

DRAFT NOT FOR QUOTATION

The Regional Dimension of Partnerships in the CGIAR: Challenges and Opportunities in Sub-Saharan Africa

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The World Development Report 2008 on agriculture reminds us the need for sustained and increasing investments in agricultural research and development, and that “published estimates of rate of return on R & D and extension investments in the developing world average 43% a year”. It also recognizes the “challenge to strengthen institutes that finance and organize research on a multinational basis” and how much the CGIAR with its continuous investment in agricultural productivity through genetic improvement² and in sustainable production systems³ can contribute to this endeavor.

At a time when the Consultative Group on International Agricultural Research (CGIAR) is confronted with new global challenges that call for innovative scientific approaches and more inclusive mobilization of science, the Reform Program launched in 2001 paved the way for designing new instruments to cope with these new challenges through broader partnerships. The Change Management Program of 2008 is pushing these objectives further.

CGIAR stakeholders are called upon to consider new ways of supporting global research for development programs and collective actions. The revised CGIAR mission and strategy and revisited modes of operation would certainly benefit from more inclusive processes and research tools involving Advanced Research Institutions, National Agricultural Research Systems at regional and sub-regional levels. A new type of dialogue with regional organizations, in particular, would help the CGIAR in rethinking, better prioritizing and implementing its international research agenda.

Regional dimension is incorporated in CGIAR Governance through geographical representation of the world different regions (or sub-regions) at different levels (CGIAR Executive Council, Science Council, International Agricultural Research Centers Board) but has not been utilized as an operational tool of the System. The proper consideration the System should give to regionalism has been analyzed successively by TAC and the Science Council in different occasion, particularly in the context of priorities and strategies exercises, but has not really been formally discussed by the Group. There is ample evidence that the CGIAR has approached this dimension with great caution and has not clearly included it in its mode of operation, probably because of a judgment that regional institutions operating in agricultural research were not effective enough to engage into a fruitful and efficient dialogue.

This paper examines the regional dimension of partnership and focuses on the framework of the CGIAR system priority formulation mechanism as well as its system delivery *vis a vis* Sub Saharan Africa. It submits that since the late nineties regional and sub-regional organizations in this continent have considerably gained in strength and have reach a level where they constitute much more efficient and effective institutions better equipped and empowered by NARS to represent their views and interests in addressing research and development priorities.

Dialoguing with ROs and SROs in attempting to align its programs with relevant regional/national priorities constitute a valuable asset for the CGIAR. On one hand its mandate is to deliver International Public Goods that are also relevant to national situations; on the other hand, the CGIAR cannot obviously adopt a country by country approach to assess research constraints and priorities that have to be incorporated into its research agenda to ensure continued national/local relevance while addressing global issues. With agricultural development being largely location-specific and the need to include this dimension in the international agricultural research agenda, the CGIAR has

² 18% of its resources

³ 35% of its resources

certainly much to gain in deciding to use the channels provided by regional and sub-regional organizations to coordinate its activities with NARS in strategy formulation, priority definition and program implementation.

A number of CGIAR stakeholders have underlined that the problem with the CGIAR partnership and governance mode does not lie in identifying issues and challenges nor in proposing solutions but in implementing them. And in the context of the current Change Management Process and the preparation of a new CGIAR External Review this paper may have the merit to draw a new light and attention on the trend for regionalizing agricultural research, a dimension often mentioned but not really internalized in CGIAR partnerships. Additionally, it also presents an explicit rationale for justifying the revamping of the donor “coordination” element in CGIAR business which has been partially forgotten⁴ although it is a core element of the overall “consultative” function of the Group. An efficient option to approach this coordination function with donors would be through an organized dialogue at the regional level with SROs. And having the CGIAR reengaging in donor coordination would also be a powerful tool for better addressing the challenge of adjusting the core unrestricted and core-restricted components of its budget, while reaching funding levels allowing proper implementation of its 2005-2015 research priorities. A dynamic CGIAR dialogue at the regional level would offer a new entry point to secure donors confidence on its global agenda and operating modes.

This approach would be consistent with the conclusion of the joint Ministerial Committee of the Boards of Governors of the World Bank and the IMF which agreed on a strategic framework of the two institutions and welcomed “...the role of the Bank in GPGs”, emphasizing “the need to integrate the GPGs agenda into country-owned programs at country and regional levels” (October 21, 2007).

The World Bank could be called upon and willing to engage its expertise and experience in facilitating donor consultation and coordination around shared strategies as it is accustomed to in the context of the formulation of Poverty Reduction Strategy Papers (PRSPs); and perhaps consider allocating to this endeavor part of the funds it recently pledged for doubling its agricultural assistance to Africa under its President’s call for a new deal to correct world hunger and malnutrition boosting agricultural productivity.

⁴ Pledging sessions at the end of ICWs were the ultimate and visible step of an yearly process of information exchange among CGIAR donors and between them and the CGIAR Secretariat on adjusting and coordinating their funding possibilities in order to make possible the implementation of each CGIAR adopted Agenda.

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1. The CGIAR: an international Coalition for delivering agricultural technology for development

1.1. Mandate, Goals and Objective

The CGIAR was created as a service by enthusiastic multilateral and bilateral donors convinced of the urgent need to mobilize resources to boost agricultural research for the benefit of developing countries. Their key assumption was that without mobilizing international science agricultural production would not meet food security challenges arising in developing countries. This argument remains valid.

Progressively the CGIAR became, a North-South Partnership endeavor active in research for development⁵. Its fundamentals derive from the context of the early seventies in which it was established when countries did not have sufficient scientific and institutional capacity in their National Agricultural Research Institution(s) (NARIs) to address their development needs. They needed strong support from the international community. The model of production and dissemination of essential agricultural development technologies chosen by the CGIAR with IARCs organized as centers of scientific excellence connected to networks that would deliver appropriate agricultural technologies was adequate in this context. The founding fathers of the Consultative Group designed a dynamic enterprise of coordinated International Agricultural Centers (IARCs) with different functions that could evolve overtime. A technology development and delivery function, a broker function with other international producers of agricultural science, and an implicit mandate to invest in capacity building⁶. And the need to support National Research Systems (NARS) along these three lines remains after more than thirty five years of operation of the CGIAR⁷.

1.2. The Partnership Equation

Since its origin, partnership with national research institutions has clearly been an essential element of the CGIAR because of its development-oriented mandate. Additionally, the strategic option of the Group that international agricultural research had to be conducted in developing countries, not from outside, provided the CGIAR a valuable feature and comparative advantage vis a vis most of other research institutions and Universities⁸ which could also provide inputs for technology generation and transfer to developing countries. Turning the CGIAR into a functional and efficient provider of research technologies impacting on development makes also partnerships with national research institutions and the strengthening of NARS a necessity. This explains why the CGIAR has invested substantially in institutional Capacity Building in an attempt to strengthen the capacity of inescapable partners.

The ISNAR Story (1979-2003) provides evidence that since the beginning partnerships with NARS was a well identified issue by the Group, although difficult-to-address. ISNAR was an attempt to centralize the capacity strengthening function of the CGIAR in an institution and have the Group actively engage in supporting NARIs capacity and developing national researchers capabilities.

CGIAR members had perceived this purpose as central to fulfill the Group objectives. Increasing NARIs capacity and support country efforts in building National Research Systems incorporating existing research capacities in NARIs, national Universities and development-oriented NGOs

⁵ Today 25 Developing country members out of a total of 64 members.

⁶ Provision of capacity building assistance to NARS remained at 22 % of total CGIAR expenditures in 2003 (System Priorities for CGIAR research 2005-2015)

⁷ CGIAR Chair Opening address at AGM06

⁸ With the notable exception of the French research System which maintains until today a number of “owned” or jointly managed with NARS research stations in West and Central Africa.

became an overall objective of the CGIAR with a medium/ long run perspective, recognizing NARS primary responsibility to cope with national constraints. Generating technologies, transferring and/or adapting them in developing countries could not be efficiently and sustainably achieved unless CGIAR efforts were complemented by the efforts of strong NARS. The task was beyond the technical possibilities of any individual IARC or set of interactive IARCs alone.

After interventions in 25 countries (review and planning missions) [by 1986] and in an additional 19 [by 2002], ISNAR achievements were significant and praised by two EPMRs. ISNAR remained perceived as a necessity even after the devastating 4th EPMR recommendations to transfer ISNAR to IFPRI as a decentralized Program headquartered in a developing country with the objective to hand over its activities to other organizations within a five years period. And although ultimately it became an impossible task the CGIAR decision at AGM02 in favor of a last restructuring attempt to save the institution certainly reflected the prevailing sense in the Group of the value of the type of services provided by ISNAR, and their strategic importance.

Despite the fact that building Human Capacity remains an important component of the CGIAR agenda it is now characterized by the Research Priorities document (2005-2009) as a desirable activity rather than a core activity. The CGIAR seems to be slightly departing from the former approach and the new setting will result in a reduction of IARCs involvement in capacity building. Nevertheless, there is a sense among many stakeholders that this setting is not fully appropriate, and that capacity strengthening cannot only be regarded as a diluted objective for the CGIAR. Some argued during the SC-led priority setting exercise that it should remain an explicit central objective in IARCs MTPs, reflected in their regional/national strategies (e.g. in the new REPCAs for SSA).

2. The CGIAR Research Delivery System

IARCs are the central tool of the CGIAR delivery system. The CGIAR research delivery system has evolved overtime from a central belief that international research conducted by high caliber scientists put into the best possible conditions (laboratories, state-of-the-art equipment, modernly managed field trials, appropriate financial resources etc.) would necessarily produce elsewhere the type of outcomes that make possible the Green Revolution in Asia.

Complementary instruments have progressively been put in place: Networks, System Wide Initiatives and Ecoregional Programs (SWEPs), Challenge programs which all address the CGIAR partnerships issue. As an example, Networking has become a key mechanism in IARCs operating mode from only a tool for effective germplasm production and dissemination. During the eighties and nineties, IARCs coordinated Networks have been widely used as mechanisms for collaboration with NARS. Some of the most successful networks being the Rice-Wheat Consortium in South East Asia, or WARDA/NARS Rice Task Forces. The CGIAR also experimented System Wide Initiatives and Ecoregional Programs established from 1993 to 2001⁹ to tackle differently systemic issues particularly in natural resource management, but also as means for greater inter-center collaboration. But, from a priority setting and partnership point of view the SWEPs didn't bring substantial difference with Networks in terms of operating modes.

Challenge Programs (CPs) designed at the eve of the 21st century are a fundamental innovation of the CGIAR. They were intended to transform the way in which international agricultural research is

⁹ Today the SWEPs comprise nine system-wide and eight eco-regional programs

carried out addressing “complex issues of overwhelming global/and/or regional significance” which require “partnerships among a wide range of institutions”. Even though they are largely work in progress and their governance and the magnitude of their partnerships vary, the three original pilot Challenge Programs and the SSA-CP confirmed by the CGIAR in 2006 have a strong partnerships feature. The Challenge Program on Water and Food (CPWF) which can be regarded as an example in this domain with a Consortium arrangement among nineteen institutions (6 NARs, 5 IARCs, 4 ARIs, 3 NGOs, 1 Regional Basin Organization) claims that “CPWF Phase 1 opened up water-food-environment research to over 200 partners including NARES, CGIAR Centers, advanced research Institutions (ARIs) and NGOs”¹⁰. Involving partners equally and effectively from the outset of their development as well as in all aspects of the Program: strategy formulation, definition of the objectives, management, project implementation, and monitoring and evaluation is one of the central feature of the CP.

The new approach of Agricultural research systems from Technology Development and Transfer (TDT) linearity to interactivity reinforces the need for IARCs/NARS partnerships. The linearity of the traditional research process according to which a technology was invented/improved in laboratories and experimental fields before been tested in selected farmers’ fields, then finally transferred to farmers and adopted was seriously questioned before the value of participatory research was demonstrated during the late nineties. The need for IARCS/NARS collaboration is also the new orientation of agricultural research for development which coupled productivity objectives with NRM concerns as well as the inclusion of poverty alleviation targets in CGIAR goals. It has become increasingly improbable that international research can fulfill its mandate, produce appropriate outcomes that will contribute to development objectives if it does not properly incorporate national/regional constraints in the identification, definition and implementation of its programs. And there is no doubt that this can be much better done by strategically and operationally engaging in dialogue and partnerships with SROs, NARS and other national partners.

Reassessing vis a vis NARS the capacity and comparative advantage of the different research tools of the CGIAR to deliver outputs/outcomes has not been a well integrated function. In reviewing periodically its “niche” the Group has often concluded that its mandate and comparative advantage implied that it invests progressively more in upstream research than in downstream applied research, and excludes eventually engaging in adaptive research. IARCs have almost constantly received guidance from TAC and the Science Council discouraging their involvement in adaptive research or implication in the implementation of development projects, except in very exceptional cases (Seed for Hope). The level and contents of partnerships with NARS globally depend on the positioning of the CGIAR on the Research-Development continuum, and tends to fluctuate among IARCs with some more engaged than others in delivering tailored development outputs (quite local-specific in some cases). Comparative advantage is not an immutable given, it may change overtime as a result of external or internal factors. At NARS level it is certainly a direct function of investments in human capital, institutional strengthening and strategic planning. And it is the same at IARCs level.

