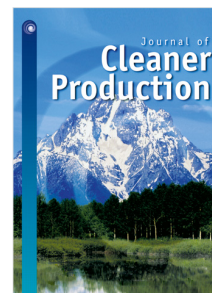


## Journal Pre-proof

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# Can Local Nutrient-Circularity and Erosion Control Increase Yields of Resource-Constraint Smallholder Farmers? A Case Study in Kenya and Uganda

Arabel Amann<sup>a,\*</sup>, Mathew Herrnegger<sup>c</sup>, Jeninah Karungi<sup>d</sup>, Allan John Komakech<sup>e</sup>, Hope Mwanake<sup>c</sup>, Lea Schneider<sup>c</sup>, Christoph Schürz<sup>c</sup>, Gabriel Stecher<sup>c</sup>, Alice Turinawe<sup>f,g</sup>, Matthias Zessner<sup>a</sup>, Jakob Lederer<sup>a,b</sup>

<sup>a</sup>*Institute for Water Quality and Resource Management, TU Wien, Karlsplatz 13/226, 1040 Vienna, Austria*

<sup>b</sup>*Institute of Chemical, Environmental and Bioscience Engineering, TU Wien, Getreidemarkt 9/166, 1060 Vienna, Austria*

<sup>c</sup>*Institute for Hydrology and Water Management (HyWa), University of Natural Resources and Life Sciences, Muthgasse 18, 1190 Vienna, Austria*

<sup>d</sup>*Department of Agricultural Production, College of Agricultural and Environmental Sciences, Makerere University, P.O. Box 7062, Kampala, Uganda*

<sup>e</sup>*Department of Agricultural and Biosystems Engineering, College of Agricultural and Environmental Sciences, Makerere University, P.O. Box 7062, Kampala, Uganda*

<sup>f</sup>*Department of Agribusiness and Natural Resource Economics, College of Agricultural and Environmental Sciences, Makerere University, P.O. Box 7062, Kampala, Uganda*

<sup>g</sup>*Makerere University Agricultural Research Institute (MUARIK), Kabanyolo, P.O. Box 7062, Kampala, Uganda*

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*Abbreviations:* MFA, material flow analysis; UDDT, urine-diverting dry toilets; SSA, sub-Saharan Africa; N, nitrogen; P, phosphorus; K, potassium; KE, Kenya; UG, Uganda; USLE, Universal Soil Loss Equation; MSW, mixed solid waste; gSP, generalized support practices

\*Corresponding author

*Email address:* [aamann@iwag.tuwien.ac.at](mailto:aamann@iwag.tuwien.ac.at) (Arabel Amann)

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## 1     **Abstract**

2     As many regions in sub-Saharan Africa, the border region of Kenya (KE) and  
3     Uganda (UG) has faced a declining soil fertility for decades, resulting from  
4     soil erosion, intensely managed agricultural soils due to population pressure  
5     and small inputs of mineral and organic fertilisers. With limited financial  
6     means, farmers need measures and/or technologies that effectively reduce  
7     nutrient losses or increase inputs at a low cost. In this study, four such  
8     measures are in focus, namely erosion reduction practices, vermicomposting  
9     of animal manure, collection of human urine in jerry cans and, collection of  
10    human excreta in urine-diverting dry toilets. Current soil nutrient balances  
11    in five districts in the Sio-Malaba-Malakisi River Basin and the potential  
12    of these measures to reduce the soil nutrient deficit are studied using the  
13    method of material flow analysis and the software STAN. Furthermore, crop-  
14    nutrient-response functions are used to determine their potential impact on  
15    maize harvests. Overall, results reveal that there exists a non-negligible and  
16    exploitable potential of local resources to reduce the soil nutrient deficit,  
17    improve harvests and in turn food security of the smallholder farmers in the  
18    region. Soil nutrient deficits could be reduced by 20 — 30 %, 23 — 42 % and  
19    9 — 15 % for nitrogen (N), phosphorus (P) and potassium (K), respectively.  
20    Subsequently, maize harvests could be increased by 8 – 40 %, depending on  
21    the applied technology and area. This research provides useful insights for  
22    agricultural extension workers, politicians and researchers alike, highlighting  
23    that simple and easily available technologies can harness similar amounts  
24    of nutrients as more complex and expensive ones if all specific technology-  
25    constraints are adequately incorporated in the analyses.

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26 *Keywords:* Material Flow Analysis , Nutrient Circularity, Erosion, EcoSan,  
27 Urine Collection, Vermicomposting, Crop-Nutrient-Response

## 28 **1. Introduction**

29 Countries in sub-Saharan Africa (SSA) face one of the lowest food-self-  
30 sufficiency rates in the world (van Ittersum et al., 2016; Wichern et al., 2017).  
31 Declining soil-fertility, low labor productivity rates (Ritzema et al., 2017), a  
32 lack of institutional markets, marginal technology-uptake and access rates  
33 (Vanlauwe et al., 2017) as well as excessive population growth and in conse-  
34 quence a decrease in farm size per household (Schreinemachers, 2006) are only  
35 a selection of important contributors to food-insecurity in the region. Even  
36 by closing the existing crop-yield-gap in SSA, a projected two- to threefold  
37 population increase by 2050 is expected to offset these gains in productivity,  
38 and will demand an increase in irrigated areas (Badian & Collins, 2016) and  
39 cropping intensity (Loison, 2015; van Ittersum et al., 2016). In this light, re-  
40 search and governmental efforts to increase agricultural productivity should  
41 remain high.

42 Declining soil-fertility has been and still is the single-most researched fac-  
43 tor related to food-insecurity in SSA (Vanlauwe et al., 2017). Underlying  
44 issues for this decline are manifold, e.g. high erosion rates (Schürz et al.,  
45 2020), limited input of external and inadequate management of on-farm nu-  
46 trient sources and organic matter (Andersson, 2015; Castellanos-Navarrete  
47 et al., 2015), reduced time of land laying fallow due to population pressure  
48 (Tittonell et al., 2008) and a high dependency on rainfall (Barasa, 2014;  
49 Epule et al., 2017). Potential technologies and management practices of all

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50 forms, sizes and costs have been studied to cope with these issues, from simple  
51 reduction of erosion by reduced tillage (Kaizzi et al., 2007) to complex  
52 and cost-intensive biogas technology with the use of digestate as a fertilizer  
53 (Walekhwa et al., 2009; Clemens et al., 2018).

54 Regarding research and dissemination of soil-fertility-conservation technologies  
55 two issues have to be addressed. First, existing research shows a tendency  
56 to focus on an improbable maximum potential that is unlikely achieved  
57 by technology diffusion (see for example Okello et al., 2013; Lederer et al.,  
58 2015). In contrast, after technologies have been installed on-site, a reduced  
59 use or efficiency is however often observed (see e.g. Kariko-Buhwezi et al.,  
60 2011; Barnard et al., 2013; Kwiriringira et al., 2014; Silveti & Andersson, 2019).  
61 Similarly, testing of recycled nutrients in plot trials is often done at or close to  
62 recommended nitrogen-application rates (Chikowo et al., 2004; Kihara et al.,  
63 2016; Amoah et al., 2017), disregarding that organic resources of nutrients  
64 on farms are limited and that recommended application rates can rarely be  
65 achieved. There therefore exists a demand for reality-driven research that  
66 adequately represents technology constraints and resource availability.

67 Second, recent research by Vanlauwe et al. (2017) has highlighted the  
68 drivers involved in the uptake of soil-fertility-related technologies, namely  
69 integrating local farmers from the start (e.g. through Science Technology  
70 Backyards, see: Zhang et al., 2016; Cui et al., 2018), establishing functioning  
71 institutions to enable continuing access to markets and credits, as well as  
72 setting-up or including existing stakeholder-platforms and extension agents  
73 to enhance insight into problems-faced and long-term dissemination efforts.  
74 In addition, the socio-economic status of smallholder farmers should increas-

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75 ingly be taken into account when reaching for wide-spread adoption of new  
76 technologies (Recha, 2018). Recent post-evaluations of biogas plants and  
77 EcoSan toilet dissemination projects showed that smallholder farmers are  
78 often lacking financial means and local repair options, leading to the decay  
79 of said installations (Lwiza et al., 2017; Schneider, 2019). Therefore, with  
80 limited investment into agricultural extension services available, it is crucial  
81 to prioritise the dissemination of technologies that are tailored to regional  
82 requirements and demands, thereby accounting for the large heterogeneity of  
83 SSA farming systems (Badian & Collins, 2016; Recha, 2018).

84 Considering those insights, this study bids farewell to the 'one-size-fits-  
85 all'-approach and attempts to take a closer look into how regional precon-  
86 ditions control the potential of technologies to improve soil-fertility and in  
87 consequence food-security. A major contributor to the declining soil-fertility  
88 is the soil-nutrient-deficit (nitrogen (N), phosphorus (P), potassium (K) and  
89 micronutrients). Many proposed technologies aim at reducing this deficit  
90 to further close the crop-yield-gap. Soil-nutrient-balances, a widely used  
91 method to determine the rate of nutrient-depletion in SSA (see e.g.: Wort-  
92 mann & Kaizzi, 1998; Sheldrick et al., 2003; Nkonya et al., 2005; Snijders  
93 et al., 2009; Lederer et al., 2015), are therefore set-up in this study to deter-  
94 mine the potential impact of technologies on soil-fertility and the crop-yield-  
95 gap. The following research questions are formulated:

- 96 (i) What are the main current inputs and outputs of nutrients in agri-  
97 cultural soils in SSA and to what extent can these differ in regions of close  
98 proximity?  
99 (ii) How does the potential of different technologies to improve soil-

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100 nutrient-balances differ based on the preconditions in a region?

101 (iii) What gains in closing the crop-yield-gap can be expected if differ-  
102 ent technologies reach widespread adoption, depending on regions' precondi-  
103 tions?

104 Three groups of preconditions can be identified, namely (i) the natu-  
105 ral prevalent landscape, (ii) prior existing agricultural practices (crop vari-  
106 eties and rotation, livestock possession, fertilizer use, land sizes) and (iii)  
107 the socio-economic structure of smallholder households. The Sio-Malaba-  
108 Malakisi River Basin in Kenya (KE) and Uganda (UG) is chosen as a case  
109 study, as the region is highly diverse in topography and depicts two different  
110 economies which in turn impacts household structures, financial capacities  
111 and agriculture (see Section 2). Three technology (groups) are selected based  
112 on their simplicity, a diversity in addressed issues, optimistic results from dis-  
113 semination projects and cost-effectiveness, to account for the limited financial  
114 means of smallholder farmers (Kaizzi et al., 2007; Andersson, 2015). These  
115 are (i) erosion reduction practices on agricultural land, (ii) management of  
116 livestock manure by vermicomposting and (iii) human urine collection and  
117 storage in jerrycans. In addition, urine-diverting dry toilets (UDDTs) are  
118 chosen as a means to compare a simplistic measure that does not exploit the  
119 whole nutrient potential of human excrements (urine collection), to a more  
120 cost-intensive measure that does.

