



European Initiative for Agricultural Research for Development (EIARD)

Analysis of donor support to CAADP Pillar 4 – Phase 1

A report to

Executive Secretary, EIARD, European Commission, Brussels

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Acronyms

AAA	Accra Agenda for Action
ADA	Austrian Development Agency
AER	Aid Effectiveness Review
AfDB	African Development Bank
AFI	Annual Funding Intensity
AGRA	Alliance for a Green Revolution in Africa
ARD	Agricultural Research for Development
ASARECA	Association for Strengthening Agricultural Research in Eastern and Central Africa
ASTI	Agricultural Science and Technology Indicators
AU	African Union
BEAF	Advisory Service for Agricultural Research for Development
BMGF	Bill and Melinda Gates Foundation
CAADP	Comprehensive Agriculture Development Programme
CAADP4	CAADP Pillar 4
CARDESA	Centre for Agricultural Research and Development in Southern Africa
CB/PP	Capacity Building/ Partnership Programmes
CGIAR	Consultative Group on International Agricultural Research
COMESA	Common Market for Eastern and Southern Africa
CORAF(/ WECARD)	Conseil Ouest et Centre African pour la Recherche et le Développement Agricoles/ West and Central African Council for Agricultural Research and Development
CRS	Creditor Reporting System
DAC	(OECD's) Development Assistance Committee
DDRN	Danish Development Research Network
DFID	Department for International Development
DGDC	Directorate General for Development Cooperation (Belgium)
DGIS	Directorate General for Development Cooperation (Netherlands)
EAAPP	East African Agricultural Productivity Project
EC	European Commission
ECA	East and Central Africa
ECOWAS	Economic Community Of West African States
EFARD	European Forum for Agricultural Research for Development
EIARD	European Initiative for Agricultural Research for Development
EU	European Union
FAAP	Framework for African Agricultural Productivity
FAFS	Framework for African Food Security
FAO	Food and Agriculture Organisation of the United Nations
FARA	Forum for Agricultural Research in Africa
FIMA	Framework for Improving Market Access
FSLWM	Framework for Sustainable Land and Water Management
FSTP	Food Security Thematic Programme
G-CP	Generation Challenge Program (CGIAR)
GDPRD	Global Donor Platform for Rural Development
GEF	Global Environmental Facility
IARC	International Agricultural Research Centres
IFAD	International Fund for Agricultural Development
IS	Innovation Systems
IS+	ARDInfoSys+
MDTF	Multi-Donor Trust Fund
MP	Mega-Programme (CGIAR)
NARS	National Agricultural Research System

EIARD – Analysis of donor support to CAADP4 – Phase I

Acronyms



NCP	National Contact Person
NEPAD	New Partnership for Africa's Development
NGO	Non-Government Organisation
NORAD	Norwegian Agency for Development Cooperation
NPCA	NEPAD Planning and Coordination Agency
NPP	Network Program Project (FARA)
NSF	Network Support Function
OECD	Organisation for Economic Cooperation and Development
PAF	Partnership for African Fisheries
PD	The Paris Declaration
PFF	Partnership in Food and Farming
R&D	Research and Development
REC	Regional Economic Council
RF	Rockefeller Foundation
RISDP	Regional Indicative Strategic Development Plan
RIU	Research into Use
SA	Southern Africa
SADC-FANR	Southern African Development Community - Food, Agriculture and Natural Resources Directorate
SDC	Swiss agency for Development and Cooperation
SFIAR	Swiss Forum for International Agricultural Research
SFSA	Syngenta Foundation for Sustainable Agriculture
SLM	Sustainable Land Management
SLWM	Sustainable Land and Water Management
SRO	Sub-Regional Organisation
SRSA	Strategy for Research in Sustainable Agriculture (DFID)
SSA	Sub-Saharan Africa
SSA-CP	Sub-Saharan Africa Challenge Program (CGIAR)
SWAp	Sector-Wide Approach
TLC	Triple Line Consulting
W&F-CP	Water and Food Challenge Program (CGIAR)
WAAPP	West African Agricultural Productivity Project
WB	World Bank
WCA	West and Central Africa