The CGIAR has taken a conservative approach to this issue, while the result of a proper analysis of NARS and SROs new capacities vis a vis IARCs would certainly not demonstrate the need for a smaller investment in international agricultural research but only probably for a revisited CGIAR with fewer IARCs, a greater number of strategic initiatives (Challenge Programs, SWEPs etc.) primarily addressing global issues in the context of new partnerships arrangements spearheading collective actions among IARCs and greater programmatic alignment with NARS/SROs/ARIs/CSOs

¹⁰ CPWF Plan for Phase 2, August 2007

priorities. Even at national level, a reduction in investing into the CGIAR should only be a consequence of a demonstrated effective capacity for NARS to take over important components of IARCs activities/Programs while they are still not in most cases. More importantly, there is ample and documented evidence (anecdotal + specific studies and EPMRs) that as NARS gain in strength their expectations from IARCS just evolve and their demands concern new type of technology generation and capacity building products (molecular biology, crop modeling, Natural resource management, Post harvest etc.) that open new avenues of collaboration with the CGIAR (new contents in the portfolio, different outputs).

3. The Paradox of Producing International Public Goods (IPGs) with a Poverty Alleviation Mandate

Because the CGIAR is essentially confined to producing International Public Goods (IPGs), the assumption is that they have to be translated into Regional Public Goods (RPGs) and National Public Goods (NPGs) by other actors.

With partnerships with NARS not only a necessity but a condition of CGIAR own efficiency in addressing poverty and hunger alleviation constraints, the Group defined its “niche” as the production of IPGs that can be offered to NARS relying on the latter to engage essentially in research programs addressing national and regional issues (NPGs or RPGs).

3.1. The Research for Development Continuum

The definition of the CGIAR “niche” in the research for development business is an evolving issue. As such it is expected to be addressed periodically in revisiting CGIAR Priorities and strategies documents. The formulation of the CGIAR System priorities is a complex key process in which the Group is guided by the Science Council. The Science Council has a primary responsibility for analyzing key research challenges for development (in consultation with relevant experts from developed and developing countries) and proposing appropriate scientific strategies that incorporate the specificity (and comparative advantage) of the different partners. In identifying the System priorities in a context where the overarching goal of the CGIAR is to address poverty reduction and manage natural resources efficiently, the SC is supposed to take into consideration research and development priorities expressed by NARS and ROs that are well placed for consolidating or interpreting these priorities.

But the experience of the CGIAR in this domain has mostly been based on cosmetic inputs from NARS/SROs in CGIAR Priority and Strategies exercises, one of the reason being their representation by individuals on a personal basis (*intuitu personae*).

Another missing link is that CGIAR Research priorities should be implemented under the frame of a scientific strategy giving appropriate consideration to complementarity and a necessary division of labor between IARCs and NARS, and reaffirming their difference in mandate, goals and program implementation strategies. Unexpectedly “the SC didn’t formulate this scientific strategy while articulating the new CGIAR priorities. (Hans Gregersen in Evaluation of the implementation of the ICRAF EPMR, recommendations 2007)

Without a scientific strategy and a regional/global Framework for Action it may be difficult to convince stakeholders, particularly NARS and donors that the CGIAR is fully committed to

developing dialogue and partnerships with NARS and regional institutions in a context of subsidiarity and with a devolution objective when and where the conditions make it appropriate.

One of the reasons of the success of Challenge Programs detected by the joint CGIAR Secretariat/SC lessons learnt paper(2006) is that by combining competitive projects and grants allocation with commissioned research where NARS receive similar treatment than IARCs and other partners, they have demonstrated their intent to operate in a manner that alleviate differences in resources between IARCs and NARS (operational funds to scientists, similar access to labs and scientific infrastructure) and to promote equitable partnerships. Under the CPs and depending on NARS capacity CGIAR Centers would adopt a different research portfolio. This dimension was expected to be integrated in the two CGIAR REPCAs in SSA. As stated by the SC in the above mentioned paper *“the current development of regional MTPs for CGIAR research activities (for two regions of Africa in the first instance) promises to identify the proper nexus between global and regional public goods research and to help extend the possibility of regional impact”*.

3.2. Recognition of the Value of Regional Partnerships

The value of regional partnerships has been recognized by the CGIAR in many occasions. The Technical Advisory Committee (TAC) which preceded the current Science Council had already agreed that the CGIAR could benefit from the regional priority setting exercises conducted by SROs in different ways (TAC, 2001).

Acknowledging that such an approach would make research more problem oriented or demand-driven and increase possibility for impact, TAC recognized in a working document (SDR/TAC:IAR/01/21 Rev.1) that “Regionalization of research is an important component of efforts of the CGIAR to renew its vision and strategy, and it has received an important impulse from GFAR”. Consequently, the paper explored “the possibility of developing an approach for priority setting that will satisfy both the national and the global expectations of regionalization and allow the regional organizations to assume a bigger role” and “look at how the CGIAR centers may support this process and how they may use it to define their regional activities”.

Five years later, the opinion of the Science Council is also that the outcome of increased interactions at regional level on priority setting and partnerships would benefit all actors.

“Relationships between the CGIAR and NARS have changed significantly since its creation. In SSA (as well as other regions) there are two distinct types of relationship. For one group of countries, mainly large ones like Kenya and Nigeria, the role of the CGIAR has changed from that of mentor to NARS and other research and development agencies to that of partner and facilitator. For the other group of countries mainly small, poorer ones, where both NARS and Private Sector are weak, the CGIAR still plays a mentorship role. In either case specific contributions of the CGIAR cannot be rigorously separated from those of NARS” (Science Council, Priorities 2005-2015).

The Science Council has given greater consideration to NARS/SROs priorities in the CGIAR Priorities and Strategies definition process. This new dimension seems to be more conceptually integrated by the Science Council and by IARCs¹¹ now, even though neither SC nor CGIAR System Office representatives have been formally involved in SROs priority exercises.

¹¹ Since the late nineties, IARCs DGs and/or high level management representatives have been increasingly keen about attending SROs meetings and major planning seminars they perceive as a highly valuable opportunity for interactions and consolidating partnerships

The recent review and update of CORAF/WECARD Strategic Plan for 2007-2016 and Action Plan for 2007-2012 offers an example of the disconnect which seems to prevail between some IARCs engagement in collaborating with Sub Regional Organizations during their priority setting exercise and the attitude of the Science Council and System Office Units. Even IARCs participation in such planning and prioritizing exercises are more on an individual and case by case basis¹². This does not provide a real System input to SROs strategy and Action Plan formulation processes nor does the CGIAR receive, in return, consolidated views of SROs/NARS position in a given region into its own P & S process.

Recent CGIAR Priorities and Strategies exercises have mentioned the regional dimension but not included it sufficiently in the process. Similarly, the methodology put in place by the new Science Council for the (P& S 2007-2015) with a participatory information gathering, preceding the analysis process, the stakeholders demand component (inductive approach) played a secondary role compared to deductive and historical approaches. NARS voice has been insufficiently heard/took into account. There were little inputs in responding to the SC questionnaire, in participating in electronic fora as well as in intermediary panels meetings and the final experts consultation organized by the SC in October 2004. It is probable that this is also impacting negatively on partnerships in implementing CGIAR P & S which could be improved by more openness and cross fertilization. This can be seen as a major shortcoming against the SC expectation "...that the [CGIAR] proposed research will be carried out in strong partnerships with relevant agents NARS, SROs, Advanced Research institutions, Agencies, the Private sector and NGOs" and recognizes that these other players have a vital role in achieving common goals.

IARCs may analyze how their priorities relate with the priorities of the Regions. And the ECA and WCA MTP can be seen as experimental attempts in that direction. The CG/MTP/ESA developed by the CGIAR defines itself as a "plan of the CGIAR Centers operating as a network cluster of 15 nodes partners and supported by a Network Cluster Hub", with an expressed strategic intent "to involve diverse stakeholders in co-creating a plan with the potential for guiding diverse stakeholders in implementing breakthrough interventions that will support collaborative activities among the CG Alliance Centers and their regional and national partners that dramatically increases outputs, outcomes and impact." There will certainly be merit in having the CGIAR using regional priority setting exercises to periodically refine its strategy for each of its geographical region of intervention and currently in its efforts to identify possible strategic areas of activities and Challenge Programs.

3.3. The Production of International Public Goods

IARCs and NARS have been operating under an implicit division of labor at the core of the CGIAR business, implying that NARS would primarily be concentrating on applied and adaptive research while IARCs would concentrate primarily on IPGs, conduct desirably applied research, but only very occasionally get involved in adaptive research. But for IARCs engaged in research for development the frontier between IPGs, RGs and NPGs has constantly been blurred by two major factors: a) the pressure to demonstrate impact and, b) NARS and Donors demand.

The dilemma faced by IARCs in increasingly seeking to generate and demonstrate impact and not versus limiting themselves to conducting IPG research is exemplified in different Center, SWEPs and now Challenge programs EPMRs. It can be formulated as follows: how far down the Research for development Continuum the CGIAR should go particularly when suitable conditions for delivery

¹² e.g IFPRI and three other IARCs had substantial inputs in the formulation of the last CORAF/WECARD Strategic Plan

do not exist or are not adequate at the national level?. The issue is not easy to solve when this is clearly a major constraint to impact. (See ASB, IWMI, CPWF EPMRs)

The proper delineation between IARCs work and NARS work is a difficult issue which probably cannot be solved with a one-size-fits-all definition establishing tangible boundaries valid for the different instruments of the CGIAR (IARCs, SWEPS and CPs) and all type of research programs.

Already TAC was never comfortable with IARCs frequent involvement in adaptive research and was not supportive of significant engagement in research/development projects or development projects. When detected, Centers were reminded in different occasions that they had to stick to the core of their research mandate and the ultimate objective of producing international public goods.

Recently the Science Council firmly reiterated its objective of restoring the emphasis of CGIAR research on the production of IPGs¹³. But there is still a prevailing difficulty in operationalizing the concept of IPGs despite different attempts of clarification the later synthesized in the background papers and outcomes of the seminar on “positioning the CGIAR in the Research *for* Development Continuum” convened in the Hague by the SC in collaboration with the Netherlands Ministry of Foreign Affairs and the University of Wageningen (November 2006, see particularly Jim Ryan’s paper). This review of the research for development continuum did not end up with clear specific recommendations nor guidelines or criteria on where centers should appropriately position themselves. It may be necessary to call again upon the Science Council to elaborate such guidelines and criteria if the CGIAR ambitions a clear cut position on how to limit IARCs’ involvement in development-focused projects¹⁴. But because it is not conceivable that donors can stop supporting and/or stimulating country specific development programs/projects requiring the production of new technologies or adaptation of existing ones, it would certainly also be unrealistic to ban IARCs from participating in R & D programs nor getting involved in a certain level of adaptive/local specific research that can be used to scale out results and demonstrate impact. As emphasized by different stakeholders there would certainly be merit for the CGIAR in investing into NPGs or RPGs that can evolved into IPGs.

This non exclusive approach simultaneously with the reaffirmation of IPGs as the essence of CGIAR strategy is in full congruence with CGIAR capacity building objectives and the simultaneous pursuit of a devolution objective: *“The CGIAR aims to progressively devolve some current research (particularly aspects of breeding for germplasm enhancement and site specific natural resource management) to NARS with increasing capacity.....will move towards the solution of the complex issues.....supported by genomics research and provision of science-based advice. Special attention will be paid to the building of partner capacity in Sub Saharan Africa”*¹⁵.

4. A Quiet Crisis of Confidence

There is an atmosphere of uncertainty among CGIAR stakeholders as a result of the lack of clarity in the System current modes of operation. To a great extent this derives from the unachieved Reform launched in 2001. The CGIAR decision at AGM07 to accelerate the formulation of a more corporate strategy after a year long scoping exercise, elaborated through a participatory Change Management

¹³ In priorities for CGIAR research 2005-2015, Report on to Ex Co on the external review of the SSA CP,

¹⁴ Review of ICRAF’s follow-up actions on the EPMR 2006 recommendations, Hans Gregersen, July 9, 2007

¹⁵ Priorities for CGIAR research 2005-2015

Process carried over 2008 is timely in many respect. Donors doubts and hesitations probably explain the current high proportion of restricted fund versus unrestricted core funds allocated to the CGIAR. Their shift in favoring restricted funding or projects specific funding is not a real surprise but rather a translation of their quiet lack of confidence in the System.

