steps:



The process for this workshop was introduced as building on the outcomes established during the Woreda Policy Dialogue that engaged the regions of Oromia and Tigray in the month of May. To provide some context on what policy is, a discussion was undertaken to ensure participants understood that policy is not just legislation or acts of parliament, but also incorporates all roles of government including extension services, incentives, institutional arrangements and infrastructure.

During this process, several elements were identified as necessary in addressing the issue that had been established during the Woreda level workshop, and were presented as the framework necessary to undertake a policy dialogue around a particular issue, in this instance, scaling up the adoption of trees on smallholder farms for food security.

The key findings established during the woreda level workshop were presented, including the identified benefits of having trees on farm, as well as the barriers or challenges. A grouping of these identified challenges assisted in the sumation of the five key policy areas identified through the woreda workshop to facilitate the adoption of trees on farm, which included:

1. Free grazing management
2. Water stress
3. Land certification and tenure systems
4. Farmer managed Natural Regeneration
5. Tree selection/ knowledge awareness
6. Pest and diseases
7. Market access for indigenous tree species

Intended workshop outcome

The workshop intended to establish a dialogue within the national framework of the necessary policy changes required to facilitate the scaling up adoption of trees on farm in Ethiopia based on the recommended government policy action identified by the regions.

Scaling Woreda Level Priority issues and Action Plans to the National Scale

Annotated Action Plans

From the Woreda level policy dialogue, action plans were developed based on the four priority issues inhibiting the scaling up of trees on farm. These issues were:

1. Land certification and tenure systems
2. Tree selection knowledge and water stress
3. Farmer managed Natural Regeneration
4. Free grazing management

Participants spilt into four working groups based on their preferred topic of interest to revise the Woreda developed action plan based on a broad set of criteria including:

- Agreement of the issue
- Alignment to current initiatives, actions and agendas – and what they are
- Relevancy of proposed actions
- Recommendations for additional actions
- Relevance to the national/ government agenda

In addition to annotating the Woreda level developed work plans, the working groups were provided with two sets of Zopp cards to record the:

- New Ideas [yellow cards] – which include emerging topics, points arising from the discussion or "light bulb" moments; and
- Road Blocks [pink cards] – the key challenges or barriers that inhibit progress and need to either be resolved or acknowledged in order to proceed.

Groups presented back the annotated work plans, with additions and changes made represented in blue.

Issue	Current initiative	Action	Why	Resources	Lead stakeholders
Land certification **1.** Enables effective administration of farm land (ownership, boundary and demarcation) **2.** Encourages wise utilization by farmers (responsibility) **3.** Provides insurance to farmers **4.** Minimizes border conflict **5.** Barriers/ technical errors to effective implementation of land certification	*Effective land utilization *Land certification system (not fully implemented) *Family planning (balance supply and demand for farmland) *Establishing its own institution *Gender equality on land use right *Human resource development	*Improve capacity to implement/ modernize land certification policy *Provide information on farmers responsibility for managing natural resources on farmlands *Effective organization and technical implementation *Empowering women on land use right *Capacity building	*To reduce the loss of farmlands *To improve the capacity of government staff who implement the land certification policy *Educate farmers on their rights and responsibilities *To have responsible institutions *Women are also equally responsible for land and tree management *to increase performance and coverage	*Land (farmland) *GPS, computers, technical knowledge and capacity (NGOs) *Trained man power and material resources *Gender based extension service *Training material & finance	*All ministries in the government including; MOA/ Bureau of Agriculture *Local administration and agricultural offices *Land administration and environmental protection office *Women and children affair offices *NGOs *University and technical training centres