1. The CAADP Domain

1.1. Introduction

1. This appendix maps current donor support to ARD in SSA to the CAADP mandated agencies from the perspective of programme and project record keeping at continental level through NEPAD (see sub-section 1.2), at the regional (SSA) level through FARA (1.3) and at the sub-regional level through three Sub-Regional Organisations (SRO). The SROs are ASARECA (1.4), CORAF (1.5), and SADC-FANR (1.6).
2. With respect to CAADP Pillar 4, SROs are both the recipients of donor funds to implement networks, projects and programmes (NPP) that aim to improve regional cooperation and coordination in ARD; and they act as sub-regional donors disbursing grants (on a competitive or non-competitive basis) to fund research programmes and projects at a national level, build the capacity of research institutions at a national level, and support initiatives for inter-national research cooperation, collaboration and sharing findings.
3. The national level ARD activities are captured through the activities of continental and international actors, and SROs in Section 1.7. National Agricultural Research Systems (NARS) include national agricultural research institutes, universities, civil society organisations including farmer and pastoral groups, the private sector and non-governmental organisations.
4. As the central domain in the Study the CAADP domain the Study's strategy was to rely primarily and substantially on information from a representative contact person, guided and supplemented by information from their organisations' website and its associated documentation.
5. This appendix has three aims:
 - The first is to map existing policy support to ARD by summarising the relationship between CAADP Pillar 4 and NEPAD, FARA, the SROs and NARS based on the statements made by these organisations and their level of engagement with the CAADP process.
 - The second aim is to map existing investments that support ARD through primary self-reported data and secondary data on organisations' websites and in annual and strategic reports, where these have been publicly available.
 - The third aim is to contrast and compare policy statements of support with actual levels of ARD investment and, in doing so, highlight the extent of donor alignment and harmonisation with ARD priorities at a continental and regional level.

1.2. NEPAD and the CAADP

1.2.1. NEPAD policy on CAADP and ARD

6. The New Partnership for Africa's Development (NEPAD) is a programme of the African Union and a partnership of African member states to discuss, prioritise, plan and coordinate development cooperation across the continent. Agriculture and food security is one of six thematic areas that the NEPAD Planning and Coordination Agency (NPCA - formerly the NEPAD Secretariat) actively supports. The Comprehensive Africa Agriculture Development Plan (CAADP) is one of NEPAD's most important initiatives under this theme.

7. A specific goal of the CAADP is to attain amongst member states an average annual agricultural growth rate of six per cent and increase public investment in agriculture to ten per cent of their national budgets. The CAADP's four complementary pillars (see Appendix 10) are designed to enable member states to meet this target. CAADP Pillar 4 articulates NEPAD's strategic commitment to agricultural research for development (ARD).

1.2.2. NEPAD's ARD portfolio

8. Under NEPAD's Agriculture and Food Security theme there are four key programmes/initiatives (in addition to the CAADP) that complement and broadly support the CAADP, although none have explicit ARD agendas. The four programmes are: TerrAfrica; the fertiliser support programme; Africa biosciences initiative, and fisheries.



- TerrAfrica is a multi-donor platform that: strengthens the implementation of the United Nations Convention to Combat Desertification (UNCCD); supports NEPAD's Environment Action Plan; and is the platform used to deliver on CAADP Pillar 1 -Land and water management.
- NEPAD Fertiliser Support Programme feeds into CAADP Pillars 1 and 3. The programme aims to affect change at the country and regional level to result in private sector led fertiliser markets in Africa and to improve the availability, affordability and incentives to use fertilisers by small scale farmers thereby enhancing food security and poverty alleviation.
- NEPAD's two other programmes are, first, the Partnership for African Fisheries (PAF) which aims to improve policy and action in African fisheries by focusing on good governance, illegal fishing, trade and access to markets and aquaculture. Second, the Africa biosciences initiative which is a platform for bioscience networks across Africa. Both programmes cross-cut CAADP's four pillars.