4.1. Risks and Opportunities

The same Bilateral/Multilateral/Regional donors are supporting IARCs, NARS and partner organizations. They are inclined to consider the overall spectrum of the global agricultural research delivery system because their support to international research is, in fact, primarily a support to research for development. Their public opinions and political constituencies are more or ultimately concerned by Development. They recognize the value of research but not research *per se* and are eager to receive evidence of IARCs programs outcomes as well as social and economic impact to be reassured that their investment in the CGIAR is efficient and translate into measurable development results. Noting that “conventionally, the CGIAR has been viewed as conducting strategic research in the research for development continuum [and] has also had to conduct applied research when developing countries lacked their own capacity to do so” (World Bank 2004, p.51), the World bank Meta evaluation of the CGIAR echoed this trend amplified during the mid and late nineties towards an increased interest for impact assessment and the quest for deliverables. The formulation of the Millennium Development Goals (MDGs) by the international community has certainly reactivated the need for all actors in the development arena to document impact quantitatively and qualitatively. The work of the CGIAR is no exception and the System is under increased scrutiny both at Center level as well as the Group level.

The CGIAR also risks losing political credibility if it is not capable to showcase sound partnerships with developing countries research institutions. Galvanizing partnerships between CGIAR/SROs/NARS could be essential for increasing trust since Regional organizations are a growing component of “the different channels of influence on the reputation of the CGIAR” as well as Civil Society, Multilateral Organizations and NARS.

A question which also merits consideration by investors in the CGIAR is whether in its advocacy function for research for development the CGIAR should catalyze funding for parts of the Research/development continuum that it is not responsible for beyond IPGs, helping NARS and SROs to fund research programs addressing RPGs and/or NPGs clearly under NARS/SROs responsibility? And, if yes, how CGIAR investors would make sure that the part of their investment directed to NPGs and RPGs will effectively reach their ultimate clients? Up to now and occasionally, the CGIAR has provided a conduit for this in a limited manner but should it continue to do more in this direction? and how?

Going beyond the informal relations of the past to institutionalizing CGIAR dialogue with SROs would help in addressing these issues, capturing specific expectations of Developing countries Members. Perhaps joint priority setting would be complexified by this approach but the CGIAR would be better positioned to develop new fundraising processes and hopefully to attract new resources, justifying its funding requirements against shared international/regional research agendas established with ROs/SROs.

4.2. Monitoring and Evaluation and Impact Components

The CGIAR has increasingly to document and demonstrate impact. It needs to refine its Monitoring and Evaluation tools. In this context, measuring routinely the System performance can only result

from a series of mechanisms which include: at CGIAR level: World Bank Meta Reviews, CGIAR periodic External Reviews, like the ongoing Independent Review (2008); at IARCS/SWEPs/CPs level: CCERs; EPMRs; the a multi-faceted Performance Measurement System (PMS); and at Programs level (specific donor-commissioned reviews like those organized by the European Commission, USAID etc.).

Investing in IARCs/SWEPs/CPs impact assessment has become a crucial instrument to demonstrate results and justify funding. The CGIAR has apparently used a correct approach in assessing globally the research performed by CGIAR-NARS partnerships with two third (2/3) of existing impact assessments studies addressing this joint dimension. But on another hand, this insufficient delineation of ownership tends to jeopardize its specific demonstration of impact.

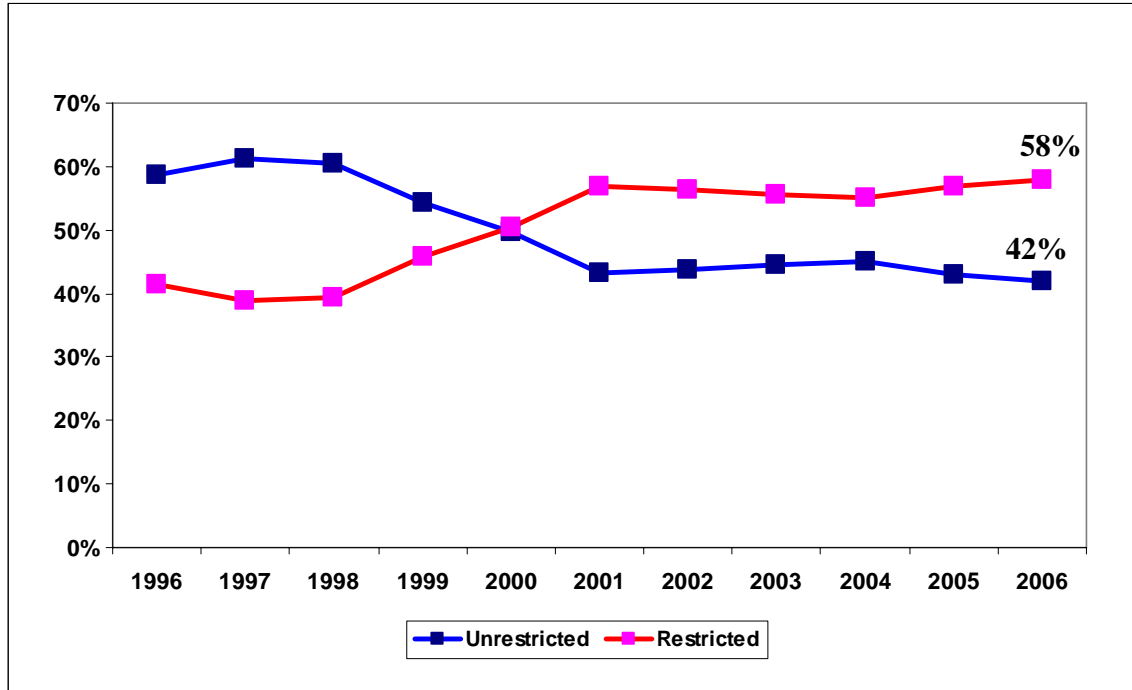
Also, most of impact studies have considered IARCs socio and economic impact and the recent move to increasingly invest in documenting non-pecuniary impacts of CGIAR research should be commended. The Science Council included in its 2008-2009 Work Plan a comprehensive inventory and assessment of available “non-economic” impact of CGIAR research and studies before developing an appropriate methodology and commissioning a series of case studies.

A coordinated approach in priority setting and monitoring research results with ROs and SROs would also provide a solid rationale for donors coordination in conducting their own external reviews of the System performing them in a more open and consultative mode with the CGIAR and eventually integrating them into external reviews of programs and management of the centers (EPMRs) and of other research tools (CPEs, evaluation of SWEPs etc.).

4.3. The Financial Component

The growing tendency to provide restricted funding to the CGIAR is a translation of a relative dissatisfaction of some donors regarding CGIAR deliverables and/or operation modes and is not only a result of their own “flag policies”. Despite EPMRs and CCERs some donors have organized and would like to maintain their “own” commissioned review of CGIAR Programs or IARCS in addition to EPMRs. The CGIAR has to demonstrate that the skepticism on the relevance or the magnitude of its outcomes is not justified. For this, it has to address the need to rebuild trust in the System its mode of operation and partnerships, and the congruence of its deliverables with NARS/SROs research and development objectives while it copes with global issues.

CGIAR Funding Trends Unrestricted and Restricted



Source: CGIAR Secretariat October 2007

5. The Temptation to “Go Regional”

The international community is increasingly emphasizing that MDGs cannot be reached only with external investment/international institutions or mechanisms. And for shaping an agreed technology-driven agricultural development agenda there is evidence that the CGIAR cannot have a greater comparative advantage than SROs/NARS (with their closer relations with farmers, national Universities, NGOs, extension services issues). Also in attempting to consolidate inevitably competing priorities between countries, the Sub-regional level offers the best mechanism to integrate relevant national stakeholders priorities into the Research for Development process.

The regional/sub-regional level offers an appropriate level for interactions, strategic decision and economy of scale, offering a multiplier effect for CGIAR supported Programs.

The rationale for the CGIAR to elevate its poverty and hunger alleviation challenge to the regional/sub-regional level also derives from the fact that NARS are explicitly making a case for this (report of the CGIAR task Forces for SSA Africa, 2005). They are growingly expressing the view that all CGIAR research programs not providing them a fair possibility to grow, demonstrate new acquired capacity or develop their abilities, should be discontinued. They are also calling for all research and development actors to respect a subsidiary principle based on the evidence that: a) the type of research in which IARCs/SWEPs/CPs and other international partners can maintain a comparative advantage is the one delivering IPGs and to a certain extent Regional Public Goods, not

locally adapted research result/outputs, and b) dealing with each NARS in a given region/sub-region is an impossible task for IARCs.

5.1. Donors Attempts

In this context, some donors have been tempted to invest directly into Regional/Sub Regional Organizations (RO/SROs) and NARS to support the implementation priorities (through their Medium and Long Term Strategic Plans/Action Plans) providing them additional resources to commission research outputs from the CGIAR and making sure that CGIAR respond to and engage in programs and services considered as important by the latter. This option has been occasionally supported by the Africa Vice Presidency in the World Bank and more constantly by the General Directorate for Development in the European Commission. The latter has been providing continuous support to Regional and Sub regional organizations in SSA (FARA, ASARECA, CORAF/WECARD) since the mid nineties.

This orientation was included in a World Bank presentation at a side meeting at CGIAR/ICW 2001: “African Agricultural Research and Development: Increasing Effectiveness and Sustainability. The presentation highlighted:

- the belief that CGIAR centers cannot be really effective if they are not bridging their activities at country and region levels with NARS and/or SROs, scaling out being nested in many cases in IARCs/SROs/NARS relationships.
- the importance of a new alignment strategy representing a shift in CGIAR’s approach to the African equation, from *tactical* to strategic. To adjust to such a new donors strategy the CGIAR would need to reach a new agreement on partnerships (type, division of responsibilities, shared Long Term Strategies/ Action Plans, contents, modalities, time-frame for implementation).
- that an agreement on the “*What*” to do should determine the “*How*” to do for the CGIAR reaffirming the pivotal role of partnerships for the CGIAR in SSA.
- that a better understanding of institutional/functional interfaces between partners and stakeholders in the CGIAR which can only be reached through an increased dialogue is a precondition to move into this new area of partnerships.

This reflection was taken further and discussed at the FARA organized African Agricultural Research Week in Maputo (March 17-22, 2002), with a paper entitled “Towards Sustainable African Agricultural Technology generation and Adoption Systems. The paper proposed a new funding framework with four interrelated components. The main component being a window providing funds to NARS; the second providing funding for core and program activities of the sub-regional organization split in two subcomponents a) grants for their core functions plus a combination of grants and loans provided by member countries to support regional networks and SROs coordinated programs, and b) grants to allow SROs to buy services tailored to their specific needs and NARS needs from the CGIAR centers and other advanced research institutions; the third component providing grants to fund the core activities of FARA; and the fourth funding core activities of the CGIAR, including system-wide initiatives, eco-regional programs and Challenge Programs.

Although, this financial framework was not adopted at that time, elements of this approach remain included today in the EU-AU policy for cooperation in support of agricultural development in Africa (January 2007). This policy document contains a framework for cooperation with proposals for continental and regional cooperation grounded in the subsidiarity principle promoted by the EU in the context of the Comprehensive Africa Agriculture Development Program (CAADP) of NEPAD.

5.2. CGIAR Mechanisms and Tools “To Go Regional”

The CGIAR Vision and Strategy (TAC, 2000) was already calling for giving a special emphasis to regional research planning, priority setting and implementation (Strategic Plank 4) in order to better link up with development needs and achieve greater impact on poverty. And regarding SSA, TAC conducted its first study on CGIAR delivery system in 1995.

In its governance the CGIAR also encompasses elements of recognition of the importance of the regional dimension of partnerships. Representation in Governing Bodies (CGIAR AGM and Ex Co; IARCs Boards) is supposed to provide a mechanism for listening and including in the decision making process the voice of the Regions at the System level. Although it may be wise not to propose formal regional representation in the Science Council, the adopted composition of the SC today as it was the case for TAC recognizes the merit of geographical representation and the value of integrating members originating from the different regions of the World in its membership and working groups with the objective of providing a richer perspective and added value to CGIAR discussion and orientations.

This is also linked to the necessity to clarify CGIAR deliverables on the Research /development continuum: “The formation of global, regional and sub-regional organizations such as GFAR, FARA, and APAARI, ASARECA etc., offers the promise of a desirable intersection of “demand-led” and “supply-led” perspectives, with the CGIAR starting with the “demands” of these organizations and arriving at its IPG/Poverty niche”¹⁶.

The SWEPs included elements of regionalization. The CPs are inclusive innovative research tools for addressing partnerships differently, incorporating national and regional perspectives. (Ongoing implementation of the CGIAR Reform since 2001 – Lessons learnt 2004.)

The pilot Challenge Programs and other three under consideration by the Group offer a new vehicle for research delivery not only coordinated by IARCs but involving consortia including ROs /SROs besides NARS, NGOs, ARIs and the private sector. In the case of the CPWF which addresses trans-boundary water management issues, the role of Regional water Agencies was fully recognized when prioritizing research projects, identifying major poverty challenges to be addressed by CP projects and coordinating activities at benchmark basin level (BFPs). This was materialized from the beginning by the involvement of the Mekong River Commission, the Yellow River Conservancy Commission, the Nile Basin Commission, the Niger Basin Authority, the Limpopo Water Commission, the Volta River Authority. The Sub Saharan Africa Challenge Program represents a new category of CPs coordinated by a Regional organization building on SROs and NARS for project implementation in collaboration with IARCs.