## 121 2. Study Area

122 The case study area of the Sio-Malaba-Malakisi River Basin lies at the  
123 border of Kenya and Uganda, delimited by Lake Victoria in the South and

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124 Mt. Elgon in the north (Figure 1). Two counties from the Kenyan side (Bun-  
125 goma, Busia) and three districts from the Ugandan side (Busia, Manafwa,  
126 Tororo) are chosen as individual research units<sup>1</sup>, as they depict areas with  
127 varying proneness to erosion (Figure 1 (b)), agricultural practices and live-  
128 stock ownership (Figure 1 (c)), as well as socio-economic structures (Figure  
129 1 (d)) (see also Table 1).

130 The Sio-Malaba-Malakisi River Basin is dominated by agricultural land  
131 (Figure 1 (a)) and is one of the poorer regions of Kenya and Uganda , with  
132 around 30 – 40 % living below the respective national poverty line (KNBS,  
133 2018; UBOS, 2019). In terms of GDP per capita, and therefore financial op-  
134 portunities, households on the Kenyan side are generally better off than those  
135 in the Ugandan districts (KNBS, 2019b; Wang et al., 2019). Approximately  
136 90 % of all households use pit latrines, and levels of improved sanitation  
137 (urine collection, urine-diverting-dry-toilets, ventilated pit latrines) is < 5  
138 and < 1 % for Kenya and Uganda, respectively.

139 Main soil-types in the region are low to medium fertility ferralsols and  
140 acrisols in the southern part and high fertility nitisols in the northern part  
141 (Sombroek et al., 1982; NARO & NARL, 2017). While the southern units  
142 of Busia (UG), Busia (KE) and Manafwa show only gentle inclinations, the  
143 northern units of Bungoma and Manafwa at the foot of Mt. Elgon feature  
144 moderate to steep slopes and a higher soil loss (ESA, 2017; Schürz et al.,  
145 2020). More than 80 % of households are engaged in agriculture (ASDSP  
146 et al., 2014; MoALF, 2016; UBOS, 2016a) and the share of cropland on total

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<sup>1</sup>Districts and counties, if mentioned collectively, are hereby referred to as 'units' for reasons of simplicity

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147 area ranges between 55 % in Busia (KE) to 82 % in Manafwa. More than  
148 half of the agricultural households on the Kenyan side use mineral fertilizer,  
149 while use on the Ugandan side is low. Livestock ownership of households in  
150 the units varies between 13 to 46 % for cattle and 57 to 70 % for chicken  
151 (Table 1).

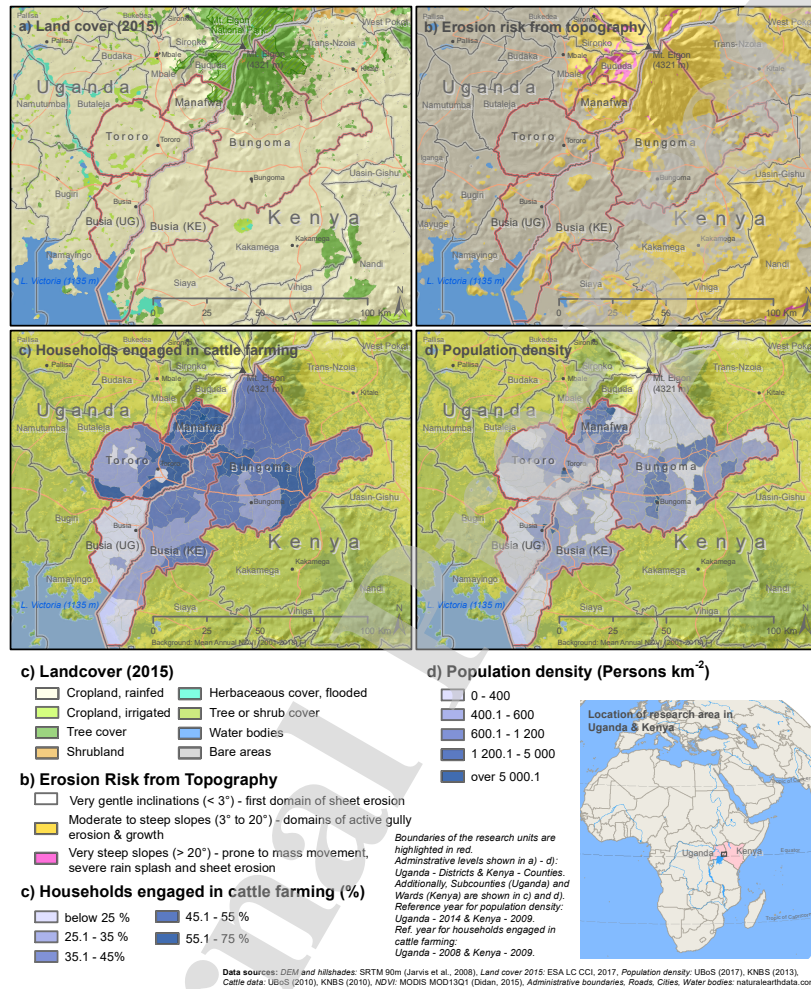


Figure 1: Study area in the border region of Kenya and Uganda between Lake Victoria and Mt. Elgon. A land cover classification with reference year 2015 (ESA, 2017) (a), a classification of the soil erosion risk following Ebisemiju (1988) (b), the households engaged in cattle farming (KNBS, 2010; UBoS, 2010) (c), and the population density (KNBS, 2013; UBoS, 2017) (d) are plotted to characterize some spatial properties of the study region. The boundaries of the studied administrative units are shown with red outlines. MODIS NDVI is plotted as background in (c) and (d) as a proxy for vegetation cover. Darker green colors represent areas with higher vegetation cover.

Table 1: Overview of socio-economic, landscape, agricultural and livestock statistics in the five analysed units in the Sio-Malaba-Malakisi River Basin.

Indicator	Unit	Bungoma (Kenya)	Busia (Kenya)	Busia (Uganda)	Manafwa (Uganda)	Tororo (Uganda)	Total or weighted arithmetic mean	Source
<b>Socio-Economics</b>								
Population in 2014	inh.	1,519,481	815,401	323,662	353,825	517,082	3,529,451	Projected from KNBS (2010b); UBOS (2016a)
Population density	inh. km <sup>-2</sup>	500	480	440	660	430	497	-
Rural population	%	84	88	83	86	86	86	KNBS (2010b); UBOS (2016a)
Mean household size	no.	4.8	4.6	5	4.9	5	5	KNBS (2010b, 2019a); UBOS (2016a)
GDP in 2014	USD	730	1,000	270	110	560	672	KNBS (2019b); Wang et al. (2019)
Poverty rate	%	36	69	30	35	30	42	KNBS (2018); Baryahirwa (2019)
<b>Landscape</b>								
Total area	km <sup>2</sup>	3,012	1,805	755	525	1,186	7,283	ESA (2017)
Wetlands/waterbodies	km <sup>2</sup>	13	170	11	0	17	211	ESA (2017)
Land area	km <sup>2</sup>	2,999	1,635	744	525	1,169	7,072	ESA (2017)
Cropland	%	68	55	68	69	82	67	UBOS (2010b); KNBS (2015a,b); Turinawe et al. (2018)
Pastures and fallow land	%	5.5	36	25	12	11	16	Turinawe et al. (2018)
Forests	%	21	5.9	1.9	16	2.9	12	ESA (2017)
Other land	%	5.7	3.5	4.7	2.9	4.7	5	calculated
Mean slope agricultural land	°	6.5	3.8	2.7	9.7	2.8	5.1	ESA (2017)
Mean soil loss	t ha <sup>-1</sup> a <sup>-1</sup>	52	33	12	75	9.2	38	Schürz et al. (2020)
<b>Agriculture</b>								
Agricultural households	%	86	80	79	86	89	84	ASDSP et al. (2014); MoALF (2016); UBOS (2016a))
Main crops planted		Maize, Beans, Plantain	Maize, Cassava, Beans	Maize, Cassava, Sweet Potatoe, Soy(Beans)	Plantain, Maize, Beans	Maize, Cassava, Millet, Rice		UBOS (2010b); KNBS (2015a,b); Turinawe et al. (2018)
Mean size of cropland	ha hh <sup>-1</sup>	0.75	0.63	0.98	0.58	1.00	0.78	calculated from cropland
Mean size of maize area	ha hh <sup>-1</sup>	0.26	0.28	0.34	0.17	0.25	0.26	calculated from cropland
Share of households using mineral fertilizer	%	85	55	22	22	22	57	MALDM et al. (2002); MoALF (2016); Turinawe et al. (2018); UBOS (2020)
<b>Livestock</b>								
Share of households owning cattle	%	40	30	13	46	36	35	Wiesmann et al. (2014); KNBS (2010a); UBOS (2010a)
Mean no. of cattle per cattle owning household	no. hh <sup>-1</sup>	3.1	3.6	3.2	2.3	3.2	3.1	KNBS (2010a); UBOS (2010a)
No. of cattle per ha of agricultural land	no. ha <sup>-1</sup>	1.7	1.3	0.39	1.8	1.1	1.4	KNBS (2010a); UBOS (2010a)
Share of households owning chicken	%	66	67	57	70	66	66	KNBS (2010a); UBOS (2010a)
Mean no. of chicken per chicken owning household	no. hh <sup>-1</sup>	6.9	7.6	10	8.7	8.7	7.8	KNBS (2010a); UBOS (2010a)

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### 152 3. Methods and data

#### 153 3.1. Material flow analysis & Uncertainty Management

154 The method of material flow analysis (MFA; Austrian Standards, 2005  
155 *ÖNORM S 2096*) is chosen to analyse current nutrient flows (N, P and K)  
156 into and out of agricultural land in the case-study region. MFA is a widely  
157 used method to systematically analyse material and/or substance flows into,  
158 within and out of a system with defined spatial and temporal boundaries  
159 (Brunner & Rechberger, 2016). A variety of nutrient flow analyses across  
160 many different scales (i.e. plots, farms, regions, countries) have been realised  
161 through the use of MFA (Cobo et al., 2010; van der Wiel et al., 2020), notably  
162 also in the region of SSA (Meininger et al., 2009; Lederer et al., 2015).  
163 To implement and calculate the MFA for this study, the freeware STAN  
164 (subSTance flow ANalysis) (Cencic & Rechberger, 2008) is used. STAN is  
165 a software that allows easier implementation of MFAs through the use of a  
166 graphical interface. Further, it can impute unknown flows by linking them  
167 to related flows and by creating mathematical dependencies between these  
168 flows.

169 The quality of the used data can highly vary. An appropriate uncer-  
170 tainty management is therefore a key element of this analysis. If more than  
171 four data sources are available for one flow, the uncertainty of that flow is  
172 calculated using the mean  $\mu$  and standard deviation  $\sigma$ , assuming a normal  
173 distribution. In contrast, if four or less data sources are found, the maximum  
174 deviation from  $\mu$  is used instead. For each flow, the initial values (mean and  
175 uncertainty) are entered in STAN. To achieve the best fit for all flows, the  
176 final value and uncertainty of each flow is then determined by (i) considering

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177 the mean and uncertainty of the initial value, (ii) the mathematical depen-  
178 dencies of interacting flows, (iii) the concept of Gaussian error propagation  
179 to determine the uncertainty produced by interacting flows and (iv) data  
180 reconciliation to correct the data for random errors (Cencic & Rechberger,  
181 2008).