Issue	Current initiative	Action	Why	Resources	Lead stakeholders
Water stress (the shortage of water in a given area that minimizes the survival rate of the seedlings)	Formulating policies and by-laws at national level for watershed protection	*Capacity building (knowledge / skills and materials) *Efficient water harvesting and utilization practices *Integrated Watershed Management (IWM)	*Effective design establishment *Minimizing loss of water *To increase ground water recharge	*Training materials *Skilled man power and labor *Capital *Improved technologies (cement, drips, sprinklers) *By-laws	*MOA *MWSIE *Community at grassroots level
Tree & Shrub selection (knowledge and awareness creation) and Pests and diseases (to promote trees on farmland and develop tree knowledge base)	*Enabling green economic policies *100 million acacia tree plantation programme launch *Community demand and commitment *Climate change impact *Availability of seed sources and distribution centres at national and regional level	1. Recognizing the role of trees for livelihood and introducing better practices 2. Recognizing the damage from pests and diseases and promoting protection activities 3. Capacity building to farmers / enterprise to provide seed 4. Enhance the understanding of the benefits of species and ecological requirement (species site matching) 5. Create synergy amongst sectors / actors 6. Introduction of new germplasms	*To improve skill and knowledge selection for future *To equip the selection of the necessary equipment *Recognizing role of fast growing species for improved livelihoods (including eucalyptus) *Develop BMP (poverty, spacing, etc.) *Pests and disease protection *To collect and provide fertile and healthy seeds *To generate income *To produce fertile and healthy seedlings	*Human labor / skilled Capacity *Human labor *Capital *Human labor *Seed laboratory *Capital	*MoEF *FRI *Seed sectors *MOFED *MOA *NGOs *Community *Learning institutions *FRI *MOA *Farmers *MoEF *FRI *MOA *Farmers *MoEA *Religious institutions *NGOs

			*To generate income		

Issue	Current initiative	Action	Why	Resources	Lead stakeholders
Lack of market for indigenous tree species	Facilitating the formulation of policies and laws that enable free market access for indigenous tree species	*Awareness creation *Policy advocacy and lobbying	*Inform determining actors of the problems faced with the current forest law and benefits of the new law	*Experts *Networks *Access to policy makers *Finances	*MP *Good NGOs
Free grazing management (every one's livestock graze freely on all farmlands without restriction especially after crop harvest that prevent generation of tree growth on the farm	Free grazing policy formulated at national/ federal level *Livestock destocking through improved breeds *Distributing communal lands to landless group (eg. Youth) *National dialogue on Free Grazing	*Translating national policy to local conditions (Formulate local by-laws) *Draft policy validation *Awareness creation *Monitoring and evaluation	*Effective implementation and acceptance *Identify and fix drawbacks	*Finances *Manpower *Knowledge sharing as technologies and approaches can be learnt from other countries	*Office of Agriculture/ NRM *Community *Administration office * NGOs *Educational sectors *Media * Religious institutions

Reflections and Emerging themes

During the reporting back of the annotated work plans, a number of reflections were discussed by each work group as follows

1) ***Group 1: Land certification***
    a. Existing initiatives to support land ownership by women – Enforcement of government policies based on the human rights requirements are already in place to ensure women have an equal opportunity to make decisions on land issues. The ongoing land certification process involves both men and women as an incentive of appreciating women engagement in management of trees on farmlands

2) ***Group 2: Tree selection knowledge/ Water stress***
    a. Mass mobilization as a positive initiative that works best for addressing water stress, how practical is it for AF interventions? – Organized mass mobilization with a well-established awareness exercise as an initiating background is very effective for AF interventions

    b. Most watershed/ water harvesting structures come with a lot of fatal damages and that has always been a disincentive to control for water stress specifically for the case of Ethiopia, what could be the way forward specifically if it will also influence adoption of trees of farmlands? – Trade-offs at times cannot be controlled but provides for options for balancing benefits and losses. An immediate option for the case of Ethiopia has been to securely fence these watershed structures to control for such so it does not appear as a disincentive

3) ***Group 3: Farmer Managed Natural Regeneration [FMNR]***
    a. How come farmers are not involved in the process as stakeholders but are expected to be part of the action? – That comes in as a road block within our strategy as it denies farmers the sense of ownership and yet they are central in taking action or adopting these initiative. The underlying assumption is that the approach is not labor intensive and does not require much attention from the farmers although it does not take into consideration controlling for free grazing which negatively affects FMNR
    b. How informed/ knowledgeable are farmers on FMNR adoption mostly when you depend on them for scaling up? – That is also another challenge that affect scaling up FMNR as farmers are not adequately informed on the same.
    c. Is FMNR action or policy in itself? – FMNR can be both as a policy to promote tree planting and as action to assist in management for natural regeneration