6. The Sub Saharan Africa Case

6.1. The New African Agricultural Research Environment

There has been many occasions for assessing and reflecting on the achievements of international research collaboration regarding Sub Saharan Africa either in the context of the former SPAAR and FARA today, or during CGIAR meetings particularly those held in SSA. But may be the most strategically important ones since the first meeting of the Technical Advisory Committee of the

¹⁶ Jim Ryan Paper on IPGs and the CGIAR niche in the R for D continuum: operationalizing concepts

CGIAR at WARDA in Bouake in 1998 was the Group Mid-Term meeting held in Durban in May 2001 and the more recent being at AGM03 where the Group endorsed the creation of two Task Forces to address how the System could deal with institutional and programmatic alignment issues in this region.

These discussions have oscillated between the recognition by SSA countries of the many difficulties they have to identify major national challenges and formulate priorities for developing their agricultural sector, and even after they are properly prioritized, to expect the CGIAR and IARCs to deliver under all (or most) of them. For instance after having laid with IWMI a 10 years plan for rehabilitating hundreds of irrigation schemes and water- harvesting technologies, solid foundation for sustainable collaboration, South Africa recognized that, “ideally we would like to follow this approach in working with all relevant centers and International Agricultural Research Institutes”(Minister of agriculture, MTM Durban 2001). But this highlights again the impossibility for the CGIAR and IARCs to deliver NPGs for all countries even if this was included in their mandate.

A real problem lies in NARS Capacity. Moving from NARIs to really integrated research systems at the national level (NARS) is still a far reaching objective in many countries. It is a governmental responsibility to stimulate greater investment in agricultural research translating political commitments (NEPAD objectives; Maputo Declaration of 10 % of GDP to Agriculture; FARA/SROs advocacy). There is also high heterogeneity among NARS despite progress made by a number of NARIs in streamlining their research infrastructure, reducing the size of their staff, improving their managerial processes and aligning their governance structures to respond to a demand/market-driven research agenda. Progress made by KARI/Kenya, NARO/Uganda, ISRA/Senegal/, CSIR/Ghana, CNRA/Mali and CNRA/Cote d’Ivoire cannot be overlooked. NARS in these countries adopted new inclusive strategies vis a vis Universities, NGOs and Producers organizations, Private Sector in designing and implementing national research agendas.

6.2. The Current Regional Setting: NEPAD, FARA, ASARECA, CORAF/WECARD, SADCC

The impetus for the rebirth of regionalism did not come from the donor community, but African political leaders: NEPAD-CAADP. “The NEPAD agricultural research program will address the need to make the paradigm shift away from a silver bullet and principally commodity-driven technological package approach to a truly integrated agricultural research approach and to ensuring that researchers (national and international) work together with smallholders and extension agencies, the private sector and NGOs to have impact on the ground”. [Section 5.6.0 – CAADP *ibid*]

Between 1994 and 2000 SPAAR was instrumental in assisting SROs to emerge (ASARECA-SADC/SACCAR) or to consolidate (CORAF-WECARD) through the formulation of participatory Framework for Actions (FFAs). FARA took over and is carrying out this objective of promoting the regionalization of agricultural research under its advocacy function. Complementary roles of FARA and SROs in this domain have been discussed in different occasion one of them with CORAF in 2005 resulted in a formal agreement spelling out SROs and FARA respective responsibilities.

It is fair to say that today the region has with the SROs and FARA solid –although than yet perfectible- regional instruments for formulating and coordinating agricultural research strategies and priorities.

6.2.1. The Forum for Agricultural Research in Africa (FARA)

FARA inherited SPAAR functions and responsibilities in 2002 as the Apex organization of African SROs in the context of the Global Forum for Agricultural Research (GFAR). One of its core original objective is to reinforce African NARS capacity and foster continental and global networking.

Following SPAAR preparatory work, the first action of FARA was to take leadership in the formulation of the Vision for African Agricultural Research which has been adopted by NEPAD as the vision for the Comprehensive Africa Agriculture Development Program (CAADP). Building on SROs strategies, FARA's new strategy is conceived around a Vision of reduced poverty in Africa and improved livelihoods with a clear advocacy mandate vis a vis African policy makers and all actors in the international arena. FARA 2007-2016 Strategic Plan¹⁷ ambition to maximize the impact of agricultural research and development learning from past success of research and in influencing agricultural policies

FARA is a continent-wide forum of stakeholders interested in agricultural research and development the Forum is open to African and non-African institutions committed to improving African agriculture in the context of the MDGs. According to its Strategic Plan, FARA's value proposition is "to provide a strategic platform to foster continental and global networking that reinforces the capacities of Africa's national agricultural research systems and sub-regional organizations" Embedded in its networking support functions is the objective of catalyzing partnerships and strategic alliances bringing together the range of expertise and capacities needed to achieve broad-based agricultural productivity, competitiveness and markets in a sustainable manner in Africa.

FARA has technical responsibility for the implementation of Pillar IV (agricultural research, technology dissemination and adoption) of the AU-NEPAD CAADP Program. This coupled with its adopted subsidiarity principle positions FARA well to be one of the catalytic forces for a renewed CGIAR dialogue with SROs and NARS on its partnerships and service delivery system in Africa.

6.2.1.1. The Strategy : IAR4D

To enhance African Agricultural innovation capacity, FARA adopted a new paradigm formulated through intensive consultation with SROs, NARS and other stakeholders, Integrated Agricultural Research for Development (IAR4D). IAR4D aims at fostering synergies among disciplines and institutions along with a renewed commitment to change all levels from farmers to national and international actors and policy makers.

Principal instruments for implementing this strategy include:

- the CGIAR Challenge Program for Sub Saharan Africa (SSA-CP) which FARA coordinates and has developed and mobilized resources for.
- the Framework for African Agricultural Productivity (FAAP) which FARA has developed, in consultation with stakeholders, to address the challenges prioritized by CADDP. The purpose of the FAAP is to guide and assist partners in African Agricultural Research and Development to meet the objectives of the African growth agenda "by empowering farmers, livestock producers, and their organizations; strengthening institutions , both public and private; promoting harmonization of internal and external actions and actors; and generating increased investment"
- the nine principles articulated in the FAAP that FARA aims at incorporating in all its agricultural productivity supported efforts in order to achieve the African Vision of 6% per annum growth in

¹⁷ under formulation

agricultural production: empowerment of end-users; planned subsidiary; pluralism in delivery; evidence-based approaches; integration of agricultural research; explicit incorporation of sustainability criteria; systematic utilization of improved management information systems; introduction of cost-sharing; integration of gender.

6.2.1.2. ASARECA

The Association for strengthening Agricultural Research in Eastern and Central Africa (ASARECA) is a non-political organization of ten national research institutions (NARIs). Its main goal is to increase the efficiency of agricultural research in the east and central Africa region, to facilitate growth, food security and export competitiveness through increasing agricultural productivity and sustainability.

ASARECA was established in 1994 following the approval of the Framework for Action for revitalizing agricultural research in Eastern and Central Africa spearheaded by SPAAR, and after extensive consultations with NARI leaders. The MOU creating ASARECA clearly recognizes IARCs as “supporting partners” of its regional networks. And the recently modified by-laws of ASARECA introduced a formal representation of the CGIAR in its Committee of Directors.

Operationally, seven (7) out of the current seventeen (17) networks organized by ASARECA are either coordinated from a CGIAR center, like the African Highlands Initiative (AHI) hosted by ICRAF, or benefit strong scientific support from an IARC as in the case of CIMMYT for the Eastern and Central Africa Maize and Wheat Network (ECAMAW).

By playing a convening role and coordinating the formulation of the priorities of the Networks, Programs and Projects (NPPs) putting them in the context of the Sub-region economic situation, and evaluating their environmental impact and potential distribution of benefits, there is no doubt that ASARECA can also constitute also a valuable source of interaction for CGIAR priority setting exercises.

6.2.1.3. CORAF/WECARD

Established in 1987 as an association of NARS Directors of Francophone West and central African countries with the objective of strengthening NARS through partnerships among them and with ARIs and IARCs, CORAF became in 1995 the West and Central African Council for Agricultural Research and Development (CORAF/WECARD) widening its coverage to include English and Portuguese speaking countries in the sub region. Today it comprises twenty one (21) member states representing an area of 11.5 million Km² and a population of 318 million.

CORAF original strategy was to establish networks that would be coordinated from a NARS open to international cooperation and agreeing to take regional responsibility for NARS in the Sub-region rather than automatically rely on IARCs capacity and expertise in networking. CORAF networks were essentially commodity-based (cassava, groundnut, livestock, maize, rice) and a cutting across theme, drought resistance. CORAF attempted to build its networks in collaboration with IARCs but not with regional nodes for network. This strategy received strong unrestricted support from France which was joined by the European Commission and USAID with a combination of unrestricted institutional and restricted funding. Because of the competition on funding these networks in parallel with other IARCs coordinated networks CORAF/WECARD strategy led to some incomprehension with IARCS, except in the case of WARDA which provided direct support and engaged substantial

partnerships efforts through its Task Force approach that ended up in jointly coordinating the CORAF organized rice network as of 1998.

CORAF/WECARD new Strategy and Operational Plan (2007-2012) formulated in the context of the Comprehensive African Agriculture Development Program (CAADP) and the FAAP represents a shift away from the commodity-based mechanism towards a more holistic and integrated approach designed to ensure that researchers will work together with all actors (including extension agents, private sector, and NGOs) to deliver impact. The new strategy articulates eight (8) core programs.

The European Commission is among the major donors providing institutional support and funding some regional CORAF/WECARD projects under the 8th EDF.

6.2.1.4. SADCC/SACCAR

In 1984, SADCC established the Southern African Center for Cooperation in Agricultural Research (SACCAR) as an inter-governmental body. After garnering donor support for over a decade SACCAR was transformed into a Sector Coordinating Unit given to the responsibility of Botswana which unfortunately could not put in place a sustainable funding mechanism ensuring SACCAR's stability. The Unit was transformed into FANRD, a national Directorate Food, Agriculture and Natural Resources Directorate with no more regional coordination capability in the late nineties.

SADCC has recently renewed its commitment towards regional research coordination and one of the key output expected from the ongoing World Bank supported Multi country Agricultural Productivity Program (MAAPP) is the establishment of an effective SRO re-engaging in formulating strategic research priorities for the sub-region.

Created by NARS to have a stronger voice in the international agricultural research community (ICW01), SROs have been consolidated as a result of SPAAR+FARA actions and their own (advocacy function, lobbying/fundraising: NEPAD, CAADP; AfDB; SSA-CP; MAPP etc.).

6.3. The Multi Country Agricultural Productivity Program (MAAPP)

This program reflects a new impetus towards strengthening NARS in line with past SPAAR, FARA and SROs efforts. It provides the CGIAR an opportunity to engage in “more equitable” planning and collaboration discussions with NARS and SROs along the lines contemplated by the REPCAs.

Over the last five years a Multi country Agricultural Productivity Program (MAAPP) has been developed under the auspices of NEPAD/CAADP and FARA to address agricultural productivity issues with a long term perspective. This initiative which embraces a ten to twenty years perspective has been supported by the World Bank under its Africa Action Plan (AAP) designed in 2005 as the centerpiece of its strategy to help Africa reach the MDGs. The strategy emphasizes three focus areas – one of which being “Strengthening the drivers of growth”.

The first phase of the MAAPP concerns west and central Africa. It has been developed as a pilot project funded by the World Bank: the West Africa Agricultural Productivity Program (WAAPP) Support Project recently endorsed (June 2007) by the different parties and materialized by a contract signed by CORAF/WECARD and the Governments of Ghana, Mali and Senegal for an Adaptable Program Loan of forty five (45) US \$million (2008-2012). Contingent to successful evaluation the project will be extended in other selected countries of West Africa (Nigeria, Niger, Burkina Faso and Benin) over the next 10 years for a total investment of ninety (90) US \$ million.

WAAPP adopted the guiding principles developed by FARA for implementing Pillar IV of the CAADP. It has four components:

- 1) Enabling conditions for regional cooperation in Technology Generation and Dissemination, US\$ 5.3 million. This component aims at strengthening the mechanisms and procedures for the dissemination of technology to allow countries to benefit fully from regional cooperation in technology generation and dissemination. Implementation will result in common regulations related to genetic materials, pesticides, other crop protection products etc...
- 2) National Centers of Specialization, US\$ 22.5 which would permit the alignment of national priorities with regional priorities within participants countries – [Upgrading core facilities and equipment, building capacity of researchers, supporting R & D programs of NGOs, supporting farm surveys and supply chains analysis and benchmarking];
- 3) Funding of demand-driven Technology Generation and Adoption, US\$ 16.8;
- 4) Project coordination, Management, Monitoring and Evaluation, US \$ 4.9, under CORAF/WECARD responsibility.

The development objective of the project is to generate and disseminate improved technologies in the participating countries' top priority areas, as identified by CORAF/WECARD. These include roots and tubers in Ghana; rice in Mali; and cereals in Senegal. Agricultural producers and agribusiness as users of improved technology are the primary beneficiaries of the WAAPP, the region's consumers being its ultimate beneficiaries, particularly those affected by poverty. The project considers them as key participants for its implementation along with researchers, extension agencies and Universities (in adhering to the agricultural knowledge information system (AKIS) conceptual framework promoted during the late nineties and early twenties), in the generation and dissemination of technology.