### 182 *3.2. Status quo system definition and data for the material flow analysis*

183 Many studies in SSA focus on farm-level and/or scenario-based case-  
184 studies to determine the availability and management of nutrients in small-  
185 holder farms (see e.g. Wortmann & Kaizzi (1998); Lekasi et al. (2001b);  
186 Nkonya et al. (2005); Rufino et al. (2007); Tiftonell et al. (2008); Snijders  
187 et al. (2009); Cobo et al. (2010); Castellanos-Navarrete et al. (2015)). In con-  
188 trast, this study uses a top-down approach by (i) determining county/district-  
189 wide nutrient flows and (ii) dividing these flows by the agricultural land area  
190 to normalize flows to a functional unit of 1 ha of agricultural land. This  
191 procedure is seen as advantageous for the depiction of regional differences  
192 in soil-erodibility potential and agricultural management practices as well  
193 as for implementing the limits to recycling brought forth by population and  
194 livestock densities.

195 A MFA is set-up for each individual unit, resulting in five analyses based  
196 on the same model structure (Figure 2). The MFA is based on the model of  
197 Lederer et al. (2015), which was applied in the Busia district for the year 2010.  
198 The spatial boundary of the system is defined as the individual units' border.  
199 The temporal boundary of the MFA is set to the year 2014, therefore all flows  
200 are based on one year. The main processes are defined according to van der  
201 Wiel et al. (2020) as: *PR1 – agricultural land*, *PR2 – animal husbandry*, *PR3*

202 – food distribution,  $PR_4$  – food consumption and  $PR_5$  – sanitation (see Fig.  
 203 2), which are divided into 15 sub-processes with multiple associated flows.

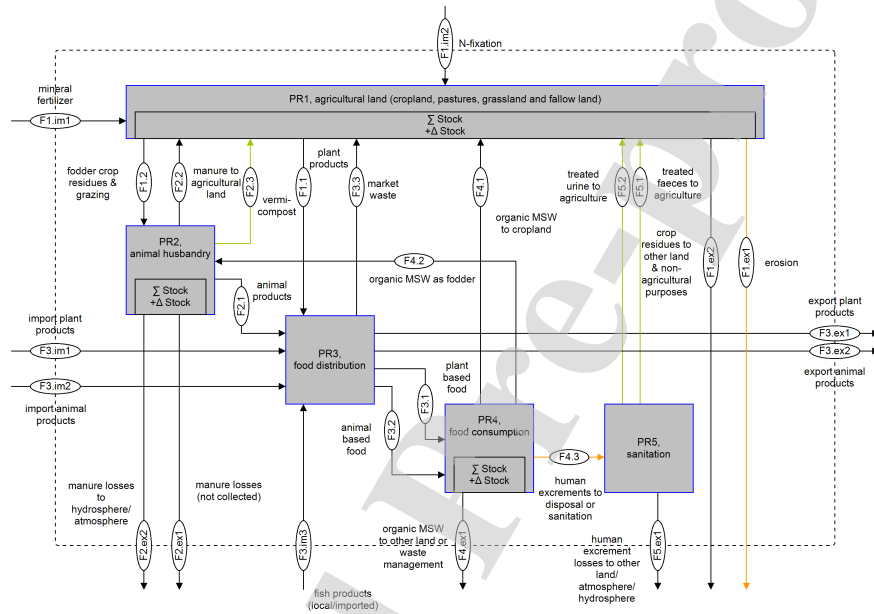


Figure 2: Depiction of the material flow analysis model set-up, the studied processes and flows in the analysed units.

### 204 3.2.1. $PR_1$ – agricultural land

205 Figure 3 shows the model for the process agricultural land, including the  
 206 sub-processes  $PR_{1.1}$  cultivated cropland, fallow and pasture,  $PR_{1.2}$  distri-  
 207 bution of crop residues and  $PR_{1.3}$  collection of animal fodder. Flows in  
 208 process  $PR_1$  are modelled as follows: Mineral fertilizer ( $F_{1.im1}$ ) is calcu-  
 209 lated after national consumption data from Godfrey & Dickens (2015); FAO  
 210 (2019a) and IFA (2019) and adjusted to units by their share of cropland

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211 on total national cropland (see Appendix A Table A.1). *Nitrogen fixation*  
212 (*F1.im2*) is estimated from crop area of N-fixating crops multiplied by a  
213 constant N-fixation factor per ha after Stoorvogel et al. (1990); Wortmann &  
214 Kaizzi (1998); Giller (2001); Lesschen et al. (2007) and Brady et al. (2008)  
215 and compared to results from crop production data multiplied by a factor  
216 of %N derived from N<sub>2</sub> fixation after Ojiem et al. (2007) (see Table A.2).  
217 Calculation of flows *F2.2.*, *F2.3.*, *F3.3.*, *F4.1.*, *F5.1.*, *F5.2* is explained in the  
218 respective sections (S3.2.2, S3.2.3, S3.2.4 & S3.2.5).

219 Soil loss by water erosion is one of the main output flows from agricul-  
220 tural land. The Universal Soil Loss Equation (USLE; Wischmeier & Smith,  
221 1978; Renard et al., 1997) is implemented to calculate spatially distributed  
222 estimates of water induced soil erosion for the study area. The USLE is an  
223 empirical model that is, due to its simplicity, frequently implemented to es-  
224 timate soil erosion on large scales and data scarce regions (for applications  
225 in East Africa see e.g., Fenta et al., 2020; Karamage et al., 2017; Tamene &  
226 Le, 2015; Lufafa et al., 2003). Schürz et al. (2020), however, illustrated that  
227 a soil loss estimation with the USLE is highly uncertain and strongly de-  
228 pends on the implemented methods to calculate the individual USLE inputs.  
229 To account for uncertainties in the calculation of soil erosion, two different  
230 soil losses for the study area units were calculated according to Schürz et al.  
231 (2020) (For a detailed description see Appendix A. Page 3). Apart from  
232 large uncertainties, the USLE only estimates the gross erosion and does not  
233 account for deposition processes (Evans, 2013).

234 To estimate the transport of eroded soil material to other land uses or  
235 rivers and its redistribution on agricultural land requires additional assump-

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236 tions. First, agricultural land in the units is divided into three groups of  
237 slope prevalence, namely  $\leq 5^\circ$ ,  $> 5 - \leq 10^\circ$  and  $> 10^\circ$ , and the percentage  
238 of area belonging to each group is determined (Table A.6). Second, based  
239 on the soil redistribution model from Claessens et al. (2007) and sediment  
240 loading data from Barasa (2014), it is assumed that 10, 20 and 30 % of gross  
241 eroded material from areas with  $\leq 5^\circ$ ,  $> 5 - \leq 10^\circ$  and  $> 10^\circ$ , respectively,  
242 terminates in rivers. Third, the remainder is distributed between agricultural  
243 land and other land or forests based on the land use in the units (Table 1).  
244 For this, it is estimated that eroded soil is twice as likely to be deposited on  
245 other land or forests than on agricultural land, due to a higher friction and  
246 impediments (Ruecker et al., 2008).

247 Most forest land in Bungoma and Manafwa lies on the slopes of Mt. Elgon  
248 and therefore above most agricultural plots. Therefore, 70 and 50 %, respec-  
249 tively, of forest area is assumed as not available for deposition of eroded mate-  
250 rial from agricultural land (determined from slope distribution of agricultural  
251 and forest land; ESA 2017). Finally, the nutrients removed through *erosion*  
252 (*F1.ex1*) are calculated using the amount of material eroded to rivers and  
253 other land multiplied with the respective soil-nutrient-concentration (Wort-  
254 mann & Kaizzi 1998; Makokha et al. 2001; Blomme et al. 2005; Ojiem et al.  
255 2007; Lederer et al. 2012; see Table A.7) and an nutrient enrichment factor  
256 (from Stoorvogel et al. 1990; Wortmann & Kaizzi 1998; Lesschen et al. 2007;  
257 see Table A.8).

258 Crop production in the units is computed based on crop area and yield  
259 factors from UBOS (2014), KNBS (2015a), KNBS (2015b), Oseko & Dienya  
260 (2015) and UBOS (2020) (see Tables A.9 and A.10). Initial analysis of crop

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261 areas from national reports indicated an under- or overestimation of crop  
262 areas for some crops. In addition, national data is therefore compared to  
263 results from an agricultural households survey (sample size = 506 households)  
264 which was conducted as part of the CapNex project (Capacity Building on the  
265 Water-Energy-Food Security Nexus through Research and Training in Kenya  
266 and Uganda) in the five units of interest (Turinawe et al., 2018). Final crop  
267 areas are then chosen based on estimated demand for consumption in the  
268 regions (see *PR4.1*).

269 Output of *plant products (F1.1)* is calculated using the derived crop pro-  
270 duction estimates and nutrient-concentrations in harvested products from  
271 literature (Lentner, 1981; Van den Bosch et al., 1998; Wortmann & Kaizzi,  
272 1998; Smaling et al., 1993; Stoorvogel et al., 1990; USDA, 2011; Stadlmayr  
273 et al., 2012; FAO & GoK, 2018; see Tables A.11, A.12, A.13). Nutrient flows  
274 from *total crop residues (F1.i2)* are computed using crop-residue-to-product  
275 ratios from Lal (1995b) and Okello et al. (2013) (see Table A.14), the crop  
276 production estimates, as well as nutrient concentrations in crop residues from  
277 Stoorvogel et al. (1990), Nyambati et al. (2003) and Schreinemachers (2006)  
278 (see Table A.15). Distribution of total crop residues to flows *crop residues as*  
279 *fodder (F1.i3)*, *crop residues as mulch (F1.i4)* and *crop residues to other land*  
280 *& non-agricultural purposes (F1.ex2)* is assumed after values for Kakamega  
281 county (bordering Bungoma and Busia (KE)) presented in Duncan et al.  
282 (2016) with 34, 36 and 30 % respectively. Flows *fodder from fallow and pas-*  
283 *ture (F1.i1)* and consecutively *fodder crop residues and grazing (F1.2)* are  
284 calculated by the MFA model derived from animal feed demand as explained  
285 in Section 3.2.2. Atmospheric deposition and leaching of nutrients are ne-

286 glected in this study for two main reasons. Firstly, both flows are associated  
 287 with a high uncertainty due to a low data availability for the region. Sec-  
 288 ondly, the influence of farmers on these flows is very limited.

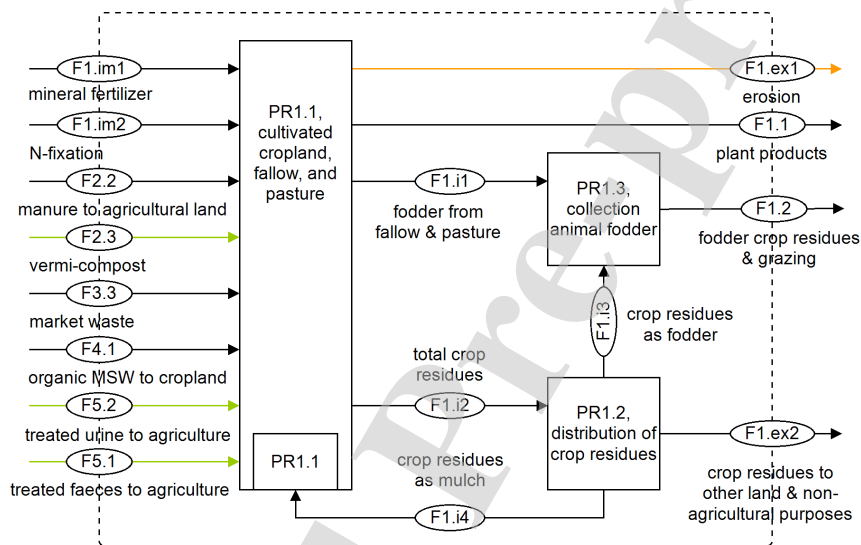


Figure 3: Depiction of the material flow analysis model structure including flows and sub-processes of the process PR1 agricultural land.

