

ASB MEDIUM TERM PLAN

2007 – 2009

JUNE, 2006

Mapping of Alternative to Slash-and Burn Outputs to the CGIAR System Priorities

New Outputs CGIAR System Priorities	ASB-1: Action- oriented iRNM research in the tropical forests margins		
	ASB.1.1 Knowledge on development- conservation tradeoffs in the tropical forest margins	ASB.1.2 Global network for the tropical forest margins	ASB.1.3 Enhanced capacity of partners to generate knowledge and develop workable interventions
1a Conservation and characterisation of staple crops			
1b Conservation and characterisation of under-utilised PGR			
1c Conservation of indigenous livestock			
1d Conservation of aquatic animal genetic resources			
2a Maintaining and enhancing yields of staple crops			
2b Tolerance to selected abiotic stress			
2c Enhancing nutritional quality and safety			
2d Genetic enhancement of selected species to increase incomes			
3a Increasing income from fruit and vegetables			
3b Increase income from livestock			
3c Enhancing income through increased productivity of fisheries			
3d Sustainable income from forests and trees	Secondary	Secondary	Secondary
4a Integrated land, water and forest management	Primary	Primary	Primary
4b Sustaining and managing aquatic ecosystems for food and livelihoods			
4c Improved water productivity			
4d Sustainable agro-ecol.intensification in low- and high-potential areas	Primary	Primary	Primary
5a Science and technology policies and institutions	Secondary	Secondary	Secondary
5b Making international and domestic markets work for the poor	Secondary	Secondary	Secondary
5c Rural institutions and their governance	Secondary	Secondary	Secondary
5d Improving R&D options to reduce rural poverty and vulnerability	Secondary	Secondary	Secondary

The ASB won the CGIAR's Partnerships Award in 2005. The ASB exemplifies cross-institutional collaboration because it bridges agriculture and environment, and because it operates at international, national, and local levels. The external evaluation report of ASB commented: "As effectively as any organization we know, it (ASB) has used systematic reflection on its own research and experience not only to learn better answers to its original questions, but also to learn better questions to ask."

Systemwide Programme: Alternatives to Slash-and-Burn (ASB)

ICRAF Project ASB: Alternatives to Slash-and-Burn

Project Goals:

- Poor people have secure access to resources, food security, and a voice in land-use decisions.
 - Livelihood options for the rural poor expand, based on natural resource management practices that improve livelihoods while conserving biological diversity and essential environmental services.
 - Globally-significant tropical rainforest habitat is conserved. (Note: much globally-significant habitat is outside protected areas.)
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Project Objectives:

ASB.1: Knowledge on development-conservation tradeoffs in the tropical forest margins

- Influential individuals' awareness increases and their attitudes and mindsets change regarding smallholders' sustainable development potential and the driving forces, tradeoffs, and effective responses to 'win more and lose less'.
- Public awareness and understanding of driving forces, tradeoffs, and effective responses is transformed.
- Spread of new knowledge and better understanding of driving forces, tradeoffs, and effective responses within various scientific disciplines and among policy shapers.

ASB.2: Global network for the tropical forest margins.

- Leading research, development, and conservation organizations collaborating on a coordinated suite of interventions at multiple scales.
- Improved flow of knowledge and practical insights among scientists, policy shapers, civil society activists, and local people.
- Multidisciplinary, multi-institutional, multi-cultural science becomes the accepted paradigm for natural resource assessments, research, development, and education.

ASB.3: Enhanced capacity of partners to generate knowledge and develop workable interventions

ASB partners in the tropics have capabilities and resources that will enable them to rise to the unconventional challenges they now face in balancing environment and development objectives.