A similar project is under construction for East and Southern Africa. Identification of a complementary program named Southern Africa development Community Agricultural Productivity Program (SADC-APP) started mid 2005 as a Specific Investment Loan involving GEF and other bilateral agencies with an objective of total funding of ninety (90) millions US \$ of which the World Bank intended to contribute for thirty (30) million US\$. Under an Institutional and Program Development agreement signed with the Southern African Development Community (SADC), SADC-MAPP has hired national consultants to carry out situation analyses and identification of available technologies for out-scaling. Also an ongoing comprehensive assessment of available ex-post studies of the economic returns of comparable programs will provide the economic justification for the proposed SADC Program. The program includes the design and establishment of a Sub Regional Organization to coordinate agricultural research in the sub-region in general and the implementation of SADC-APP which would play a similar role for Eastern and Southern Africa than CORAF/WECARD for west and central Africa, and ASARECA for East Africa.

The World Bank team intends to use also the results of the recent study carried out by IFPRI to help ASARECA in establishing the region research priorities. National consultations have provided the foundation for a joint donor review/appraisal process to be carried out in 2008.

6.4. Recent CGIAR Initiatives for Africa 2003-2007

6.4.1. *The Report of the CGIAR Sub-Saharan Task Forces*

The joint report of the two Task Forces on Programmatic and on Structural alignment of the CGIAR in SSA (The Tervuren Consensus, April, 2005) made an important contribution to the issue of regionalization. The report recognized overlaps in IARCs mandates, activities and location, geographical range of intended impact, as well as the need to align IARCS activities in SSA “with CGIAR System Priorities and at the same time contribute, to the maximum appropriate extent, to the priorities of the NARS and SROs”. It also proposed that the CGIAR plan and implement its research activities focused on SSA through two Mid Term Plans, one for WCA and the other for ESA.

The panels recommended a stepwise structural reform towards the consolidation of all CGIAR centers and activities into one global corporate entity, with a first evolution (interim period) encompassing the consolidation of existing SSA located centers in two entities: one in West and Central Africa, and the other in East and Southern Africa.

Their report includes an interesting Appendix B on “two decades of propositions for change” with a chronology of about twenty proposals/recommendations “that have not been developed or have failed to lead to change”. They encompass some clear recommendations addressing the need for the CGIAR to better incorporate the regional dimension of partnerships as early as 1986 with the Bellagio report and the final report (1989) of the first CGIAR Task Force on Sub-Saharan Africa established also in 1986.

6.4.2. *New Instruments: The Regional Plans for Collective Actions (REPCAs)*

The Mid Term Plans for East and Southern Africa and the Mid Term Plan for West and Central Africa were formulated during 2005 and 2006 through a participatory process involving respectively ASARECA and CORAF/WECARD. They have been seen as a positive move towards a new level of integration of the regional approach in CGIAR congruent with the recommendations of the SSA Task Forces report of 2005.

The regional MTPs were renamed Regional Plans for Collective Actions and submitted by the Alliance to the Science Council in June 2006. The Science Council only “suggested that their broad planning phase be brought to an end for centers to begin their implementation” (SC Report to ExCo 13, October 2007) while many CGIAR stakeholders got the impression that they were still work in progress. The SC took a pragmatic position stating that it “will in the future focus its evaluation on the concrete regional projects that [would be] subsequently developed through its annual review of the MTPs of contributing centers”. This differs significantly from an earlier view expressed at AGM06, following the more positive and proactive commentary provided to ExCo 11 (October 2006) regarding the development of the Sub-regional MTPs. The SC gave the impression to have greater expectations from these two initiatives and foresee economies of scale and scope at that time when it recommended that “a clear-to-all collective research strategy be developed for each region, and the strategy be implemented through a cohesive and comprehensive Plan that encompasses all activities by the participating centers in the two regions and through an appropriate regional organizing entity”.

Under the REPCAs the sentiment was that the SC for the first time was foreseeing SROs as an increasingly pertinent level for interactions and partnerships for IARCs and other CGIAR supported programs:

- a) for planning activities in associating them (as NARS representatives) in the discussion on possible adjustments to CGIAR modes of operation, priorities and strategies etc.
- b) for coordinating implementation which have to occur at NARS, centers of excellence, and networks levels.

6.5. A Few Proposals :

The CGIAR could consider:

- a) to establish Regional Caucuses at AGMs,
- b) to strengthen developing countries Regional Representation in Ex-Co in order to give them more weight in the decision making process particularly on matters regarding their Region (*on the positive side*, request explicit position to ensure empowerment + *on the negative side*, veto power
- c) to institutionalize interactions with Regional/Sub Regional organizations between AGMs (Ex-Co interactions/CGIAR Secretariat/Alliance of IARCs), also
 - capitalizing on regionally organized CSOs Forum with continued interactions through activities such as the 2006 Forum and virtual conversation
 - going beyond the advisory function to the formulation of Action Plan(s) exploring common avenues for the future and shared priorities around demand-driven relevant technology development, joint fund-raising in support of collaborations
- d) to build Centers or Platforms of excellence in articulation with NARS/SROs, supporting the strengthening their role in coordinating regional networks where they have a comparative advantage. This could also include investing in Centers of specialization (CORAF/WECARD Strategic Plan) and Network Clusters identified under the REPCAs.
- e) to also support non CGIAR-owned or managed Research Platforms like the NEPAD–BECA and/or other similar initiatives congruent to its priorities and strategies and well placed to have regional impact..

The currently used concept of “Centers supported by the CGIAR” was adopted by the Group only to solve a difficulty that emerged in the mid nineties with the utilization of the name “Future Harvest Centers” by IARCS which created confusion in some donors and Agencies making it difficult for decision makers to relate new funding requests presented under this label with the well-known IARCs/CGIAR category. But, read in the context of the Change Management Process, it may also provide CGIAR stakeholders the flexibility to consider how to allocate financial support to agricultural research activities carried out (or coordinated by) by IARCs and/or other entities than the fifteen (15) “owned” centers. Elements of this approach were conscientiously or not included in the decision widely discussed and endorsed in 2003 to establish a CGIAR Challenge Program for Sub Saharan Africa. The bulk of the activities of the SSA CP are financed by the CGIAR like other CPs but they are implemented by NARS, regional networks and IARCs with coordination responsibility entrusted to the Forum for Agricultural Research in Africa (FARA).

The cascading of an essential part of SSA CP funding from FARA to SROs and NARS has been viewed by number of influent investors in the CGIAR as a positive step towards greater CGIAR support to NARS and other partners reinforcing a programmatic approach and providing flexibility for CGIAR interventions.

Conclusion

When CGIAR stakeholders decided at AGM03 to establish two Task Forces on programmatic and structural alignment in Sub Saharan Africa they explicitly considered that this first in depth regional analysis of CGIAR programs and modes of operation with a regional perspective would be followed by similar analysis in the other regions. The overall objective seemed to revisit the CGIAR system delivery inserting a more robust regional dimension in the formulation of its priorities and programs and in their implementation.

The work of the CGIAR Task Forces on SSA and their joint 2005 report has certainly shed enough light on the situation of the CGIAR vis a vis Sub Saharan Africa and its challenges. But opportunities remained to be seized. There would be merit for the CGIAR to take advantage of the Change Management Program to re-assess the Regional option of partnerships at the system level as well as at center level. Regarding Sub Saharan Africa where more robust regional and sub-regional organizations exist today, the CGIAR should consider to engage in an open dialogue with these partner organizations to build a new, more appropriate and efficient international agricultural research system. Such an initiative would benefit from the experience of CGIAR System Wide Initiatives, Eco-regional Programs and Challenge Programs that have been testing new partnerships forms, as well as the new instruments for collective actions in SSA developed by the Alliance of the Centers.

Finally, recognizing that it is difficult to address partnerships and programmatic issues at regional level alone without reflecting on the whole CGIAR System, adopting a strong regional approach would have implications throughout CGIAR operations and would probably have to be reflected in its governance model.

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The Forum for Agricultural Research in Africa (FARA)

FARA inherited SPAAR functions and responsibilities in 2002 as the Apex organization of African SROs in the context of the Global Forum for Agricultural Research (GFAR). One of its core original objective was to reinforce African NARS capacity and foster continental and global networking.

The first action of FARA, together with SPAAR, was leadership in the formulation of the Vision for African Agricultural Research which has been adopted by NEPAD as the vision for the Comprehensive Africa Agriculture Development Program (CAADP). Building on SROs strategies, FARA's new strategy is conceived around a Vision of reduced poverty in Africa and improved livelihoods with a clear advocacy mandate vis a vis African policy makers and all actors in the international arena. FARA 2007-2016 Strategic Plan¹⁸ ambition to maximize the impact of agricultural research and development learning from past success of research and in influencing agricultural policies

FARA is a continent-wide forum of stakeholders interested in agricultural research and development the Forum is open to African and non-African institutions committed to improving African agriculture in the context of the MDGs. According to its Strategic Plan, FARA's value proposition is "to provide a strategic platform to foster continental and global networking that reinforces the capacities of Africa's national agricultural research systems and sub-regional organizations" Embedded in its networking support functions is the objective of catalyzing partnerships and strategic alliances bringing together the range of expertise and capacities needed to achieve broad-based agricultural productivity, competitiveness and markets in a sustainable manner in Africa.

FARA has technical responsibility for the implementation of Pillar IV (agricultural research, technology dissemination and adoption) of the AU-NEPAD CAADP Program. This coupled with its adopted subsidiary principle seems to position FARA well to be the catalytic force for a renewed CGIAR dialogue with SROs and NARS on its partnerships and service delivery system in Africa.

FARA Strategy: Integrated Agricultural Research for Development (IAR4D)

To enhance African Agricultural innovation capacity, FARA adopted a new paradigm formulated through intensive consultation with SROs, NARS and other stakeholders, Integrated Agricultural Research for Development (IAR4D). IAR4D aims at fostering synergies among disciplines and institutions along with a renewed commitment to change all levels from farmers to national and international actors and policy makers.

The Challenge Program for Sub Saharan Africa (SSA-CP)

FARA has developed and mobilized resources for the implementation of the CGIAR Sub-Saharan Africa Challenge Program (SSA-CP). SSA CP objectives are to develop technologies for sustainable intensifying subsistence oriented farming systems

The Framework for African Agricultural Productivity (FAAP)

FARA has, in consultation with stakeholders, developed the Framework for African Agricultural Productivity (FAAP) to address the challenges prioritized by the CAADP. The purpose of the FAAP

¹⁸ under formulation

is to guide and assist partners in African Agricultural Research and development to meet the objectives of the African growth agenda “by empowering farmers, livestock producers, and their organizations; strengthening institutions, both public and private; promoting harmonization of internal and external actions and actors; and generating increased investment”

FAAP articulates nine principles that should be reflected in agricultural productivity efforts in order to achieve the African Vision of 6% per annum growth in agricultural production: empowerment of end-users; planned subsidiarity; pluralism in delivery; evidence-based approaches; integration of agricultural research; explicit incorporation of sustainability criteria; systematic utilization of improved management information systems; introduction of cost-sharing; integration of gender.

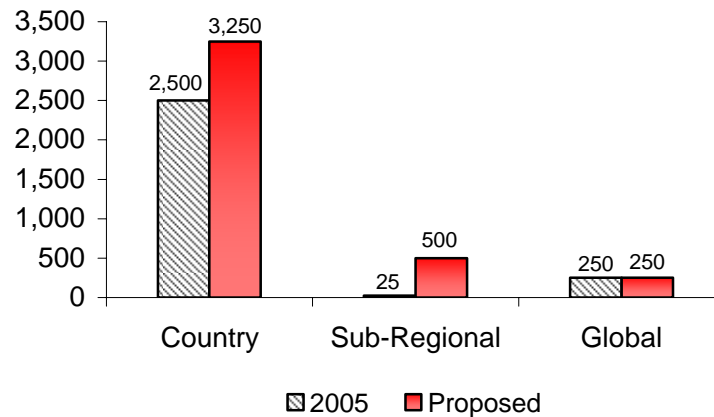
Increasing the Scale of Africa’s Agricultural Productivity Programs

It is estimated that, in aggregate (including public and private expenditures at all levels – local, national, sub-regional, and global) roughly US\$ 2.5 Billion is spent annually on Africa’s agricultural productivity programs. Most of this spending is concentrated in the national programs (see the chart below) – about half of which is financed by African governments themselves and the other half from external sources. A very small proportion of the total (roughly US\$ 25 Million annually) is administered at the sub-regional level by the SROs.

FARA recommends a substantial increase in investment in Africa’s agricultural productivity programs – rising annual aggregate spending on these programs to US\$ 4 Billion by 2010. This increase should include an increase in the scale of spending at the national level - on the order of US\$3.25 Billion annually for Sub-Saharan Africa as a whole. This would represent an increase by one third over current levels of investment in these programs. Under the FAAP current investment levels of roughly US\$25 Million annually at the sub-regional and continental level, would be increased to US\$500 Million annually while global investments should be maintained at roughly \$250 million (FARA -Framework for African Agricultural Productivity, June 2006).