### 289 3.2.2. PR2 – animal husbandry

290 The process of animal husbandry (Figure 4) includes four sub-processes:  
 291 *PR2.1 animal feeding*, *PR2.2 manure diversion process*, *PR2.3 manure losses*  
 292 *consolidation process* and *PR 2.4 manure processing (vermicomposting)*. First,  
 293 livestock numbers are estimated from KNBS (2010a, 2015b), GoK & KNBS  
 294 (2015), UBOS (2010a, 2016b, 2017), UBOS & ICF (2018), Turinawe et al.  
 295 (2018) and FAO (2020a) (see Table A.16). Second, nutrient flows in *animal*

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296 *products (F2.1)* are determined by comparing national and county statis-  
297 tics for production and livestock numbers (from UBOS (2010a); ASDSP  
298 et al. (2014); KNBS (2015a,b); FAO (2020b); see Table A.17) and multi-  
299 plying it with nutrient concentrations in animal products from literature  
300 (Lentner (1981); Smaling et al. (1993); Van den Bosch et al. (1998); Wort-  
301 mann & Kaizzi (1998); USDA (2011); Stadlmayr et al. (2012); FAO & GoK  
302 (2018); see Tables A.11, A.12 and A.13). Third, faecal excretion of nutrients  
303 from livestock in the different units is computed by taking livestock num-  
304 bers, yearly faecal excretion rates (Fernandez-Rivera et al. (1995); Rufino  
305 et al. (2007); Williams (2010); Onduru et al. (2008); Njuki et al. (2011);  
306 Castellanos-Navarrete et al. (2015); Ngwabie et al. (2018); see Table A.18),  
307 and nutrient concentrations in fresh faeces (Woomer et al. (1999); Onduru  
308 et al. (2008); Sanginga et al. (2009); Sileshi et al. (2017); Zhu et al. (2020);  
309 see Table A.19).

310 Then, urine excretion is estimated from faeces excretion using values on  
311 the share of nutrient excretion between urine and faeces from CAST (1996)  
312 (see Table A.20). The sum of urine and faeces excretion then gives *F2.i1*  
313 *excretion*. Finally, total animal feed demand is back-calculated from nutrient  
314 excretion, assuming a simplified 10 % / 90 % share between nutrient uptake  
315 and excretion for all animal types, respectively (expert guess based on data  
316 from Rufino et al. (2006); Lekasi et al. (2001a) and animal production and  
317 excretion flows). Animal feeding in the river basin is achieved by supplying  
318 *organic mixed solid waste (MSW) (F4.2)* (explained in Section 3.2.4) and  
319 crop residues or by letting animals graze on agricultural or communal lands.  
320 *Fodder from crop residues & grazing (F1.2)* is determined by subtracting

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321 *F4.2* from total feed demand.

322 Management of manure in the region is poor, with nutrient losses oc-  
323 ccurring from a failure to collect manure and an inadequate storage of ma-  
324 nure. The diversion of excreted nutrients to flows *manure to agricultural*  
325 *land (F2.2)*, *manure losses (not collected) (F2.ex1)*, *manure losses (inade-*  
326 *quate management) (F2.i2)* and *manure to processing (F2.i3)* is based on  
327 a set of assumptions: (i) At nighttime, animals are kept in an open stall  
328 (boma) or tethered in the homestead with nighttime excretion accounting  
329 for 43 % (Schlecht et al., 1998; Thomas et al., 2013). (ii) During daytime an-  
330 imals spend 90 % of their time on agricultural land and the remaining 10 %  
331 on other land. (iii) Of faeces excreted at the boma, 90 % are collected and  
332 stored; urine excreted in the boma is lost. (iv) Stored faeces, and urine and  
333 faeces excreted on agricultural land are subjected to heat, rain and decom-  
334 position. The resulting losses are based on data from Sheldrick et al. (2003),  
335 Tittonell et al. (2008), Rufino et al. (2006), Rufino et al. (2007), Snijders  
336 et al. (2009), Sileshi et al. (2017) and Casu (2018) with final assumptions  
337 for the MFA given in Table 2. (v) Amounts of manure that undergo further  
338 processing is set to zero for the year 2014; scenarios for vermicomposting and  
339 the determination of flows *F2.i4*, *F2.3* and *F2.i5* is explained in Section 3.3.

340 *3.2.3. PR3 – food distribution*

341 In Figure 5 the model for the process food distribution is given, con-  
342 sisting of the sub-processes *PR3.1 distribution of plant products* and *PR2.2*  
343 *distribution of animal products*. First, gross consumption (supply) of plant  
344 and animal and fish products is calculated from national consumption data  
345 (FAO, 2019b,c) and regional adjustment factors. For plant products, this

Table 2: Assumptions on nutrient losses from animal excreta during excretion and storage (in percent of total inputs).

% - losses from ...	N	P	K
Faeces deposited on agricultural land	20	0	0
Urine deposited on agricultural land	5	0	0
Faeces in storage	50	30	30

regional factor is determined by dividing the average numbers of days that a food item was consumed in the region by national values; for animal products, livestock numbers per capita according to regional data was divided by those of national data (see Table A.21 for details). Flows (*F3.1 plant based food*, *F3.2 animal based food* and *F3.im3 fish products*) are then established by multiplying gross consumption data with the respective food nutrient concentrations (see Tables A.11, A.12, A.13).

Second, import and export of plant and animal products (*F3.im1*, *F3.im2*, *F3.ex1* and *F3.ex2*) is estimated by comparing production data to consumption behaviour. If gross consumption of a product exceeds production in the unit, the net difference is assumed to be imported and, if vice versa, to be exported. Generation of *market waste* (*F3.3*) is taken from Lederer et al. (2015) ( $= 0.08 \text{ kg cap}^{-1} \text{ d}^{-1}$  wet weight, only urban population) and multiplied with nutrient concentrations in organic waste (from Amoding, 2007; Komakech et al., 2014; Lederer et al., 2015; see Table A.22).

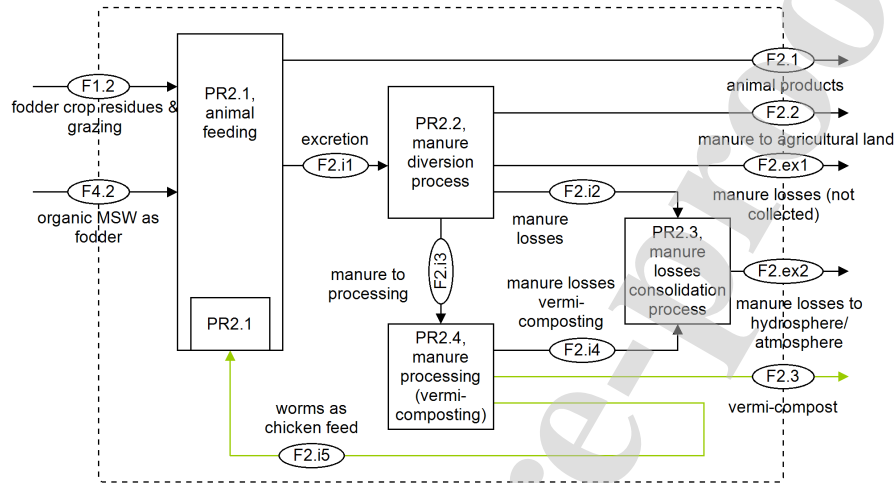


Figure 4: Depiction of the material flow analysis model structure including flows and sub-processes of the process PR2 animal husbandry.

#### 3.2.4. PR4 – food consumption

The process food consumption entails two sub-processes, namely *PR4.1 food preparation and consumption* and *PR4.2 household waste*. Uptake of nutrients from consumed food (Stock *PR4.1*) is assumed as 15, 5 and 5 % for N, P and K, respectively. Of gross food consumption (*F3.1* and *F3.2*; Section 3.2.3) 0.23 kg cap<sup>-1</sup> d<sup>-1</sup> wet weight of *organic household waste (F4.i1)* are produced (data from Busia (UG) gathered by (Lederer et al., 2012)). The same nutrient concentrations as in market waste apply. In accordance with Lederer et al. (2012, 2015) 15 % of organic waste generated in urban households is diverted to *F4.1 organic MSW to cropland* and 85 % to *F4.ex1 organic MSW to other land or waste management*. In rural households 80 % are diverted to cropland and the remaining 20 % to *F4.2 organic MSW as*

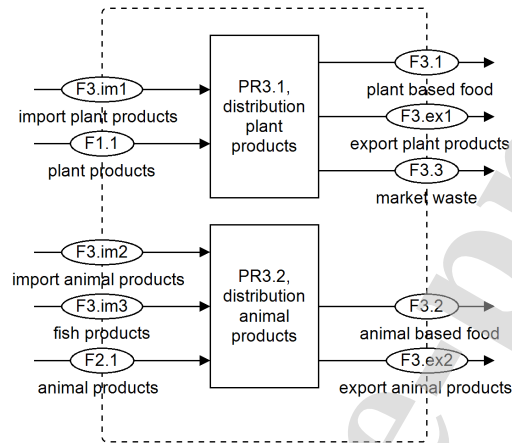


Figure 5: Depiction of the material flow analysis model structure including flows and sub-processes of the process PR3 food distribution.

373 *fodder*. Excretion of nutrients via urine and faeces ( $F4.3$ ) is calculated using  
 374 nutrient excretion factors per g of protein consumed from Jönsson et al.  
 375 (2004), national data on protein supply from FAO (2019b,c) (see Table A.23)  
 376 and the regional adjustment factors as used for food consumption (see Section  
 377 3.2.3).