Changes and Rationale for the Project

Tropical rainforests are falling fast. Causes of deforestation are complex, including agricultural expansion, road building, and market forces. Deforestation often is blamed on the slash-and-burn practices of poor migrant smallholders, millions of whom do clear and cultivate small areas of forest by this method. However, other groups often clear much larger areas, leading to conflict with smallholders. These include plantation owners, ranchers, loggers, and state-run enterprises and settlement projects. For the poor people making a living in the tropical forest margins, conservation does not (yet) pay. Attempts to impose conservation by regulation either fail altogether or benefit the powerful at the expense of the poor. Moreover, global markets do not value the environmental benefits of tropical forests. Until we address the tradeoffs between conservation and local livelihoods, tropical rainforests will continue to disappear. No single group or organization has the means or expertise to tackle these complex, interlinked problems by itself.

Specifically, the ASB MTP for 2007-2009 includes:

Implementation of external review recommendations:

- **Knowledge Communication strategy:** Medium Term strategy, Monitoring and Evaluation (M&E).
- **Policy Outcome strategy:** Develop a policy outcome strategy, Develop M&E systems and indicators for policy outcomes.
- **Strategy for Capacity Building and Institutional Strengthening:** Develop a capacity building strategy and a way to assess its effectiveness, Develop M&E systems and indicators for capacity building and institutional strengthening outcomes.
- **Fundraising strategy:** Comprehensive fundraising strategy, roles of the actors operating at different levels within the programme in conjunction with efforts, institutional incentives.
- **Develop of a comprehensive, targeted dissemination strategy** including communication of knowledge, shaping policies and other outcomes, and enhanced visibility of ASB: Identify ASB's most important audiences, Assess the degree of coincidence between intended target and actual outreach results, and the causes of possible divergence, and Design outreach paths and techniques to reach intended audiences more effectively
- **Broadening stakeholder input to ASB governance:** Develop mechanisms so that decision making is open to input from GSG new members, and from stakeholders in the ASB domain not formally represented on the GSG.
- **External Advisory group of scholars and practitioners:** Global Coordinator will work with the GSG to develop external advisory committee terms of reference, and ASB will implement this recommendation as soon as possible.
- **Mapping through the future of ASB:** Led by the GSG with facilitation from the Global Coordinator, ASB stakeholders to identify and evaluate future paths for the ASB Consortium in a fully consultative process.
- **Results-based management, monitoring, evaluation, and impact assessment:** Develop and implement monitoring and evaluation systems for ASB inputs, outputs and their uptake based on the Panel's findings.

Alignment with CGIAR System Priorities

ASB is addressing three interlinked problems of global significance:

- Chronic mass poverty in the humid tropics
- Continuing loss of globally-significant habitat in the humid tropics
- Tradeoffs between poverty reduction and habitat conservation

The Review team concluded that the partnership continues to be highly relevant to the CGIAR's goals and is pursuing work that fits well with the CGIAR System Priorities, notably Priority 4a, "Integrated land, water and forest management at landscape level", and

- sustaining and realizing the value and benefits of forests and trees
- ensuring access by the poor to forest and tree resources
- improving policies and governance of environmental resources

Of critical importance is the fact that the ASB SWP is the only global forum for people working on these priority issues specifically in tropical forest margins.

Description of Impact pathways

- **ASB Output 1:** Knowledge generation and communication to influence science, policy, private sector, and public awareness of development-conservation tradeoffs and thereby raise the level of awareness of real challenges, public debate about alternatives, and support for appropriate policy reform and research, development, and education investments.

Outcomes: Improved awareness and understanding of driving forces, tradeoffs, and appropriate responses by policy makers, scientists, and public; including awareness of need to integrate new natural resource management (NRM) practices and better governance as well as understanding that this integration is feasible.

Impact (on CGIAR goals): Improved policies that have a major impact on agricultural development, the spread of new technologies, and the management and conservation of natural resources.

- **ASB Output 2:** Sustaining and developing the only global network devoted to work on the tropical forest margins. Development and diffusion of new organizational learning and change processes that link integrative science with policy and practice in the search for better approaches to poverty reduction, natural resource management, and rainforest conservation.

Outcomes: Workable organizational structures and processes identified and implemented that link integrative science with policy and practice in the search for better approaches to poverty reduction, natural resource management, and rainforest conservation. New ways of “doing business” in the CGIAR and other international organizations emerge.