In order to attain and sustain these levels of investment, African countries would have to increase their own contributions to these programs while the G8 group of developed countries and the associated development agencies will need to honour their commitment to substantially increase their support to these programs.

**SSA: Agricultural Research & Extension
(US\$ Million / year)**



FARA -Framework for African Agricultural Productivity, June 2006

The Association for strengthening Agricultural Research in Eastern and Central Africa (ASARECA)

The Association for strengthening Agricultural Research in Eastern and Central Africa (ASARECA) is a non-political organization of ten national research institutions (NARIs). Its main goal is to increase the efficiency of agricultural research in the east and central Africa region, to facilitate growth, food security and export competitiveness through increasing agricultural productivity and sustainability.

ASARECA was established in 1994 following the approval of the Framework for Action for revitalizing agricultural research in Eastern and Central Africa spearheaded by SPAAR, and after extensive consultations with NARI leaders. The MOU creating ASARECA clearly recognizes IARCs as “supporting partners “of its regional networks.

In fact seven (7) out of the current seventeen (17) networks organized by ASARECA are either coordinated from a CGIAR center, like the African Highlands Initiative (AHI) hosted by ICRAF, or the banana research Network for eastern and Southern Africa (BARNESA) to which INIBAP provides coordination support, or benefit strong scientific support from an IARC as in the case of CIMMYT for the Eastern and Central Africa Maize and Wheat Network (ECAMAW), or ICRISAT for the Eastern and Central Regional Sorghum and Millet Network (ECARSAM).

The Committee of Directors of ASARECA, its highest governing body which consists in the ten Directors of country members NARIs and representatives of the Deans of faculties of Agricultural Sciences in the region has welcomed participation of IARCs DGs as observers at its meetings. ASARECA has benefited since 1999 a solid financial support of 29.3 million Euros for a five year period from the European Commission. EC has also been instrumental in making possible the ASARECA Competitive Research Grant System (CGS) with over 13.5 million Euros. The CGS is a multi donor funding arrangement which allows Networks, National Programs and Projects to compete and maximize the use of resources in a transparent and cost-effective manner.

Under its new Strategic Plan 2005-2015, entitled “Fighting Poverty, Reducing Hunger and Enhancing Resources through Regional Collective Action in Agricultural Research for Development ASARECA recognizes the value of its collaboration with the CGIAR and call for its pursuit under more integrated regional planning. By playing a convening role and coordinating the formulation of the priorities of the Networks, Programs and Projects (NPPs), putting them in the context of the Sub-region economic situation, and evaluating their environmental impact and potential distribution of benefits, there is no doubt that ASARECA could also constitute also a valuable source of interaction for CGIAR priority setting exercises.

CORAF/WECARD

Established in 1987 as an association of NARS Directors of Francophone West and central African countries with the objective of strengthening NARS through partnerships among them and with ARIs and IARCs, CORAF became in 1995 the West and Central African Council for Agricultural Research and Development (CRAF/WECARD) widening its coverage to include English and Portuguese speaking countries in the sub region. Today it comprises 21 member states representing an area of 11.5 million Km² and a population of 318 million.

CORAF original strategy was to establish networks that would be coordinated from a NARS open to international cooperation and agreeing to take regional responsibility for NARS in the Sub-region rather than automatically rely on IARCs capacity and expertise in networking. CORAF networks were essentially commodity-based (cassava, groundnut, livestock, maize, rice) and a cutting across theme, drought resistance. CORAF attempted to build its networks in collaboration with IARCs but not with regional nodes hosted by an IARC. This strategy received strong unrestricted support from France in the eighties and early nineties before being joined by the European Commission and USAID with a combination of unrestricted institutional and restricted funding. Because of the competition on funding these networks in parallel with other IARCs coordinated networks CORAF/WECARD strategy led to some incomprehension with IARCS, except in the case of WARDA which provided direct support and engaged substantial partnerships efforts through its Task Force approach that ended up in jointly coordinating the CORAF organized rice network as of 1998.

CORAF/WECARD new Strategy and Operational Plan (2007-2012) formulated in the context of the Comprehensive African Agriculture Development Program (CAADP) and the FAAP represents a shift away from the commodity-based mechanism towards a more holistic and integrated approach designed to ensure that researchers will work together with all actors (including extension agents, private sector, and NGOs) to deliver impact. The new strategy articulates eight (8) core programs.

The European Commission is among the major donors providing institutional support and funding some regional CORAF/WECARD projects under the 8th EDF.

SADCC/SACCAR

In 1984, SADCC established the Southern African Center for Cooperation in Agricultural Research (SACCAR) as an inter-governmental body. After garnering donor support for over a decade SACCAR was transformed into a Sector Coordinating Unit given to the responsibility of Botswana which unfortunately could not put in place a funding mechanism ensuring SACCAR’s funding sustainability. The Unit was transformed into FANRD, a national Directorate Food, Agriculture and Natural Resources Directorate with no more regional coordination capability.

SADCC has recently renewed its commitment towards regional research coordination and one of the key output expected from the ongoing World Bank supported Multi country Agricultural Productivity Program (MAAPP) is the establishment of an effective SRO re-engaging in formulating strategic research priorities for the sub-region.

The Multi country Agricultural Productivity Program (MAAPP)

This program reflects a new impetus towards strengthening NARS in line with past SPAAR, FARA and SROs efforts. If successful it will provide the CGIAR an opportunity to engage in “more equitable” planning and collaboration discussions with NARS and SROs along the lines of the REPCAs.

- Over the last five years a Multi country Agricultural Productivity Program (MAAPP) has been developed under the auspices of NEPAD/CADADP and FARA to address agricultural productivity issues with a long term perspective. This initiative which is supposed to embrace a ten to twenty years perspective has been supported by the World Bank under its Africa Action Plan (AAP) designed in 2005 as the centerpiece of its strategy to help Africa reach the MDGs.
- This strategy emphasizes three focus areas – one of which being “Strengthening the drivers of growth”.
- The funding of a pilot project by the World Bank, the West Africa Agricultural Productivity Program (WAAPP) Support Project as a component of the MAAP was recently endorsed (June 2007) by the different parties and led to the signature by CORAF/WECARD and the Governments of Ghana, Mali and Senegal of an Adaptable Program Loan of forty five (45) US \$million (2008-2012). The project is supposed to be extended in other selected countries in West Africa over the next 10 years for an amount of ninety million.
- WAAPP contents four components : 1)Enabling conditions for regional cooperation in Technology Generation and Dissemination, US\$ 5.3 million 2) National Centers of Specialization, US\$ 22.5 – [Upgrading core facilities and equipment, building capacity of researchers, supporting R & D programs of NGOs, supporting farm surveys and supply chains analysis and benchmarking] – ; 3) Funding of demand-driven Technology Generation and Adoption,US\$ 16.8; 4) Project coordination, Management, Monitoring and Evaluation, US \$ 4.9, under CORAF/WECARD responsibility.

Abstracts of World Bank African Agricultural Research and Development Document 2002

African Agricultural Research and Development

Increasing Effectiveness and Financial Sustainability

Introduction

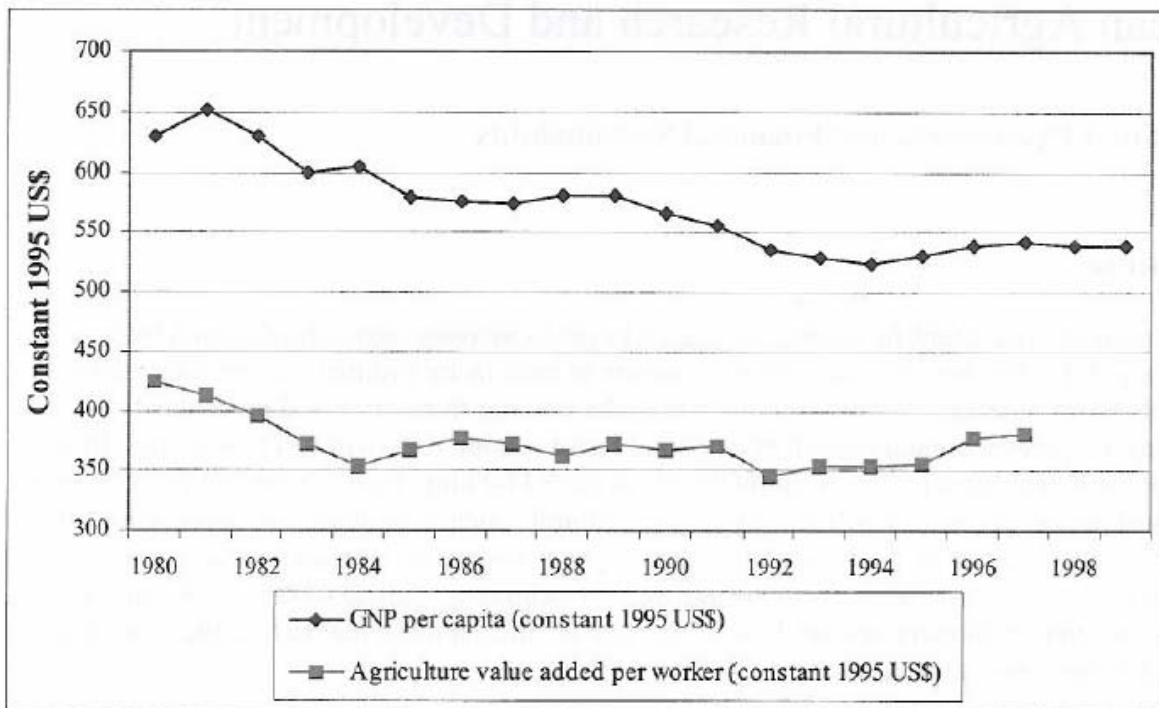
African political and scientific leaders have set a target to increase agricultural output by 6 percent a year for the next 20 years. Improvements in total factor productivity are expected to contribute about 3 percent to this, with the remainder coming from increased investment. Achieving a 3 percent annual growth rate of total factor productivity will be challenging. In no region of the world has total factor productivity increased by more than 2.5 percent per year over a sustained period of time. It will require (a) agricultural research systems that more efficiently and effectively generate the knowledge and technologies needed to increase output and productivity without destroying the environment; (b) technology delivery systems that quickly bring innovations to farmers and agribusinesses; and (c) mechanisms that reduce the costs and risks of adopting new approaches.

This concept note addresses the first issue: increasing the effectiveness of agricultural research through institutional and financial reforms. It proposes a new framework for financing agricultural research that will result in increased and more stable funding for research institutions and programs. It also recommends institutional reforms that promote a pluralistic and integrated system of agricultural research, extension and education that is responsive and accountable to farmers, agribusinesses, consumers and other stakeholders. The proposals build on the lessons learned from the Special Program for African Agricultural Research (SPAAR), the Food and Agriculture Organization (FAO), the Consultative Group on International Agricultural Research (CGIAR) and many others, during efforts to help revitalize African agricultural research.

Context

Unlike in other regions of the world, productivity of agriculture per worker in Africa has declined during the past twenty years (figure 1). Value-added per worker averaged just US\$365 during the 1990s (constant 1995 US\$). This is 12 percent lower than in 1980, when value-added per worker stood at US\$424. Average incomes per person also stagnated during the 1990s at just US\$540, compared with US\$629 in 1980 (constant 1995 US\$). Raising the productivity of agriculture per worker can make a critical contribution to economic growth and alleviation of poverty by generating the surpluses that can be used for investment in agricultural and nonagricultural activities. Most of the countries in the world that have grown rapidly during the past 50 years have also experienced strong increases in agricultural productivity per worker.

Figure 1 Agricultural value-added per worker and per capita GNP, Sub-Saharan Africa, 1980- most recent available (constant 1995 US\$)



Source: World Bank World Development Indicators database

Agricultural yields have also been level or falling for many crops in many countries of Africa. Significantly, yields of most important food grains, tubers and legumes (maize, millet, sorghum, yams, cassava, groundnuts) in most African countries are no higher today than in 1980. Cereal yields average 1,120 kilograms per hectare, compared with 2,067 kilograms per hectare for the world as a whole.

Low productivity has seriously eroded the competitiveness of African agricultural products on world markets. Africa's share of total world agricultural trade fell from 8 percent in 1965 to 3 percent in 1996.

Low productivity is the result of low investment in all the factors that contribute to agricultural productivity and ineffective use of available resources. Low investment in turn have arisen from policies that have favored investments in urban infrastructure and industries rather than in rural areas and agriculture. This is now changing as African countries increasingly adopt sound and stable macroeconomic and fiscal policies, open their political systems to greater participation of all citizens, including rural people, and provide a stronger role for markets in allocating resources. These changes are expected to significantly increase investment in agriculture by improving the profitability of such investments.