### 378 3.2.5. PR5 – sanitation

379 Figure 7 shows the model for the process sanitation. Common sanitation  
 380 facilities in the area are pit latrines ( $F3.i2$ ). Few households have access to  
 381 improved pit latrines, septic tanks and sewers ( $F5.i3$ ), and extremely poor  
 382 households practice open defecation ( $F5.i1$ ). A small number of households  
 383 have an UDDT ( $F5.i4$ ) or collect their urine ( $F5.i5$ ). Human excrement  
 384 is distributed ( $PR5.1$  excrements distribution process) according to official

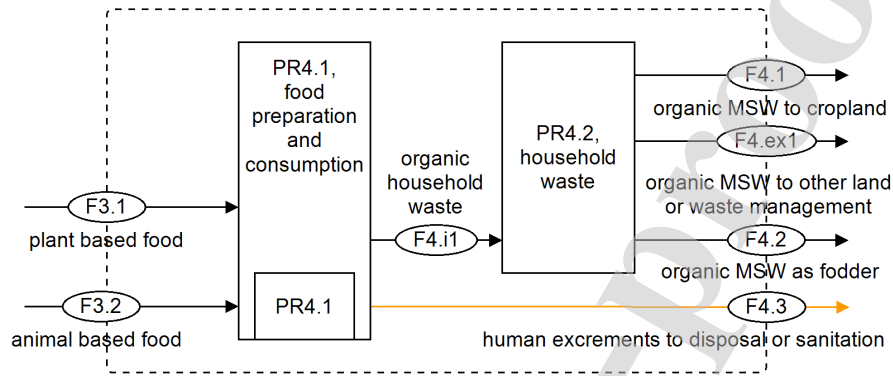


Figure 6: Depiction of the material flow analysis model structure including flows and sub-processes of the process PR4 food consumption.

statistics (GoK 2013b,a; GoK & KNBS 2015; UBOS 2017; UBOS & ICF 2018; see Table A.24). All nutrients in excreta diverted to pit latrines, sewers, septic tanks or by open defecation are assumed to be lost ( $F5.ex1$ ). Flows associated with UDDTs or urine collection in jerry tanks ( $F5.i6$ ,  $F5.i7$ ,  $F5.i8$ ,  $F5.1$  and  $F5.2$ ) are explained in Section 3.3.

### 3.3. Scenario definition

For this study, four measures and technologies that have the potential to return or keep nutrients in agricultural soils are selected for further analysis (Figure 8). *Measure 1* entails the widespread implementation of erosion reduction practices on-site by the smallholder farmers themselves. The considered practices are grouped into 3 classes ('generalized support practices' (gSPs)), namely linear, extensive, and intensive practices. Assumptions on realistic adoption rates for these gSPs are based on farmers' data from the

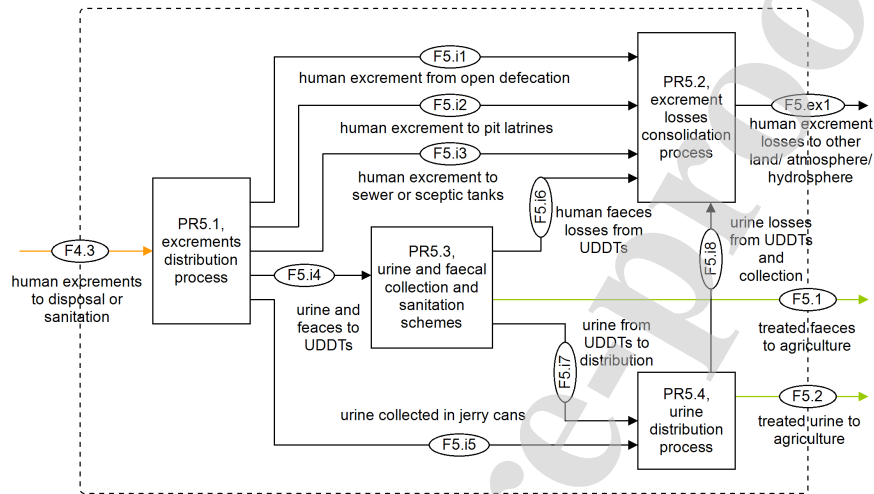


Figure 7: Depiction of the material flow analysis model structure including flows and sub-processes of the process PR5 sanitation.

agricultural surveys by Mwanake et al. (in preparation) and Turinawe et al. (2018). Here, the 99<sup>th</sup> top percentile of the regionalized farmer survey data ('best-management farmers') within a region are taken as representative for the ambitious implementation rate of erosion reduction practices. A detailed description and methodology for the calculation of this scenario is documented in Appendix A.1.

*Measure II* involves the vermicomposting of animal faeces. Vermicomposting is a technology that biodegrades fresh organic material by the use of earthworms and microorganisms (Chew et al., 2019). Organic matter, like cattle manure, and water is continuously added to a wooden crate that contains earthworms, thereby producing fertilizer with stable nutrient concentrations after a period of three months (Lalander et al., 2015). For the

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410 scenarios, first, it is assumed that farmers collect all faeces excreted by their  
411 animals at the boma or the homestead at night (= 43 %). Second, collected  
412 faeces are added to a vermicomposting unit continuously and vermicom-  
413 posted for a minimum of three months (*F2.i3*). Values for losses of N, P and  
414 K through volatilization and leaching (*F2.i4*) – 18, 0 and 0 % respectively –  
415 are taken from experiments conducted by Jjagwe et al. (2019). 7.0, 2.4 and  
416 1.3 % of N, P and K are taken up by earthworms (*F2.i5*) and used as chicken  
417 feed, and the remaining nutrients are applied via the finished product to the  
418 farmers agricultural plots (*F2.3*).

419 *Measure IIIa* is centered around an increased collection of human urine in  
420 jerrycans. The ease of adoption of this measure, as a rather simple and cost-  
421 effective method, has been tested by Andersson (2015) in the Sio-Malaba-  
422 Malakisi River Basin with positive results. Human urine is collected through  
423 a funnel in a jerrycan and stored for at least two weeks up to six months  
424 (Schönning et al., 2004; Semalulu et al., 2011).

425 In contrast, *measure IIIb* revolves around the simultaneous but separated  
426 collection of urine and faeces in so called urine-diverting dry toilets (UDDTs).  
427 More nutrients can be reclaimed by this technology than by simple urine  
428 collection (considering N losses from storage theoretically up to 85 % vs.  
429 79 % of all excreted N, 100 % vs. 76 % for P and 100 % vs. 80 % for K; based  
430 on data from Jönsson et al. 2004). However, it is also associated with higher  
431 initial and maintenance costs, and material shortages for certain parts have  
432 been experienced in the Sio-Malaba-Malakisi River Basin (Wakala, 2019). As  
433 a post-evaluation-study of UDDTs in Bungoma has shown, sanitation is a  
434 big driver of this technology and around 10 % of households with functioning

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435 UDDTs do not use their fertilizer products (Schneider, 2019).

436 Based on experiences and data from Schneider, the following assumptions  
437 are made for scenarios IIIa and IIIb: (i) only a part of household members  
438 can use the UDDTs or collect their own urine; the elderly can not because  
439 they experience problems with squatting, and children due to problems with  
440 handling. Realistically, the remaining amounts to about 80 % of all house-  
441 hold members. (ii) Of urine collected through jerrycans, all urine is applied  
442 to fields, as this is the main driver for collection. (iii) Of urine and faeces  
443 harvested through UDDTs, 72 and 80 %, respectively, are used on agricul-  
444 tural plots. Losses of N from faeces and urine storage through volatilization  
445 are assumed with 50 and 10 %, respectively (Jönsson et al., 2004). No losses  
446 of P and K are expected as faeces and urine are stored under dry conditions  
447 and/or in closed containers.

448 For reasons of simplicity, only two scenarios are defined, as measures I,  
449 II and IIIa/IIIb are addressing different aspects of the nutrient cycle and do  
450 not contradict each other. These are S.1 (combination of measure I, II and  
451 IIIa) and S.2 (combination of measure I, II and IIIb). In addition, S.0 is  
452 defined as the baseline scenario (= status quo).

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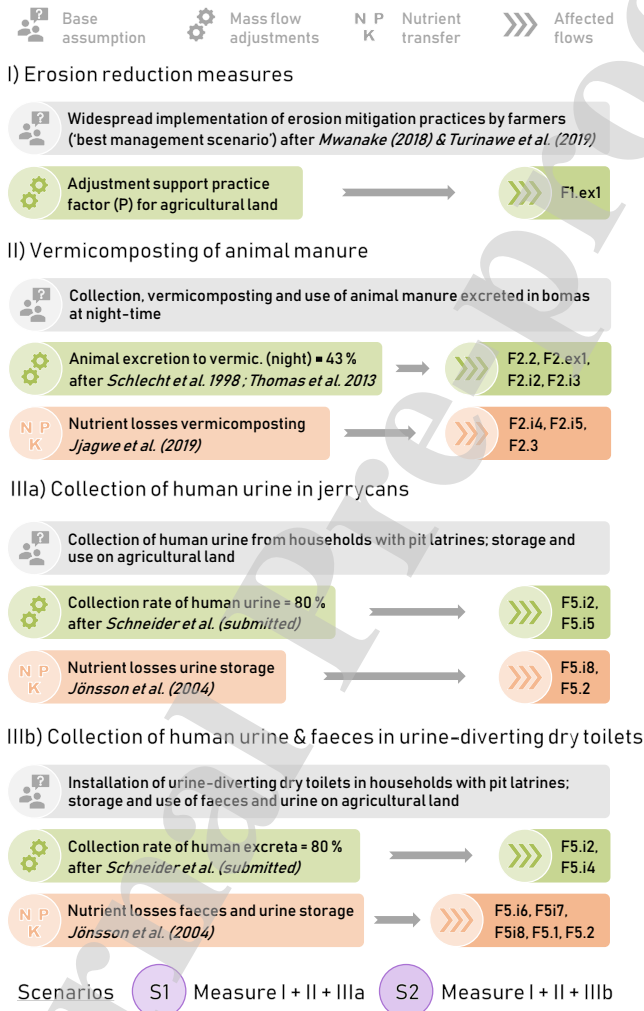


Figure 8: Definition and overview of the analysed measures and scenarios as used in the material flow analysis.

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#### 453 3.4. Harvest response to nutrient application

454 After setting up the MFA for the status quo as well as for the scenarios,  
455 soil-nutrient-balances are determined by comparing input and output flows  
456 into agricultural land. The net nutrient input into agricultural soils is then  
457 inserted into nutrient response functions developed by Wortmann & Keith  
458 (2017) to analyze the impacts of an improved nutrient management on har-  
459 vests. Following the method of Wortmann & Keith (2017), the theoretically  
460 achievable harvest (*yield*) is determined by the response coefficients *a*, *b* and  
461 *c* (derived from observational data), and the elemental nutrient rate *r* (net  
462 nutrient input in kg ha<sup>-1</sup>; see Formula 1).

$$Yield = a - bc^r \quad (1)$$

463 Maize is the main staple and the prevalent crop in most smallholder farms  
464 in the Sio-Malaba-Malakisi River Basin (cultivated by around 95 % of farm-  
465 ers; UBOS 2016a) and is therefore chosen as a reference crop. Further, the  
466 response coefficients given for the *Central Region – Lake Victoria Crescent*  
467 and *Eastern Uganda: 1400 – 1800 m.a.s.l. (Mt. Elgon High Farmlands)*  
468 (Tables 15.5a and 15.5c in Wortmann & Keith 2017) are selected as being  
469 representative for the analysed units (values given in Table A.25). Thereby  
470 a maximum yield of 3.7 tonnes ha<sup>-1</sup> season<sup>-1</sup> can be achieved in this region  
471 with the available maize varieties. No values are available for K in those re-  
472 gions, therefore the response coefficients are taken from the *Western Kenya*  
473 *Lower (< 1400 m.a.s.l.)* region (Table 7.2f).