Impact (on CGIAR goals): Building pantropic capacity to develop innovative practices for sustainable management of natural resources in the tropical forest margins and the institutional and policy innovations needed to support sustainable resource management and conservation of globally-significant habitats.

- **ASB Output 3:** Training and other investments to strengthen capacity of ASB partners to lead and sustain their own programs of integrated assessment, research, development, communication, education and action for poverty reduction, natural resource management, and rainforest conservation.

Outcomes: stronger institutions in developing countries; investments in people (primarily in developing countries) who can contribute to the search for solutions to the global problems of mass poverty and loss of natural habitat.

Impact (on CGIAR goals): Enhanced capabilities of national agricultural research systems (NARS), other institutional partners, and individuals through joint research, training, mentoring, and knowledge-sharing.

A 2005 external review and impact assessment found that ASB:

- “... contributed directly to the design of innovative policies, legislation, and institutions across the pantropic domain.”
- “... [is] the world’s leader in integrated, interdisciplinary research on the human and environmental consequences of land use choices in that domain.”
- “... has already begun to influence natural resource management in ways that have led not only to income and environmental benefits but also to avoidance of substantial economic and environmental losses, as well as occurrence of damaging conflict.”
- “...was cited by many as their ‘standard’ for how productive international collaboration on NRM [natural resource management] challenges should be organized.”

Target Ecoregion(s)

ASB works at the margins of the world’s remaining tropical rainforests, in landscape mosaics comprising both forests and farms. These rainforests are an invaluable natural heritage. They are also home to over one billion rural people, the vast majority of whom are poor and depend directly on forest resources and agriculture for their livelihoods.

1. Sub-Saharan Africa

RAEZ 3 Warm humid tropics (AEZ 3): Cameroon

2. Asia and the Pacific

RAEZ 10 Warm humid tropics (AEZ 3): Indonesia, Philippines and Thailand.

3. Latin America and the Caribbean

RAEZ 17 Warm humid tropics (AEZ 3): Brazil and Peru

Beneficiaries and end users

Current estimates by ASB indicate that more than 1.8 billion people live within this humid tropical and subtropical forest biome; of these 1.2 billion are rural people. Most are poor households directly dependent on forest resources and agriculture for their livelihoods. Other poor households suffer indirectly from waste of these resources and environmental degradation. Because ASB's target ecosystems supply global public goods (globally-significant habitats and carbon storage), beneficiaries also include the Earth's entire population.

Research Approach to Develop International Public Goods (IPG)

(1) Knowledge and attitudes: improved awareness and understanding of driving forces, tradeoffs, and appropriate responses by policy makers, scientists, and public; including awareness of need to integrate new natural resource management (NRM) practices and better governance as well as understanding that this integration is feasible (scales: global, continental/regional, national)

(2) New practices: diffusion, adaptation, and adoption of new NRM practices by smallholders; including improved germplasm and technological innovations (scales: continental/regional, national, local).

(3) Appropriate incentives: institutional innovations to create rewards that value global public goods and other environmental services marketing and trade policy reforms that reduce perverse incentives

(4) Better governance: implementation of institutional innovations and policy reforms that support adoption of appropriate practices and secure access to resources for the rural poor and conservation of globally-significant habitat (scales: global, continental/regional, national, local); integration of development and environment strategies at the national level.

(5) Organizational capacity: stronger institutions in developing countries; new ways of "doing business" in the CGIAR and other international organizations; investments in people (primarily in developing countries) who can contribute to the search for solutions to the global problems of mass poverty and loss of natural habitat.

Collaboration

ASB is a multi-level, global consortium of more than 80 institutions governed by a Global Steering Group.

The global consortium includes:

- 5 international agricultural research centres (CIAT, CIFOR, ICRAF, IFPRI, and IITA)
- 6 national systems (Brazil, Peru, Cameroon, Thailand, Indonesia, and the Philippines)
- 7 local and national NGOs in developing countries
- 8 other national agencies in developing countries
- 13 universities in developing countries
- 14 advanced research institutions and international organizations.