Rationale for increasing spending on agricultural research

Studies demonstrate that, by increasing agricultural productivity, investment in agricultural research is a key factor in stimulating growth, generating income, and reducing poverty. Growth in agriculture from yield increasing technologies can have high multiplier effects on overall economic growth;

about 2 to 3 times the initial agricultural growth rate according to Delgado (1998) and Block & Timmer (1994). Growth linkages occur as incomes rise from adoption of yield increasing technologies, which raise labor employment in agricultural activities, and increase demand for other non-agricultural (mostly domestic) goods and services (Mellor 2001). Agricultural productivity growth can also help to reduce child malnutrition at a rate of about half the original growth rate in productivity (Thirtle and al 2001). A study in India examining the roles of various public interventions in promoting agricultural growth and poverty alleviation discovered that government investment in agricultural research and extension had a larger impact on economic growth than spending on other rural programs, such as rural roads, irrigation, rural electrification, soil and water conservation, education, and health (Fan, Shenggen, Peter Hazell, and Sukhadeo Thorat, 1999). Moreover, it had a significant impact on reducing poverty, second only to rural roads. A study using data from Africa found that spending on agricultural research generated high payoffs in the region, with each dollar spent generating a median internal rate of return of 37 percent (Evenson, 2001). Research on pearl millet, maize, sorghum, potatoes, beans, wheat and cowpeas has generated returns ranging from 16 percent to 135 percent. It has been documented that 100% increase in agricultural productivity has the potential to raise per capita GDP by 58% (Thirtle and al 2000)

Yet, despite its proven value, public spending for agricultural research in Africa stagnated in the 1980s and the 1990s at about US\$ 1,148 million per year, slightly higher than the level reached in 1976 (Pardey, Alston, Roseboom, Wyatt, 2001) (1985 US dollars). This is in contrast to the situation of the 1960s and 1970s when public spending more than doubled, from about US\$360 million in 1961 to US\$930 million in 1981. During the 1970s, 1980s, and 1990s, Africa's share of total spending by developing countries on agricultural research slipped from 20.9 percent in 1976 to 11.2 percent and 11.1 percent respectively in 1985 and 1995.

Public spending on agricultural research in Africa in comparison to agricultural GDP has also declined, from a peak in 1981 of 0.93 percent to 0.69 percent in 1991. By contrast, public spending in industrial countries on agricultural research amounted to about 2.4 percent of agricultural GDP in 1991.

The share of private sector funding of agricultural research is estimated at about 2 percent of the total funding effort in Africa. A conducive environment is yet to be set prompt an active and increased role of the private sector in SSA.

Funding research activities of regional dimension estimated at less than 2% of the total funding effort is in sharp rise, because of the growing interest shown towards regional collaboration and integration.

International agricultural research geared to developing countries, is mostly carried out under the auspices of the Consultative Group for International Agricultural Research (CGIAR). In 1995 it represented only 1.5% of the nearly 22 billion spent on public-sector agricultural research worldwide, down from 3.8% a decade earlier. 40% of the CGIAR annual budget (# US\$ 300 million) is earmarked for Africa.

New evidences on global spending on science (UNESCO 1999, RICYT 2001 and OECD 2000) quoted from Pardey and Al (2001) show that Africa's share (0.6%) places the continent in even more remote position in world's map.

These aggregated numbers and trends mask huge variations among countries. Pardey and al (1997) noted that about half of the African countries surveyed spent less than 20 million on agricultural R&D in 1991. Only Kenya and South Africa spent more than 100 million.

Why has support for agricultural research in Africa declined, given its high payoffs? Reductions in government support for agricultural research reflect in part pressures on African governments to reduce spending generally. But, spending on agricultural research has also declined in proportion to total government spending, as priorities have shifted and governments question the value of research given the lack of improvement in agricultural productivity in Africa. Likewise donor support to agricultural research has declined because of shifting priorities, away (until very recently), from agricultural production to environmental protection, health, education, water and sanitation and *the* like. Many voices in the international, regional and national arenas question the need for continued public funding, thinking that the worlds' food problems *are* solved or constrained by things other than R&D or that the private sector will do the job. None of these views is correct.

The stagnation of spending on agricultural research is deterrent because the challenges that African agriculture faces are growing ever greater. In addition to the recurrent food and endemic rural poverty challenges, Africa must cope with globalization, rapid urbanization, degrading water and soil resources, the devastating impact of HIV/AIDS, and the displacement of millions of farmers because of civil and international conflict. We have both evidence and confidence that a sound application of new biological, informatics, applied mathematics tools and others sciences, to African crops, animal and other natural resources, could make *a* crucial difference in raising agricultural productivity, but only if institutional capacity is built and stable funds are available for research. Moreover, the impact of research on agricultural output and productivity is expected to greatly increase because of the improved incentives to invest in agriculture arising from the changes in policies and governance adopted by many African countries in the 1990s.

African political leaders affirmed their commitment to a technology-led transformation of the African agricultural sector as part of the New Partnership for Africa Development (NEPAD) endorsed by the meeting of the Organization of African Unity in July 2001. Increasing spending on agricultural research and improving the capacity and efficiency of research centers are key priorities in the new agenda set for Africa. The goal is to double the current annual spending on agricultural research in Africa within 10 years. This means spending will need to increase by an average of 7.2 percent a year during the next decade.

The increased funds will have to come from many sources, including government, donors, producers, financial institutions, agribusiness firms and consumers. Initially, government and donor funds will provide the largest proportion of funds for agricultural research during the foreseeable future. At this stage of the continent development, producers and other technology users are not likely to be able to cover the full costs of research until their incomes rise significantly. A strategy should be developed to build up the capacity of producers' organizations and other technology users, in order to gradually improve and increase their role formulation, implementation and funding of the research agenda. A similar strategy should be developed to ensure greater and more sustainable implication of non profit organizations in the R&D effort. The traditional private sector, in SSA, is still too small and weak, with the exception of South Africa, to support the level of research that Africa requires to rapidly improve its agricultural productivity. Experience shows that neither domestic nor international private firms are interested in conducting research on many crops important to Africa

because the promise of profits is not sufficiently high. Most of private science involves chemical and food processing concerns as well as crop and animal technologies more suited to capital-intensive forms of commercial agriculture with high, off-farm and value-added aspects. The potential social benefits, however, are enormous, giving the public sector a clear role in carrying out research on such crops.

With well designed national, sub-regional and regional agricultural R&D strategies, over time there should be increasing local funding from the public, and non-public sectors to support the core functions of the research system, using a series of financial instruments/mechanisms such as commodity cesses, debt-swaps etc. External funding would focus on support to restructuring and strengthening of all components of the national system and research priorities of national and sub-regional interest. The bulk of funds should be provided increasingly on a competitive basis with the objective to provide incentives and to improve the efficiency of research.

Institutional reforms are underway

Over the last two decades, national, subregional and regional agricultural research institutions in many part of the continent are reforming their organizational structures and operations to become more efficient and thus more sustainable. They are strengthening linkages with each other, working much more closely with farmers, extension services and other stakeholders, and increasingly managing their operations in accordance with business principles. The most promising reforms are outlined below.

National agricultural systems

Most of the public research in Africa is done by government agencies. In 1991 it was estimated that universities contributed only 10 percent to the overall research effort. However, in Africa as well as in Latin America, non profit institutions perform more of the public research than they do in developed countries. Many of these non profit institutions are linked to producers organizations or charitable institutions, conducting research on commercial crops as well as food crops. The large majority of national public agricultural research institutions (NARI) have restructured their managerial and governance systems to reflect these realities and become more responsive and accountable to clients, farmers, agribusinesses and consumers, and to introduce sound financial and accounting systems. A recent SPAAR study of the scope and depth of institutional innovations in agricultural research in 41 countries found that many were applying the principles identified as important for strengthening operations. About 95 percent of institutions were involved in regional collaboration and integration; 84 percent had strengthened linkages between research, extension and farmers; 73 percent had institutionalized a strategic planning process; 66 percent had improved their institutional and management capacity; and 39 percent had developed sustainable financing mechanisms.

Applying these principles, many agricultural research institutions have moved away from the classic public service model towards more market-oriented, client-responsive approaches. In Cote d'Ivoire agricultural research and extension services have been partially privatized. In Uganda responsibility for delivering extension services has been completely decentralized to local governments. In Kenya a new R&D outreach program empowering farmers and their organizations in technology delivery, is being piloted. In Kenya, Uganda, South Africa, Zimbabwe, Mali and Tanzania private firms are conducting or funding research on most commercial crops. A

growing number of semiautonomous or autonomous research institutions-including the Kenya Agriculture Research Institute, the National Agricultural Research Organization of Uganda, the Ethiopian Agricultural Research Organization, and the Senegal Institute for Agricultural Research- are formulating agricultural research programs in close collaboration with farmers and agricultural extension staff to identify production constraints and adapt technologies to farmers' requirements and circumstances. Research institutions now include stakeholders (representatives of national agricultural research institutes, universities, nongovernmental organizations, farmers' organizations, agribusinesses and others) on their governing boards. They are also managing their activities using principles from modern business administration to link inputs to performance and outputs. Burkina Faso, Ethiopia, Ghana, Kenya, Mali, Senegal, Tanzania and Zambia have taken steps to bring their infrastructure, staff and operational costs into balance and improve incentives to researchers, rewarding those who perform at top levels.

However, these institutional reforms need to be deepened in the limited number of countries that have introduced them and are to be extended to more countries. The key reforms that need to be extended include:

Opening up the agricultural research system to more actors. Most of the countries have not yet met the objective of establishing a pluralistic but integrated National Agricultural System. Countries need to formulate a national policy and strategy for agricultural R&D; identify and assign roles and responsibilities for the implementation of the policy and strategy. according to institutional comparative advantages; develop policy and financial instruments to promote competition and collaboration among R&D institutions; and develop incentive systems to rewards field impact. A special effort should be made to increase and systematize the role of Universities, NGO, and others technology providers. The "civil society" at large, Including users of research outputs (farmers organizations, consumers representatives when existing, etc.) should also he part of the process of establishing a genuine NARS. The adherence to these objectives should regarded as a "condition" for further external support to national research systems.

Involving all key stakeholder groups including producer groups, consumer groups, agribusiness and banking institutions, government services (finances, planning, all technical ministries), NGOs and universities, in the **governance structure of all agricultural R&D institutions.** This means that these stakeholder groups would be represented in the governance structure of both research and extension institutions to ensure relevance, complementarities and responsiveness in service delivery.

Linking firmly agricultural research and extension in the reform and restructuring processes. Every attempts should be made to brake down the existing institutional barriers between technology development and transfer. The mechanisms and modalities to adapt and facilitate technology adopt by producers and processors must be tailored to the specifics conditions, capacities and needs of localities and regions within countries. The general principles for improving technology delivery are (a) liberalize extension functions in order broaden the scope of technology providers (include in particular NGOs and qualified private agents), and (b) empower producer and processor organizations to decide on the nature and quality of service they want. It is essential for research institutions to establish the relevant outreach organs that ensure better communication and technology transfer and adoption.

Subregional and regional agricultural research systems

During the past 20 years, there has been a strong move in Africa towards regional collaboration and integration. Several subregional research centers have been established to coordinate agricultural and natural resources research, to avoid duplication, and to serve as a forum to share knowledge and technology. These are ASARECA, CORAF/WECARD and Southern African Center for Cooperation in Agricultural and Natural Resources Research and Training (SACCAR). ASARECA and CORAF/WECARD are associations of the main public research institutions in the countries in their sub-regions. SACCAR was a commission of the Southern African Development Community (SADC) until 1998, when it became a sector coordinating unit. The subregional organizations are important to link small national research programs together within a large network that can take advantage of economies of scale and strengthen partnerships with advanced research institutes and CGIAR centers.

The subregional organizations have lean structures and small staffs. A secretariat manages the day-to-day affairs of the organizations and a committee or a board of directors comprised of the directors of the national research centers guides the overall operations. Scientists of the national centers undertake the collaborative research projects of the regional networks and programs with technical back-stopping from scientists of the CGIAR and the advanced research institutions.

In addition to the subregional organizations, SPAAR has helped establish the Forum for Agricultural Research in Africa (FARA) as an apex organization consisting of the three subregional organizations. FARA represents the African national agricultural research systems in the Global Forum for Agricultural Research and in the CGIAR system. FARA will take over most of the functions of SPAAR.

Additional reforms to consolidate and expand sub-regional and regional collaborative programs and mechanisms must be based on the following principles:

- **Adding value to national programs.** Sub-regional and regional should ensure and demonstrate that they address national problems/concerns and/or add value to ongoing national efforts. The objective for the next generation of sub-regional and regional programs should be to achieve an effective integration of national programs and resources through a division of labor among national institutions/programs and a building of "integrated regional teams".

- **Subsidiary and comparative advantage.** The implementation of research activities must be carried out, whenever possible, at the lowest national level and by the most qualified institutions, using the principle of comparative advantage and within the framework of agreed regional strategy and priorities (defined by its NARS members who are the "owners" of the sub-regional level).

- **Broadening the scope of regional stakeholders and Developing Agricultural Knowledge and Information Systems.** The SROs and FARA must align themselves on national trends calling for "pluralistic agricultural R&D systems". Universities, NGOs, and agribusiness and producer associations should be full-fledged members of the sub-regional and regional agricultural R&D organizations. Priority should be given to develop cross country integrated research, training and extension programs and investment plans for improving agricultural development.