474 Before the yield response to net nutrient inputs can be calculated, the  
475 resulting flows from the MFA (both status quo and scenarios) need to be

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476 analysed for their relevance for the cultivation of maize. Analysis of data  
477 from Turinawe et al. (2018) shows, that 70, 70 and 20 % of N, P and K in  
478 mineral fertilizer (*F1.im1*), respectively, are applied to maize fields; the rest  
479 to other crops. N-fixation (*F1.im2*) through maize is zero, and the effect  
480 of intercropping in maize fields is neglected for this analysis. For manure  
481 (*F2.2*), only the amount deliberately taken from the boma and applied to  
482 agricultural fields is considered. Data shows that around 50 % of manure  
483 is spread on maize plots (Turinawe et al., 2018). The same share of usage  
484 is assumed for the other organic wastes (*F3.3* and *F4.1*). For the products  
485 gained by implementing the analysed technologies (*F2.3*, *F5.1* and *F5.2*), it  
486 is assumed that all is used for maize cultivation. Of crop residues, only those  
487 resulting from maize production are considered.

488 The total sum of nutrient inputs into maize plots is then reduced by the  
489 share of nutrients removed through erosion. For that, it is assumed that nu-  
490 trient inputs are incorporated into the soil – and therefore evenly distributed  
491 – up to a depth of 20 cm (= topsoil). With a topsoil density of  $1.5 \text{ g cm}^{-3}$ ,  
492 the share of eroded material on the topsoil layer is then calculated. Then,  
493 to determine the amount of nutrient inputs readily removed through erosion,  
494 this share is multiplied with the inputs per g of the topsoil layer and the  
495 nutrient enrichment factors from Section 3.2.1 .

496 As the nutrient response functions are determined for fully plant available  
497 nutrient sources (= mineral fertilizer), the effectiveness of each waste and  
498 product has to be determined and accounted for. Factors used for the plant  
499 availability of the different sources are taken from literature (Jönsson et al.,  
500 2004; Shah et al., 2012; Duboc et al., 2017; Kratz et al., 2019) and can be

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9 found in Table A.26.

## 10 11 12 13 502 **4. Results**

### 14 15 16 503 *4.1. Nutrient balances for agricultural soils in the Sio-Malaba-Malakisi River* 17 504 *Basin*

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19 505 The nutrient balances for the five units and for the reference year 2014  
20 506 were successfully calculated by reaching a flow equilibrium in STAN. Final  
21 507 balances of the processes and stocks, and flow results can be found in Table  
22 508 3 and Appendix B Table B.1 ff. Inputs and outputs into agricultural soils, as  
23 509 well as the net balance and uncertainty for each unit are shown in Figure 9.  
24  
25 510 Negative nutrient balances have been found for all three nutrients, N, P and  
26 511 K, and in each unit. The soil nutrient deficit ranges between -30 to -150 kg  
27 512  $\text{ha}^{-1} \text{yr}^{-1}$  for N, from -6 to -24  $\text{kg ha}^{-1} \text{yr}^{-1}$  for P and from -43 to -180  
28 513  $\text{kg ha}^{-1} \text{yr}$  for K, thereby revealing large differences in the analysed units.  
29 514 In comparison with nutrient balances from Uganda (see e.g. Wortmann &  
30 515 Kaizzi 1998; Sheldrick et al. 2003; Nkonya et al. 2005; Lederer et al. 2015),  
31 516 this study shows much higher net soil nutrient deficits at least for some of  
32 517 the units (literature values: -11 to -35  $\text{kg N ha}^{-1} \text{yr}^{-1}$ , -1 to -16  $\text{kg P ha}^{-1}$   
33 518  $\text{yr}^{-1}$  and -18 to -60  $\text{kg K kg ha}^{-1} \text{yr}^{-1}$ ). As can be seen from the following  
34 519 results, these differences are mainly attributed to high erosion rates, as some  
35 520 of the analysed units show a much higher risk than the units studied in the  
36 521 mentioned literature.

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38 522 Results can only be taken as indicative, as the uncertainty for the net  
39 523 balances lies between 27 and 66 % depending on the unit and nutrient. In  
40 524 general, the biggest input of nutrients into soils is the application of manure.

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10 525 Inputs of mineral fertilizer (mainly N and P) vary widely among the five  
11 526 units, with farmers using significantly more fertilizer on the Kenyan side. In-  
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13 527 puts from N-fixation or organic wastes and crop residues are less pronounced  
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15 528 and mainly play a role for K inputs. Animal feeding (fodder from fallow  
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17 529 & pasture) and erosion are the two biggest output flows, however their im-  
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19 530 portance for the units differs. While, as expected, the hilly and steep units  
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21 531 Bungoma and Manafwa experience high outputs of nutrients through ero-  
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23 532 sion, the results reveal it being less of a problem for Busia (UG) and Tororo.  
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25 533 Units with a higher livestock density – Bungoma, Busia (KE) and Manafwa  
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27 534 – experience high outputs from soils through fodder. Outputs through plant  
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29 535 products and crop residues vary depending on the agricultural productiv-  
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31 536 ity of the units, but are in general attributed with a lower impact than the  
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33 537 prevalent landscape (erosion) and livestock ownership.  
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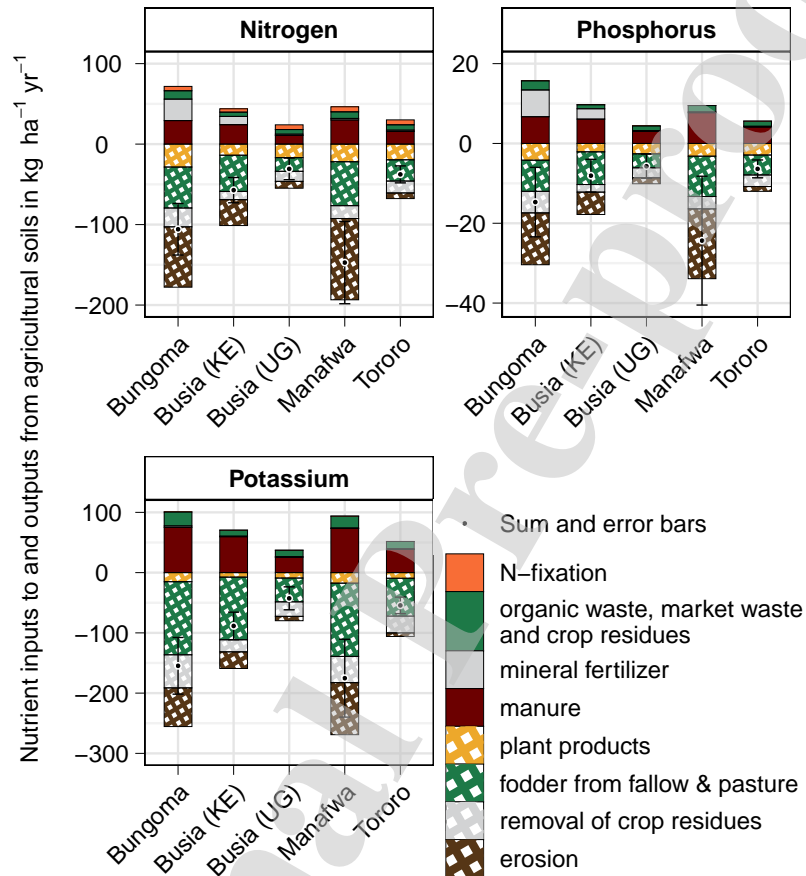


Figure 9: Results for nutrient out- and inputs into agricultural land (arable, grassland and fallow) for the different units in Uganda and Kenya and the status quo (S.0) in kg ha<sup>-1</sup> yr<sup>-1</sup>. Flows F1.i4 + F3.3 + F4.1 are aggregated to *organic, market waste and crop residues* for reasons of clarity. Flows F2.2, F5.1 and F5.2 are excluded for S.0

538 4.2. Uncertainty of the material flow analysis results

539 Uncertainties for selected flows are given in Figure 10. Close to half  
 540 of all flows (45 %) exhibit an uncertainty of less than 25 %, and another  
 541 36 % an uncertainty of 25 – 50 %. Few flows are attributed with a high  
 542 uncertainty of > 50 %, mainly those connected with import and export of  
 543 nutrient containing products (low to no data availability). Furthermore,  
 544 nutrient flows by erosion, especially for P and K, show a higher uncertainty  
 545 than most flows.

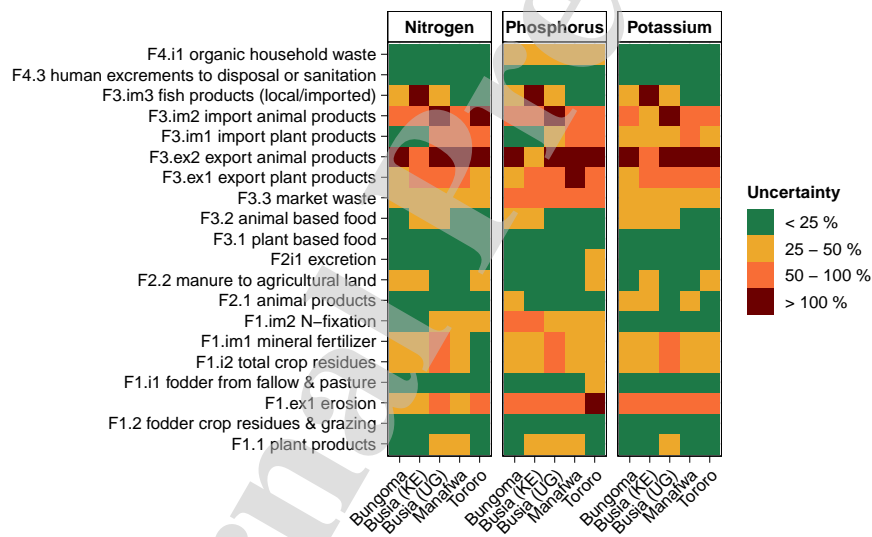


Figure 10: Range of uncertainty of the calculated flows depicted for selected flows and for each unit and nutrient

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546 *4.3. Improvement of the nutrient balances by implementation of the analysed*  
547 *measures*

548 Overall, by implementing the proposed measures, the soil nutrient deficit  
549 in the units could be reduced by 20 – 30 %, 23 – 42 % and 9 – 15 % for N,  
550 P and K, respectively (see Table 3). Both Scenarios S.1 and S.2 show a very  
551 similar rate of improvement, and, considering the uncertainty of the data,  
552 no significant difference can be found. Thus, when social restrictions and  
553 the reduced accessibility of UDDTs for elderly is taken into account (Section  
554 3.3), a similar amount of nutrients can be collected via urine collection as  
555 with UDDTs.

556 The county Busia (KE) has the highest relative potential to lower its  
557 losses. This is likely attributed to the fact that it is both hilly and has a high  
558 rate of population to agricultural land, and ideal preconditions for the imple-  
559 mentation of erosion reduction practices and urine and/or faeces collection.  
560 The steep units Bungoma and Manafwa exhibit the highest absolute poten-  
561 tial for improvement. It can be gathered from Figure 11 that this is due to a  
562 high susceptibility of these units to erosion reduction practices. In general, it  
563 can be seen that the application of urine and erosion reduction practices can  
564 contribute slightly more nutrients to agricultural land than vermicompost-  
565 ing, however importance varies highly between the units and nutrients. The  
566 application of treated faeces is only relevant for P and K, but urine remains  
567 the main source in excrement for these nutrients. In the flat districts of Bu-  
568 sia (UG) and Tororo, urine collection and treatment, and vermicomposting  
569 clearly have a higher potential than erosion reduction practices.