The ASB consortium received the CGIAR Science Award for "Outstanding Partnership" in 2005. The ASB partners play **complementary roles in providing funding, expertise, governance, coordination, and bridges to impact in pursuing their common goal: to raise productivity and income of rural households in the humid tropics without increasing deforestation or undermining essential environmental services.**

ASB's Global Coordination Office supports and coordinates the work done by over 80 partner organisations, including five international agricultural research centres, 13 national research and development programmes, 20 non-governmental organizations and a variety of local community groups. A Global Steering Group made up of 12 representative organizations – balancing institutions and perspectives from the South and the North – serves as ASB's governing body. The Group determines priorities and approves annual work programmes, budgets and the allocation of funding. The programme is hosted by the World Agroforestry Centre (ICRAF), which provides a variety of institutional support, including financial controls. The Board of Trustees of ICRAF have fiduciary responsibility for the ASB programme.

This dynamic global consortium achieves impact through close collaboration at the local and national levels. Building effective teams for research and action on the complexities of natural resource management has required significant investment of human and financial resources since ASB's inception in 1994. Today ASB is drawing on an investment of over US\$65 million that has accrued over the past decade in the form of exhaustive baseline studies at the consortium's benchmark sites and participatory development of sustainable alternatives and which is embodied in the talents and skills of its numerous research partners.

Institutional sustainability at the local and national levels of the Programme derives from ASB's participatory approach. This has been accomplished by sustained collaborative activities among ASB partners at the benchmark sites. As national institutions are full partners in ASB governance, they play a central role in setting priorities for the consortium and allocation of funds and have a sense of ownership of the ASB agenda.

ASB's effectiveness depends in no small part on a demonstrated ability to engage talented people and sustain their commitment. ASB researchers comprise a very diverse group with respect to discipline, gender, and geographic origin. Participants cite the intellectual opportunities and excitement provided by ASB as major factors in their decisions to engage and remain engaged in programme activities.

ASB's popularity and longevity is also thought to be the result of its flexibility, lack of bureaucracy, and the fact that it minimizes costs for its members. This enables ASB to learn and adapt in response to scientific results, lessons learned in the field, and better understanding of users' needs that comes through participatory engagement. ASB is evolving beyond its original scope to encompass a much broader exploration of options for shaping tropical land use.

ASB participating institutions

The following two groups are members of the ASB Global Steering Group

International Agricultural Research Centres on Global Steering Group

Center for International Forestry Research (CIFOR) (GSG Chair)
International Centre for Tropical Agriculture (CIAT) and Tropical Soil Biology and Fertility Institute (TSBF)
International Food Policy Research Institute (IFPRI)
International Institute for Tropical Agriculture (IITA)
World Agroforestry Centre (ICRAF)

National Agricultural Research Systems on Global Steering Group

Agency for Agricultural Research and Development (AARD), Indonesia
Empresa Brasileira de Pesquisa Agropecuária (Embrapa), Brazil
Institut de Recherche Agricole pour le Développement (IRAD), Cameroon
Instituto Nacional de Investigación Agraria (INIA), Peru
Philippine Council for Agriculture, Forestry and Natural Resources Research and Development (PCARRD), Philippines

Royal Forest Department (RFD), Thailand

Other main developing country partners (by region).

(All are public institutions or NGOs in developing countries, except where indicated by an asterisk).

Amazon

Amazon Initiative Consortium (AI), Brazil
Asociación de Mujeres Campesinas de Ucayali (AMUCAU), Peru
Asociación de Productores de Semillas Mejoradas, Plantones, y Madera de Alta Calidad (PROSEMA), Peru
Asociación para la Conservación de la Cuenca Amazónica (ACCA), Peru
Consortio de Desarrollo de Ucayali (CODESU), Peru
Grupo Empresarial Amazonico del Peru S.A. (GEA), Peru
Instituto de Investigaciones de la Amazonia Peruana (IIAP), Peru
Instituto Nacional de Recursos Naturales (INRENA), Peru
Pacha Mama Amazonia, Rio Branco, Brazil
PESACRE, Rio Branco, Brazil
Universidad de Ucayali (UNU), Peru
Universidad de la Amazonia Peruana (UNAP), Peru
Universidad Nacional Agraria La Molina (UNALM), Peru
Universidade de Brasilia, Brazil
Universidade Federal de Lavras, Brazil