4) ***Group 4: Free grazing management***
    a. Free grazing in the pastoralist areas uses the shifting approach as a grazing system and a climate mitigation approach, what's your take on that now that you have mentioned free grazing as a hindrance to adoption of trees on farm? – The shifting

approach is also a worthy initiative as long as the shifting does not take place on farming lands. Most of the pastoralist lands are in the semi-arid areas and much adoption of trees on farm takes place in the highland areas but there is always so much of trans boundary conflict that comes along with the free grazing

b. What is the time scale of the policy being developed and how will it control for the pastoralists free grazing culture and tradition? - There is already a free draft policy that has been presented to the government to help control on free grazing and it should be for a longer time scale with demand-driven review processes to update based on the growth intensity of free grazing. This draft policy takes into consideration the traditional and cultural aspects so that it is inclusive and viable for all.

New Ideas and Road Blocks

Several new ideas and road blocks that were identified by the working groups for discussion, included:

Work plan issues	New Ideas	Road Blocks
Free Grazing Management	• National dialogue on Free Grazing to be held • Livestock destocking through improved breeds • Resolve conflict between communities (pastoralist) • Manage agro-ecological zones based on farming systems • Harmonization of policies for Grazing Management (Livestock, Trees & Crops) • Creating synergy among sectors / actors	• Free Grazing • Grazing Management Policy may not work in all areas • Ministries with conflicting agendas • Oxen farming system • Controlled grazing in transient pastoralist communities
Extension Systems and Research	• Extension systems • Use extension systems to disseminate research on improvements of agroforestry systems Gender based management approaches • Understanding on biology, uses and ecological requirements of species • Improved (targeted) research • Pest & Disease • Organized mass mobilization • Micro catchment water harvesting structure • Use of Platforms (multi-stakeholder processes)	
Land Certification and Tree Tenure	• Land certification should include / register the resource on the land e.g. Trees • Distributing communal land to landless groups (e.g. Youth) • Indigenous tree species market access	• Strategies for communal land versus private land • Land certification should address tree management on rented land • Farmers perception of trees on farm
Seedling Supply and Diversity	• Concerning seed source initiative – improving both formal and informal seed dealers • Introduction of new germplasms • Concerning seed source supply systems • Appropriate silvicultural management • Tree selection • Capacity building on seed enterprise / informal seed dealers	•

Policy Dialogue on Key Emerging Cross-Cutting Issues

Out of the road blocks and new ideas developed four key themes areas are identified. These theme areas are targeted at establishing favorable policy environment:

1) Free grazing management [AEZ, conflict management, policy harmonization, destocking of local breeds]
2) Land certification and tree tenure [women engagement in land ownership processes and decision making, cultural perceptions]
3) Seedlings supply and diversity [tree species selection, seed supply chain/ processes]
4) Extension systems and research [targeted research based on AEZ, Multi-stakeholder processes]

Groups were formed around these cross cutting issues and provided with a framework to facilitate the discussion around the key questions of:

1. What is the issue?
2. What needs to be addressed – Who & How?
3. Identify 3 key actions / recommendations / policies

KEY THEME AREA	Free grazing management
What is the issue?	Free grazing limits survival and growth of tree/ shrubs seedlings
What needs to be addressed [how & who]?	1) Awareness creation, trainings and workshops targeting pastoralists and other livestock investors 2) Formulation of community focus groups for the purpose of developing local by-laws and regulations
Key policies/ actions	1) Formulate policy on zero grazing 2) Limit the number of livestock per unit square and promote improved breeds 3) Develop and promote improved forage/ fodder species
KEY THEME AREA	**Land certification & tree tenure**
What is the issue?	Farmer tenure rights on trees investments in their farmlands
What needs to be addressed [how & who]?	1) Land certification: Capacity development and refining implementation modalities 2) Tree tenure: Enabling full ownership rights over trees on certified land/ clarifying ownership rights on rented out lands
Key policies/ actions	1) Capacity development/ empowerment of grassroots levels of government to address irregularities 2) Tree tenure rights to be incorporated into existing land certification policy 3) Promotion of legal marketing of tree products