Table 3: Nutrient balances in Uganda and Kenya in  $\text{kg ha}^{-1} \text{yr}^{-1}$  for scenarios S.0 (status quo), S.1 (erosion reduction + vermicomposting + urine collection) and S.2 (erosion reduction + vermicomposting + urine-diverting dry toilets) as determined by the material flow analysis

Scenario	N			P			K		
	S.0	S.1	S.2	S.0	S.1	S.2	S.0	S.1	S.2
Bungoma	-110	-81	-83	-15	-10	-9.8	-150	-130	-130
Busia (KE)	-57	-40	-42	-8.1	-4.9	-4.7	-88	-75	-75
Busia (UG)	-31	-24	-25	-5.7	-4.4	-4.2	-43	-38	-37
Manafwa	-150	-110	-120	-24	-18	-18	-180	-150	-150
Tororo	-38	-28	-30	-6.4	-4.8	-4.6	-54	-49	-49

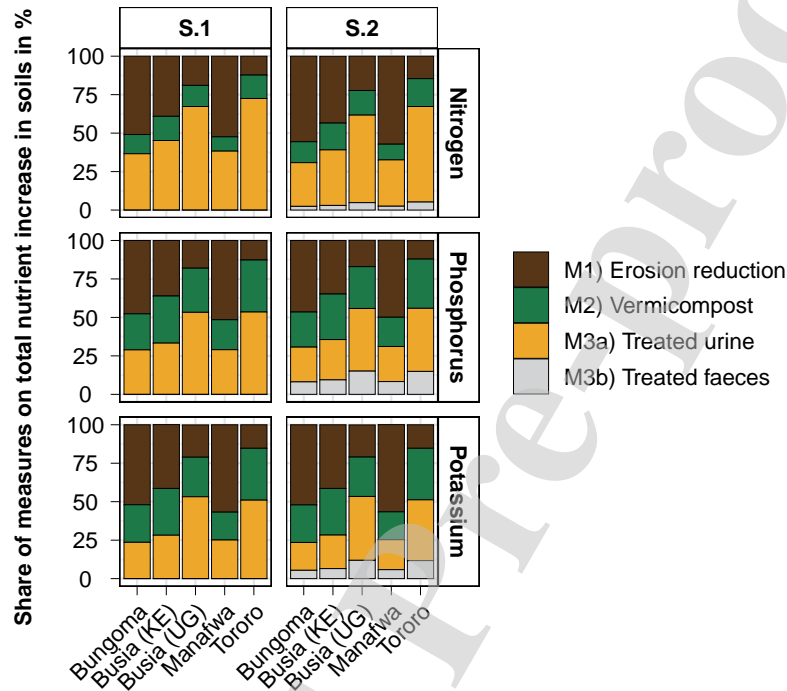


Figure 11: Contribution of the analysed measures to the total improvement of the nutrient balance in the agricultural soils of selected districts and counties in Uganda and Kenya as analysed for scenarios S.1 and S.2. given in % of improvement

#### 570 4.4. Harvest response

571 The mean maize harvest of the Status Quo (S.0), as a function of the cur-  
 572 rently applied nutrients and modelled with the crop-nutrient-response func-  
 573 tions from Wortmann & Keith (2017), lies between 2.3 – 3.3 t ha<sup>-1</sup> season<sup>-1</sup>.  
 574 This theoretical maize harvest is thereby significantly higher than the actual  
 575 range of 0.8 – 1.5 t ha<sup>-1</sup> season<sup>-1</sup> as reported in official data for the analysed

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576 units (KNBS, 2015a,b; UBOS, 2020). As other farming practices or environ-  
577 mental factors are not considered in this study, it is necessary to mention  
578 that the response given is likely overestimated by the model, even though  
579 the crop response functions were derived from field trials in the region.

580 According to the analysis, N is the limiting nutrient for maize harvests in  
581 the region (Table 4) and P and K are already applied in sufficient amounts  
582 for maize growth (Table B.6). Therefore, the potential yield increases for  
583 the scenarios are derived from an increase in N application. In the Kenyan  
584 counties, especially Bungoma, the impact on maize yield by the implementa-  
585 tion of the analysed measures is limited (8 – 20 %), as farmers already apply  
586 medium amounts of N-fertilizer. In contrast, on the Ugandan side, an about  
587 30 – 40 % higher harvest is estimated by the model for both scenarios, as  
588 inputs are generally low.

Table 4: Results for the mean harvest response of maize to nitrogen application in selected districts or counties in Uganda and Kenya in  $t\ ha^{-1}\ season^{-1}$  for the status quo S.0 and the scenarios S.1 and S.2 given for each analysed district/county

Scenario	S.0	S.1	S.2
Bungoma	3.3	3.6 (+ 8.3 %)	3.5 (+ 7.5 %)
Busia (KE)	2.9	3.4 (+ 20 %)	3.4 (+ 18 %)
Busia (UG)	2.3	3.1 (+ 33 %)	3 (+ 29 %)
Manafwa	2.5	3.5 (+ 42 %)	3.4 (+ 39 %)
Tororo	2.4	3.3 (+ 40 %)	3.2 (+ 36 %)

589 Looking at the impact of the different measures on the increase of maize  
590 harvests (Figure 12), the pattern of importance changes in comparison to

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591 that of the nutrient balances. Crops will preferentially take up the newly  
592 added and easily available nutrients from the soil matrix. Erosive forces  
593 however, remove only a small amount of the freshly applied and easily avail-  
594 able nutrients, the higher share will be from less-available nutrient-deposits.  
595 This is due to the fact, that fresh sources are typically worked into the soil  
596 up to a depth of 20 cm, therefore erosive forces removing the topsoil layer  
597 can simultaneously only remove the share of freshly available nutrients found  
598 in the top few millimeters. As modelled in this study, the influence of erosion  
599 reduction practices on harvests is therefore negligible, especially if N is the  
600 limiting nutrient.

601 Similarly, in this case, faeces' contribution is small, as they contain only  
602 the minority of N in excrements. In contrast, a combination of urine collec-  
603 tion and vermicomposting of manure on an average smallholder farm would  
604 lead to the highest yield increases resulting from N availability.

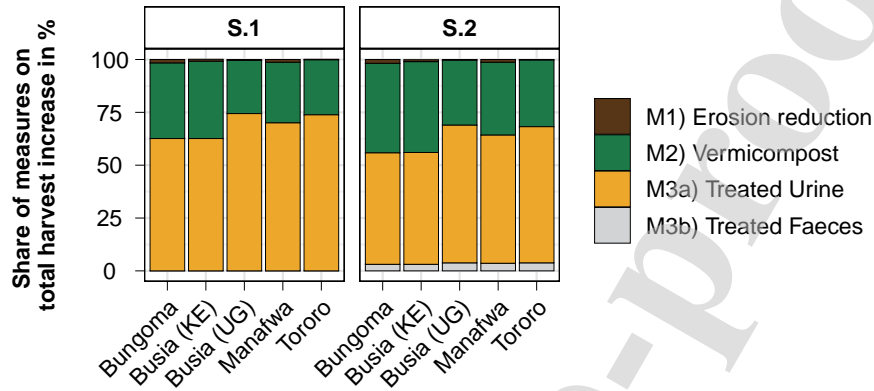


Figure 12: Contribution of the analysed measures to the total increase of maize harvests as analysed for scenarios S.1 and S.2. given for each studied district/county in Uganda and Kenya in %

## 605 5. Discussion

### 606 5.1. Model choices

607 Choosing small units with high diversity on the district level provided  
 608 much needed information on the range of soil nutrient deficits that can be  
 609 expected in Uganda and Kenya. This diversity is mainly attributed to differ-  
 610 ences in the landscape, rain and erosion, but other factors, like the economic  
 611 ability of farmers to buy fertilizers or livestock numbers, played a part as  
 612 well. In addition, regional resource restrictions (livestock manure, human  
 613 excreta) could be adequately depicted by studying the districts as a whole  
 614 entity.

615 However, as stated by Droppelmann et al. (2017) and Vanlauwe et al.  
 616 (2017), the high diversity of farmers production systems needs to be ac-

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617 counted for when looking at the potential for technology adoption. Here,  
618 the current district-wide analysis poses a significant drawback, and future  
619 research should therefore try to scale the results to different farming systems  
620 as done in Ritzema et al. (2017) and Wichern et al. (2017). Current erosion  
621 and deposition models should be improved to better track and trace erosion  
622 without the need for data- and time-intensive models.

623  
624 Combining 'traditional' nutrient balances with a harvest model proved  
625 highly insightful. While the results for the nutrient deficit and the potential  
626 harvest increase in the units vary based on the preconditions, the harvest  
627 model shows that treated urine and vermicomposting are the most effective  
628 measures in all five units if only the nutrient supply is considered. While  
629 many material flow analyses for the western world focus solely on P (Wich-  
630 ern et al., 2017), adding K and especially N to the analysis proved valuable  
631 since (i) N is rarely applied in excess in SSA and (ii) the importance of  
632 different input and output flows for the different nutrients varied highly.  
633 Unfortunately, including organic matter in MFAs still poses a big challenge  
634 due to severe data limitations (van der Wiel et al., 2020). Especially from  
635 a long-term-perspective, the strong focus solely on nutrients thereby likely  
636 underestimates the need of erosion reduction practices in steep areas and of  
637 organic matter from faeces and manure.

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639 While MFAs typically focus on maximum potentials of different measures  
640 using all available resources (van der Wiel et al., 2020), this study tried to  
641 include realistic expectations on what amount of resources (in this case ma-

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642 nure and human excreta) could be indeed allocated to new technologies. It  
643 was revealed that only about 60 and 30 % of N in human urine and faeces  
644 and 30 % of N in manure could be directed to agricultural land through urine  
645 collection, UDDTs and vermicomposting respectively. Further, using data on  
646 the currently used erosion reduction practices of the 'most ambitious' farmers  
647 in the area showed that nutrient losses through erosion could realistically be  
648 reduced by 20 %, an indication that a higher reduction is unlikely. Deter-  
649 mining these achievable values is seen as an important aspect to adequately  
650 represent a technologies' limitation to farmers, ensuring that its widespread  
651 adoption is not hampered by unmet expectations (Vanlauwe et al., 2017).

#### 652 *5.2. Data availability and uncertainties*

653 Three major sources of uncertainty surfaced during the analysis. First,  
654 crop data from the region, though generally available, often lack in qual-  
655 ity. As the careful processing of the statistical reports showed, both crop  
656 areas and crop harvests are often unrealistic and unreliable. Statistical crop  
657 data is usually gathered by questioning farmers on their production and crop  
658 areas. It is assumed, that the intermixing of the units 'ha' and 'acres' cre-  
659 ates confusion with the smallholder farmers and thereby creates potential  
660 for errors in the final results. As much of the farmers' produce is used to  
661 fulfill the households food requirements, farmers also have less need to keep  
662 track of their harvests. To address the first issue, it is suggested that future  
663 agricultural surveys do additional hands-on measurements of farmers land in  
664 some households, to at least determine the associated rate of error. Also,  
665 while intercropping is advantageous for the farmers, it remains difficult to  
666 include this process in nutrient balances. A special focus of future surveys

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667 on intercropping could provide needed insights into this issue.