West and Central Africa

Central Africa Regional Program for the Environment (CARPE), Cameroon
Ngul Nti ("Strength of God") Farmer Group, Cameroon
Sustainable Tree Crops Programme (STCP), coordinated by IITA, Cameroon
Twan-Toh Mixed Farming Common Initiative Group (MIFACIG), Cameroon
Universite D'abobo-Adjame, Cameroon
University of Yaoundé, Cameroon

Other Africa

Gestion des Espaces Ruraux et de l'Environnement à Madagascar (GEREM), Institut de Recherche pour le Développement (IRD), Madagascar

Southeast Asia

Association of Indonesian Rubber Processors (GAPKINDO)*
Bogor Agricultural University (IPB), Indonesia
CARE-Thailand
Center for Agro-Socioeconomic Research (CASER), Indonesia
Center for Soil and Agroclimate Research (CSAR), Indonesia
Chiang Mai University (CMU), Thailand
Claveria Landcare Association, Philippines
Family of Nature and Environment Lovers-Lampung (Watala), Indonesia
Forest Products and Socio-Economics Research Development Center (FPSERDC), Indonesia
Forestry and Estate Crops Research and Development Agency (FORDA), Indonesia*
Gaja Made University, Indonesia
Human Kemasyarakatan (HKM) Associations, Indonesia
Indonesian Tropical Institute (LATIN), Indonesia
Lampung University, Indonesia
Lantapan Landcare Association, Philippines
Ministry of Natural Resources and Environment (MoNRE), Thailand

Misamis Oriental School of Agriculture & Technology, Philippines
National Agriculture and Forestry Research Institute (NAFRI), Laos
Philippine Council for Agriculture, Forestry and Natural Resources Research and
Replanting and Land Rehabilitation Division, Department of Forestry, Indonesia
Rewarding the Upland Poor for Environmental Services (RUPES) Project
Rubber Research Institute, Sembawa, Indonesia
Southeast Asian Regional Centre for Tropical Biology (SEAMEO-BIOTROP), Indonesia
University of Brawijaya, Indonesia
University of the Philippines, Los Baños, Philippines

International Organizations and Investors

Australian Centre for International Agricultural Research (ACIAR)
Below-ground Biodiversity Project, coordinated by TSBF Institute
Centre de Cooperation Internationale en Recherche Agronomique pour le Développement
(CIRAD), France
Centre for Biodiversity Management (CBM), Australia
Colorado State University, USA
Consultative Group on International Agricultural Research (CGIAR)
Cornell University, USA
Danish International Development Agency (DANIDA)
Department of Ecology, Faculty of Biology, Universidad Complutense de Madrid, Spain
Development Research Group of the World Bank, USA
Earth Institute at Columbia University, USA
EcoAgriculture Partners, USA
Forest Trends, USA
Global Environment Facility (GEF)
Global Partnership on Forest Landscape Restoration (FLR)
Government of Norway
Government of the Netherlands (DGIS)
Harvard University, USA
Institut de Recherche pour le Développement (IRD), France
International Fertilizer Development Center (IFDC)
International Institute for Sustainable Development (IISD), Canada
Millennium Ecosystem Assessment
Rainforest Challenge Partnership (IUCN – World Conservation Union, Worldwide Fund for
Nature - WWF, ICRAF – World Agroforestry Centre, and others)

Systemwide Programme: Alternatives to Slash-and-Burn (ASB)