KEY THEME AREA	Seedlings supply and diversity
What is the issue?	Quality and type of tree seedlings supplied
What needs to be addressed [how & who]?	1) Seed supply systems 2) Incentives for community seedlings distributors 3) Establishment of effective and reliable tree nurseries
Key policies/ actions	1) Standardization of tree nurseries and their management practices 2) Quality assurance [standardization and certification] on seeds being supplied 3) Regulation of market prices of tree seedlings 4) Establish tree seedlings regulatory body that authorizes distributors 5) Comprehensive tree demand survey to inform on the supply 6) Support seed domestication, extension and research on improvement and supply of indigenous tree species
KEY THEME AREA	Extension systems and research
What is the issue?	1) Agroforestry extension packages 2) Integration of agroforestry research and extension services
What needs to be addressed [how & who]?	1) Selecting objective based agroforestry extension packages that takes into consideration various AEZ 2) Validation and reinforcement of existing agroforestry extension packages 3) Capacity building on agroforestry extension 4) Strengthening forestry and agroforestry extension services 5) Strengthening the linkage between agroforestry research and extension
Key policies/ actions	1) Putting in place an agroforestry policy that supports planting of trees on farmlands 2) Formulating implementation guidelines for existing forestry policies 3) Sensitizing policy makers and implementers on the need and benefits of practicing agroforestry 4) Institutionalizing cross-sectoral integration and harmonization of existing policies

APPENDIX I

WORKSHOP PROGRAMME

National Policy Dialogue Workshop

Beshale Hotel
Addis Ababa, Ethiopia

17th July, 2014

8.30 – 9.00	Arrival and registration
9.00 – 9.30	Introduction and meeting objectives
9.30 – 9.40	Welcome remarks
9.40 – 10.00	ACIAR Project Introduction
10.00 – 10.20	Project baseline study findings
10.20 – 10.30	Questions and clarifications
10.30 – 11.00	Morning Tea
11.00 – 11.30	Introduction to Policy Dialogues and Questions
11.30 – 13.00	Group Work and Report back on Woreda Level Priority issues and Action Plans
13.00 – 14.00	Lunch
14.00 – 15.00	Dialogue on cross-cutting themes and missing priorities
15.00 – 16.30	Policy Dialogue Discussion on priority themes and action points
16:30 – 16:50	Tea
16.50 – 17.00	Conclusion and Wrap-up

APPENDIX II

ATTENDANCE LIST

No	Name	Organization/ Institution
1	Abayneh Deraro	EIAR/ FRC
2	Abebe Eshete	FRC
3	Alemeyenu Negassa	FRC
4	Biruk Birhan	Merkassa Agricultural Research Centre
5	Clinton Muller	ICRAF Nairobi
6	Ermias Alemu	ICRISAT
7	Evelyne Kiptot	ICRAF Nairobi
8	Fanto Urago	Agriseed
9	Feyisa Mideksa	Agriculture
10	Girma Eshete	Forestry Research Centre
11	Girmay Gebru	Makerere University
12	Jonathan Muriuki	ICRAF, Nairobi
13	Kiros Hadgu	ICRAF, Ethiopia
14	Kossim Dedetu	WECFNR
15	Melaku Tadesse	SLMP/MOA
16	Mesgebu Senbeto	DARI, BARC
17	Misganu Dida	Agriculture
18	Molugeta Seyooin	Bako Agriculture Research Centre
19	Nigusse Hagazi	Tigram Agricultural Research Centre
20	Shifa Yusuf	Agriculture
21	Shiferaw Tadeku	Bako Agricultural Research Centre
22	Shimels Tadess	EIAR
23	Tahir Hedeto	Agriculture
24	Takoutsing Bertin	ICRAF, Cameroon
25	Turucha Belgouda	Eden Field ALE
26	Verrah Otiende	ICRAF, Nairobi
27	Woldeyohannes Fantu	EIAR
28	Work Abdo	Lume Woreda Agricultural Office
29	Yassin Hussein	Agriculture
30	Yohowen Fantu	EIAR
31	Zerihun Adeneu	MEF