- **Sustainable financing.** Sub-regional organizations should devise strategy and mechanism to ensure a long-term sustainability of their institutions. These funding strategies must be based on a vision and long-term planning system. Funding of core activities should be entirely provided by the countries or NARS involved (within a five years time frame).

Program funding should be provided by external financial partners focusing on the regional/subregional priority. A key objective is to phase out external funding over time. At the regional level, external support should focus on strengthening the regional fora constituting the GFAR in Africa, the "Forum for Agricultural Research in Africa" (FARA). The efficiency of sub-regional and national agricultural research can be improved considerably through research co-ordination mechanisms at the regional level (such as FARA) and the global level (CGIAR Centers and GFAR).

International agricultural research

The Global agricultural research system (built around the CGIAR and the emerging Global Forum for Agricultural Research systems) is going through a restructuring process aiming at building the foundation for sustainability and greater accountability. The key objectives of the reform process is to broaden the constituency base of the system, increase the role and responsibilities of the beneficiaries and ensure greater impact.

Reforms include new approaches to financing research

Although much more needs to be done, some African governments and their partners are introducing reforms to increase the level and stability of resources available to research institutions and to ensure that resources are used more efficiently and effectively. The Sustainable Financing Initiative, spearheaded by SPAAR and USAID, is helping institutions find and test new ways of collecting and disbursing funds. Mechanisms being explored include:

- Collecting fees from the distribution of improved seeds and other technologies generated through research
- Securing contracts for research
- Obtaining royalties from intellectual property rights
- Commercializing research
- Obtaining grants from foundations
- Cofinancing projects with private firms, producer groups, NGOs, and investment agencies,
- Increasing governments' contributions from domestic revenues, including through funds made available under the Highly Indebted Poor Country Initiative (HIPC).

The subregional organizations are also involved with designing and establishing mechanisms to provide a stable source of funding for agricultural research. With the assistance of the European Union (EU) and the USAID, the Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA) has established a sophisticated regional competitive fund. Le Conseil Ouest et Centre Africain pour la Recherche et le Developpement Agricoles (CORAF/WECARD) is establishing a similar fund, with assistance from the EU, France and the African Development Bank.

Research institutions in some countries are forming partnerships with the private sector, following worldwide trends. A highly promising model is the joint-venture developed between the Institute for Genome Research in the United States and the Kenya-based International Livestock Research Institute, to develop control methods for the East Coast Fever, a disease that kills one million cows in the region each year.

Even without additional resources, African agricultural research institutions can improve their impact by using available resources much more efficiently and effectively. Competitive grant schemes are increasingly being used to fund agricultural services. Under these schemes organizations are invited to submit research proposals to a committee, which then selects the best proposals for funding. The competitive grant schemes do not increase the amount of resources available, but influences how they are allocated.

Current methods of financing agricultural research in Africa

The current funding of research and development in Africa operates at three distinct levels through a variety of financial instruments:

1. Funding for international agricultural research institutions operating in Africa comes through (a) a multicountry noncompetitive grant mechanism to support international agricultural research centers of the CGIAR, (b) a multicountry competitive grant mechanism, through which projects are selected competitively on the basis of scientific merit (this applies to programs funded by the EU), and (c) national grant mechanisms to support advanced academic and research institutions. Funds to support the operations of the CGIAR system come from members' contributions. Members include industrial and developing countries, foundations, and international and regional organizations. Industrial countries, specifically the members of the Development Assistance Committee of the Organization for Economic Cooperation and Development, contribute more than two-thirds of CGIAR financing. The World Bank assumes the role of donor of last resource. The adequacy and stability of funding for the system has become a major concern (both for the system as a whole and for Its SSA component).
2. Nearly all the funds used to operate regional and subregional research institutions come from grants of bilateral and multilateral donors. The African member states bear some operating costs as well substantial in-kind contribution in facilities and human resources.
3. Resources to operate national institutions and programs come from loans, grants from donors and government budgetary allocations. Loans from the World Bank are by far the most important source of funds for most countries. Domestic resources are particularly important in Botswana, Mauritius and South Africa.

Little progress has been made in coordinating funding for activities at various levels, despite the improvements made in creating regional networks, programs and management of funding.

Proposed new funding framework: Objectives and instruments

Goal

The overall goal of the proposed financing framework is to promote a research system that is efficient, effective and has a rapid and widespread impact on agricultural output and productivity. This will be achieved by giving farmers, agribusinesses and other clients a much greater role in funding and governing the system. It will require increased government commitment to and leadership for agricultural research.

Objectives

The first objective of the new funding framework is to increase the level and stability of funding for agricultural research at international, regional and subregional levels, and country levels. The second is to achieve a better balance in resource allocations to strengthen NABS (the weak links of the research and development system). The third is to encourage institutional reforms that will enhance the impact of spending on research, including through regional integration and harmonization of research infrastructure in the three main ago-geopolitical regions of Sub-Saharan Africa and stronger partnerships with advanced academic and research institutions.

Components

The new system will have four interrelated components:

1. The main component of the system will be a window to provide funds to national agricultural research institutions. Funds for the national institutions will come from (a) national resources, such as users fees"; income from contract research, and allocations from national budgets; and (b) donors' grants and loans channeled through a multicountry funding facility.
2. The second component will provide funding for the core and program activities of the subregional organizations. It has two subcomponents. The first will provide grants to fund the core functions of subregional organizations and the regional collaborative networks and programs. Funds for core activities will come from earmarked grants of donors matched by country contributions. Funds for regional networks and programs will come from a mix of grants and loans provided by member countries. They will be allocated through a competitive bidding process using regional competitive funds.

The second subcomponent will provide funds to the subregional organizations to allow them to buy services tailored to their specific needs from the CGIAR centers and other advanced research centers. Funds will be additional to the resources earmarked for the CGIAR. This approach will support the ongoing efforts of the CGIAR to align and tailor its programs to regional needs. The subregional organization and the international agricultural research center operating in the region must jointly decide on the definition and implementation of the program and its monitoring and evaluation arrangements. The existing planning and oversight structures in the CGIAR system and the subregional organizations must be used to ensure that research projects are relevant and of high quality. This new approach must be piloted, then scaled up.
3. The third component will provide grants to fund the core activities: the Forum for Agricultural Research in Africa (FARA). FARA should remain a lean and flexible organ with a limited budget. Funds will come from donors.
4. The fourth component will provide grants to fund core activities of the CGIAR, including System wide initiatives and challenge programs. Funding of the CGIAR system must be maintained at no less than its current level. Incentives and a competitive mechanism must be introduced to increase impact of the centers' operations.

Deepening institutional reforms to improve the impact of research

The new financing system will encourage countries to deepen and expand the ongoing

institutional reforms they have already undertaken to improve the relevance and impact of research. By providing flexible financing for specific, demand-driven services to local, national, and regional stakeholder groups; making greater use of competitive grants to allocate funds for research; and improving monitoring and evaluation to strengthen linkages between inputs, outputs and impact it will encourage institutions to be more responsive and accountable to stakeholders, and involve them more in designing, implementing, monitoring and evaluating programs. By financing regional and subregional research programs, it will help in increasing the impact of small national research programs. By allowing all qualified organizations to compete for funding, it will help mobilize the intellectual resources and capacity of nongovernmental organizations, rural organizations, universities and private agribusinesses as providers of research, extension and advisory services.

Who will support the new system?

The new system must be supported by a consortium of donors and governments. A core group of funding agencies and countries must take the lead in advocating for increased funding. The new financing system must be viewed and accepted as the appropriate approach for supporting the renewed CGIAR's Africa agenda and for the New African Initiative. A small portion of the multi-country IDA funds could be used for capacity building at the regional and sub-regional levels

Implementation

The implementation of the proposed institutional reforms and new funding framework will be done according to the following principles:

1. National, sub-regional and regional organizations will lead the overall process. African policy makers and research managers should develop further the concept and translate it into an Action Plan. Under the leadership of FARA, they have already established a Task Force whose main responsibility is to develop a Framework for Action (FFA) built from the African Vision for agricultural R&D, the Durban Declaration and this concept note. This FFA will be presented as the African agricultural R&D community's response to the NEPAD. This FFA is expected to be among NEPAD projects submitted to the GS meeting in July 2002 for support. From this FFA a robust Challenge Program will be derived and submitted to the CGIAR prior to the next CGIAR General Assembly in October 2002.
2. National agricultural R&D policy and strategy, built around the principles advocated in this note, should be developed and provide guidance for the reform agenda. The reform agenda should address institutional and policy issues related to both technology development and transfer (and training whenever possible). Agricultural R&D policies and strategies should be conceived as a full-fledged component of the national development agenda and elevate to the rank of national priority. A road map for sustainable financing should be derived from these policies and strategies. It should be based on a continued financial commitment from the Government as well as on a firm support by the rural constituents (local governments, local communities, agribusiness and producer associations. Leadership must come from within the national research and farming communities. The World Bank, USAID and bilateral donor agencies should provide both intellectual and financial support to these national efforts.
3. The road to sustainable financing for regional and sub-regional organizations involves several phased steps. First, these organizations should further evolve governance structure

and strategic planning processes to make them more inclusive, problem solving and impact focused and attuned to the "integration" challenge. Second, regional programs and services should more clearly reflect their uniqueness and value added to national and international programs and have inbuilt M&E and Impact Assessment components. Third, the sub-regional organizations should pursue ongoing effort to establish regional endowed funds and/or competitive funds and explore opportunities alternative funding sources.. mechanisms. Leadership to ensure sustainable regional collaborative effort must come from both NARS managers and agricultural policy makers (Conference of Ministers of agriculture). As part of the SROs sustainability drive, this proposal open an option for SROs to purchase services on a competitive basis from CGIAR centers, advanced research institutions, from private companies, or from elsewhere through contracts, to address specific issues and to provide technical and scientific backstopping to networks. The EII which has built a solid regional program should continue provide leadership on donor side and help co-ordinate as need arise all external contributions.

4. Current effort initiated by the CGIAR centers operating in Africa in collaboration with the SRO, to rationalize and align their programs to regional needs and strategies, must be consolidated and reflected in their governance and funding structures. A key objective to achieve is to establish a unique priority-setting process at the sub-regional level under the responsibility of the sub-regional forum. Under the new partnership arrangement, regional capacity building program (training and advanced research infrastructure development) should be a high priority. Likewise, national, sub-regional and regional organizations could draw on the system's technical and legal capability to handle and/or build capacities on new/sensitive issues such as intellectual property rights and biotechnology.

Next steps

The challenge now is to consolidate the consensus around the proposed concept and principles among stakeholders of the international and African agricultural research system.

The concept discussed first in the context of the African Caucus which meet in October 2000 prior to CGIAR 2000 annual meeting, was further developed and validated by PA-RA General Assembly and Executive Committee at its 2001 meetings. The concept is now being used a building block of a FARA program proposal to fit into the NEPAD.

In the World Bank, a consensus was reached through internal consultations on the CGIAR reform process. The World Bank's Africa Region has taken a particular interest in establishing the proposed multi-country funding facility. Once an agreement is reached with interested African countries, the Region would start the design of a multi-country agricultural research program (MARF) for Africa. The MARF will be structured as a horizontal adaptable program loan that will consist of individual operations in African countries. To be eligible to participate, countries must commit to (a) implement institutional reforms, (b) collaborate regionally, (c) develop arrangements for decentralized implementation, (d) provide adequate domestic resources to finance their shares of the cost and (e) develop strategic plans for agricultural research.

Because building effective agricultural research systems is a medium and long-term challenge, the MARF will be phased over an estimated period of 20 to 25 years. Phase I will provide resources for an initial period of five years to help as many countries as possible implement

institutional reforms. Subsequent phases will be designed to strengthen linkages among national, regional and international institutions, take advantage of economies of scale, and accelerate the dissemination of knowledge. The ultimate goal of the MARP is to increase agricultural productivity, accelerate growth, generate income, reduce poverty, and contribute to sustainable natural resources management.

In the wider research community, the challenge is to move from consensus building to action. The concept was presented and discussed with a broad range of partners during the recently-concluded General Assembly of the CGIAR. Especially important are consultations with the European Union and European countries, the Africa Development Bank, the United States

Agency for International Development (USAID), and the International Fund for Agricultural Development.

Process Matters

During a recent meeting between the Bank and the EU a consensus was firmed up and the following follow up action agreed upon:

Mr. Moctar Toure from the Bank and Phillippe Vialatte from the EU v work together and produce a revised concept note by the end of the year, integrating the points made above.

Mr. Werblow will share the note with colleagues from all EU member states during a forthcoming meeting in January. Support from individual member countries will be sought.

The concept note will be on the agenda for the Annual Meetings of FARA in Maputo, March 17-18. It is expected that the EU will be represented in Maputo with a high-level delegation.

Once the approach has been endorsed by *FARA* and other relevant constituents as well as key donors, and once their feedback has been integrated into the note, endorsement will be sought at the World Bank from Africa's Regional Operations Committee. Once an endorsement is obtained, preparation of a multi-country IDA credit line can start with a possible Board target date of spring 2003.

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