ICRAF Project ASB: Alternatives to Slash-and-Burn (ASB)			
Output ASB.1: Knowledge on development-conservation tradeoffs in the tropical forest margins			
Output Targets	Intended Users	Outcomes	Impacts
2007 Knowledge: A comprehensive, targeted dissemination strategy including communication of knowledge, shaping policies and other outcomes, and enhanced visibility of ASB.	Scientists, Donors, Policy makers and policy analysts, university teachers and students NGOs.	Knowledge and attitudes: improved awareness and understanding of driving forces, tradeoffs, and appropriate responses by policy makers, scientists, and public; including awareness of need to integrate new natural resource management (NRM) practices and better governance as well as understanding that this integration is feasible (scales: global, continental/regional, national) New practices: diffusion, adaptation, and adoption of new NRM practices by smallholders; including improved germplasm and technological innovations (scales: continental/regional, national, local). Appropriate incentives: institutional innovations to create rewards that value global public goods and other environmental services marketing and trade policy reforms that reduce perverse incentives.	Knowledge generation and communication to influence science, policy, private sector, and public awareness of development-conservation tradeoffs and thereby raise the level of awareness of real challenges, public debate about alternatives, and support for appropriate policy reform and research, development, and education investments.
2008 Policies/Strategies: A policy outcome strategy. Complimentary global, regional and national communication strategies and an overall publication strategy for the consortium	Policy makers and policy analysts, university teachers and students.		
2009 Knowledge: Define parameters for measuring success-both direct and indirect and document the impacts of the programme's knowledge products on key audiences, including but not limited to publications impact factors.	Scientists, Donors, Policy makers and policy analysts, university teachers and students NGOs. Scientists, Donors, Policy makers and policy analysts, university teachers and students NGOs.		

Output ASB.2: Global network for the tropical forest margins			
Output Targets	Intended Users	Outcomes	Impacts
<p>2007 Capacity: Complete renaming and rebranding ASB. Comprehensive fundraising strategy, clarification of roles of the actors operating at different levels within the programme in conjunction with improved institutional incentives; external advisory committee terms of reference. External advisory committee appointed. Develop and implement monitoring and evaluation systems for ASB inputs, outputs and their uptake.</p>	<p>International and national research institutions International and national research institutions. International and national research institutions.</p>	<p>Better governance: implementation of institutional innovations and policy reforms that support adoption of appropriate practices and secure access to resources for the rural poor and conservation of globally-significant habitat (scales: global, continental/regional, national, local); integration of development and environment strategies at the national level.</p>	<p>Sustaining and developing the only global network devoted to work on the tropical forest margins. Development and diffusion of new organizational learning and change processes that link integrative science with policy and practice in the search for better approaches to poverty reduction, natural resource management, and rainforest conservation</p>
<p>2008 Capacity: Institutional mechanisms so that decision making is open to input from GSG new members, and from stakeholders in the ASB domain not formally represented on the GSG; ASB stakeholders to identify and evaluate future paths for the ASB Consortium in a fully consultative process. Global Coordination Office will develop and implement standard comparative metrics in the areas in which it works.</p>			
<p>2009 Capacity: Impact assessment methods to document ASB impacts in the areas in which it works.</p>			
Output ASB.3: Enhanced capacity of partners to generate knowledge and develop workable interventions			
Output Targets	Intended Users	Outcomes	Impacts
<p>2007 Capacity: Strategy for bringing young scientists along and into leadership positions within the network.</p>	<p>International and national research institutions. International and national research institutions. International and national research institutions.</p>	<p>Organizational capacity: stronger institutions in developing countries; new ways of “doing business” in the CGIAR and other international organizations; investments in people (primarily in developing countries) who can contribute to the search for solutions to the global problems of mass poverty and loss of natural habitat.</p>	<p>Strengthened capacity of ASB partners to lead and sustain their own programs of integrated assessment, research, development, communication, education and action for poverty reduction, natural resource management, and rainforest conservation.</p>
<p>2008 Capacity: Capacity building strategy and a way to assess its effectiveness. Start with global and regional needs assessment and work thorough to appropriate outputs and desired outcomes</p>			
<p>2009 Capacity: M&E systems and indicators for capacity building and institutional strengthening outcomes.</p>			