668 Second, not all data was available for every flow on a regional level. When-  
669 ever possible, data was adjusted with regional factors, however for some (e.g.  
670 mineral fertilizer application) only national mean values could be applied.  
671 For future research, it is suggested to improve the knowledge on actual fer-  
672 tilizing rates. Nevertheless, the high difference between the use of fertilizer  
673 in Kenya and Uganda is well depicted by the current data, and certainly  
674 provides some indication of reality.

675 Third, determining the rate of erosion and the outputs of nutrients con-  
676 tinues to prove difficult, as reflected in the high uncertainty determined in  
677 this study. For one, calculating the potential soil loss through the use of  
678 the USLE can give highly varying results depending on the provided input  
679 parameters (Schürz et al., 2020). Since many results from erosion studies in  
680 SSA on the plot scale only provide anecdotal information, the net soil loss  
681 from agricultural land can currently only be a crude estimate. Until more  
682 sophisticated and detailed spatial models are available, this will remain a  
683 challenge.

### 684 *5.3. Potential impact of the analysed measures on food security*

685 The four analyzed measures use the locally available resources human  
686 excrement and animal manure or erosion reduction to improve nutrient inputs  
687 or reduce nutrient losses. It is shown, that all measures can contribute to  
688 improve the soil nutrient deficit, but only urine and vermicomposting have  
689 an intermediate effect on maize harvests. A few inferences can be drawn  
690 from this information.

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691 First, it is revealed that the swiftly implemented measure of urine col-  
692 lection in jerry cans has the same potential to increase food security as the  
693 collection of urine and faeces through UDDTs. Financial means are highly  
694 limited in the resource-constraint smallholder farms in the region, and a  
695 main obstacle to UDDT access are the economic capabilities of households  
696 (Tumwebaze et al., 2011). It is therefore clear that nutrient recycling – an as-  
697 pect that UDDTs are often promoted for (Jönsson et al., 2004; Langergraber  
698 & Muellegger, 2005) – cannot be a vital driver for the implementation of  
699 UDDTs in the area as also shown by Schneider (2019). Further, human  
700 urine is an environmental friendly fertilizer (Malila et al., 2019) and its use  
701 is both safer and more easily accepted than human faeces (Andersson, 2015).  
702 Therefore, while efforts to improve sanitation in those areas should continue,  
703 efficient nutrient recycling can be more easily achieved through simpler in-  
704 terventions.

705 Second, vermicomposting of manure can significantly improve the current  
706 typical manure management of partial collection and storage, using only lo-  
707 cally and easily available building materials. However, the bottleneck for  
708 this technology remains the labor force required to collect the spread out  
709 excreta of freely roaming cattle and other animals. As on-farm labor avail-  
710 ability is limited in smallholder farms (Schreinemachers, 2006), this needs  
711 to be taken into account when promoting vermicomposting as a strategy  
712 for livestock owners. The added-value of harvesting not only vermicompost,  
713 but also worms that can be used as a protein-source in smallholder poultry  
714 production (Lalander et al., 2015; Nalunga et al., submitted), may aid in  
715 overcoming this problem .

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716 Third, the reportedly high effect of soil erosion on yields in SSA (see eg.  
717 Lal 1995a) could not be underpinned by the short-term nutrient response  
718 model. If nutrient inputs are well mixed into the first 20 cm of soil, as  
719 modelled in this study, the amount of freshly available nutrients removed  
720 through erosion is generally low, as only about 1 % of the top soil layer is  
721 eroded each year. Therefore, by studying the effect of erosion on the soil  
722 nutrient deficit alone, its effect on harvests is potentially overstated. This  
723 is not a call to underestimate the impact of erosion both on yields, and on  
724 rivers and lakes (e.g. river water quality for drinking water supply) in SSA.  
725 However, other models and field observations (e.g. long-term plot scale trials)  
726 are needed to appropriately address this issue.

## 727 **6. Conclusions and prospects**

728 The nutrient balances performed in this study by the use of MFA showed  
729 highly varying soil nutrient deficits for district and counties of close vicinity  
730 in the border region of Kenya and Uganda. The soil nutrient balance for the  
731 steeper part of the Sio-Malaba-Malakisi-River-Basin exposed much higher  
732 deficits than previous studies have found for other regions in Uganda, a  
733 fact mostly attributed to a high susceptibility for erosion. Next to erosion,  
734 the requirements of fodder for animals, the (non)use of mineral fertilizer  
735 and the amounts of manure being excreted or applied on agricultural land  
736 are the biggest factors involved in the severity of the deficit. In general,  
737 uncertainties in the model were mainly attributed to inconsistencies in official  
738 crop statistics, lacking data on import and export flows, and a difficulty to  
739 validate the modelled erosion rates.

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740 Overall, there exists a non-negligible potential of local resources to re-  
741 duce the soil nutrient deficit, improve harvests, and in turn, food security  
742 of the smallholder farmers in the Sio-Malaba-Malakisi River Basin. It was  
743 shown that simple and easily available technologies like urine collection and  
744 vermicomposting can often harness similar amounts of nutrients and improve  
745 yields as well as more complex and expensive ones. If all of the specific tech-  
746 nologies drawbacks are adequately taken into account, e.g. the non-use of  
747 UDDTs by elderly people, a better comparison of different technologies and  
748 their contribution to the analysed goals can be achieved.

749 Agricultural extension workers and governmental subsidies should there-  
750 fore focus on supplying the right technologies to those who need it and ac-  
751 count for the regional variation in agroecological and socio-economical per-  
752 spectives of smallholder farmers. In unison, future research should continue  
753 to include regional preconditions, local variety of smallholder farming systems  
754 and the factual access of farmers to resources and markets into their work.  
755 Further, there is a strong need for improved and long-term erosion mea-  
756 surements in these areas, to rightly enable the quantification of soil losses,  
757 negative impacts and reduction potentials.

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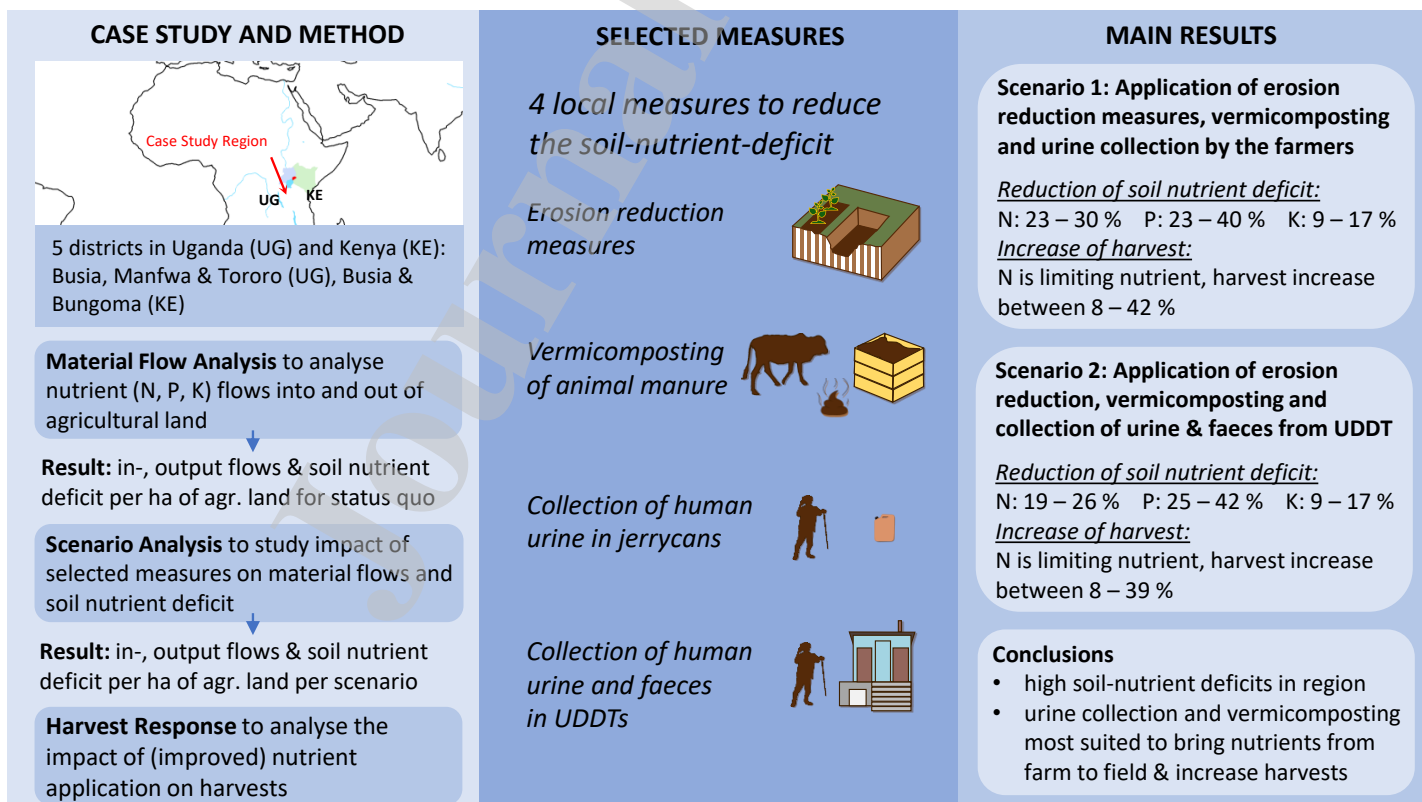
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- Four measures for improved nutrient recycling in East African farms are studied
- Soil nutrient deficits can be reduced by these measures
- Maize harvests could be increased by 8 - 40 % depending on the technology and area
- Even simple measures harness relevant amounts of nutrients for recycling to soil

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**CRedit author statement**

**Arabel Amann:** Conceptualization, Methodology, Formal analysis, Investigation, Writing - Original Draft, Writing - Review & Editing, Visualization

**Mathew Herrnegger:** Conceptualization, Methodology, Formal analysis, Investigation, Data Curation, Writing - Original Draft, Writing - Review & Editing, Visualization, Supervision, Project administration, Funding acquisition

**Jeninah Karungi:** Conceptualization, Methodology, Supervision, Project administration, Funding acquisition

**Allan John Komakech:** Data curation, Supervision, Project administration

**Hope Mwanake:** Formal Analysis, Investigation, Data curation

**Lea Schneider:** Formal analysis, Investigation, Data curation

**Christoph Schürz:** Methodology, Formal analysis, Investigation, Data curation, Writing - Original Draft, Writing - Review & Editing

**Gabriel Stecher:** Formal analysis, Investigation, Writing - Review & Editing

**Alice Turinawe:** Investigation, Data curation, Supervision, Project administration

**Matthias Zessner:** Methodology, Supervision

**Jakob Lederer:** Conceptualization, Methodology, Supervision, Project administration, Funding acquisition

**Declaration of interests**

The authors declare that they have no known competing financial interests or personal relationships that could have appeared to influence the work reported in this paper.

The authors declare the following financial interests/personal relationships which may be considered as potential competing interests:

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