9. NEPAD provided additional information on three projects which it considers part of its ARD portfolio. Two of these projects are a part of the fertiliser support programme (fertiliser policy studies and fertiliser policy peer review) and have agriculture research components. Only one project directly supports the CAADP: the Policy Training Programme. This is a small project of USD 10,000 (funded by AGRA/IFDC/USAID) which aims to strengthen national agricultural policy systems within the CAADP framework; it is implemented only in Ghana and Mozambique.

1.2.3. Analysis of NEPAD's ARD policy and portfolio

10. NEPAD's ARD portfolio, from publicly available data and the limited data provided by NEPAD, is very small. NEPAD's main contribution to ARD in SSA is to accelerate the implementation and adoption of the CAADP by encouraging African countries not yet signed up to a CAADP Compact to sign up, and coordinating with continental actors (e.g. FARA) to ensure the implementation of the CAADP¹.

1.3. Forum for Agricultural Research in Africa (FARA) and the CAADP

1.3.1. FARA policy on CAADP and ARD

11. The Forum for Agricultural Research in Africa (FARA) is the lead institution of CAADP Pillar 4. FARA coordinates and facilitates the implementation of agricultural research, technology dissemination and adoption in Africa through its executing arm the FARA Secretariat. FARA works directly with SROs and NARS who implement ARD; one of FARA's objectives is to build the capacity of these organisations. FARA presents itself as a continental player capable of networking SROs and NARS with non-African ARD organisations, thus brokering international linkages. These linkages, FARA claim, enable donor harmonisation, information sharing and dissemination.

12. FARA's approach to implementing the objectives of CAADP Pillar 4 is detailed in the Framework for African Agricultural Productivity (FAAP, issued in June 2006). Compliance with the guidelines laid out in FAAP and its underlying principles is, in this assignment, treated as a measure of the harmonisation of agricultural research agendas at a national and regional level with research agendas at a continental and international level.

13. FARA's strategic priority, as laid out in FARA's 2007-2016 long term strategic plan, is to support partners through enabling five networking support functions: advocacy and resource mobilisation; access to knowledge and technology; regional policies and markets; capacity strengthening; and partnerships and strategic alliances². Recently, FARA was requested to expand its portfolio to include continental priorities in biosafety and biotechnology – the SABIMA project (funded by SFSA) is an example of FARA's expansion into this field.

1.3.2. FARA's ARD portfolio

14. FARA returned eleven programme/ project information sheets providing further detail on its ARD portfolio. This data (marked by *) along with programme/ project information on FARA's

2

¹ NEPAD, 2010, 'CAADP Review: Renewing the commitment to African agriculture', March 2010, p.16

² FARA, 2007, 'FARA Strategic Plan 2007-2016: Enhancing African Agricultural Innovation Capacity', June 2007, p.10



website informs the content of Table 1, which shows how FARA’s ARD activities are structured around its strategic priorities.

Table 1 FARA’s Programmes/ projects by network support function

<i>Advocacy and Resource Mobilisation [CIDA]*</i>
<ul style="list-style-type: none"> • Framework for African agricultural productivity (FAAP)
<i>Access to knowledge and technologies (IA2K&T)*</i>
<ul style="list-style-type: none"> • Regional agricultural information and learning system (RAILS [AfDB])* • Dissemination of new agricultural technologies in Africa (DONATA [AfDB])* • African forum for agricultural advisor services
<i>Regional policies and markets [AusAID]*</i>
<ul style="list-style-type: none"> • African biotechnology and biosafety initiative
<i>Capacity strengthening</i>
<ul style="list-style-type: none"> • Strengthening capacity for agricultural research and development in Africa (SCARDA [DFID])* • Building Africa’s scientific and institutional capacity (BASIC) • Universities, Business and Research in Agricultural Innovation (UniBRAIN [DANIDA])*
<i>Partnership and Strategic Alliances [WB]*</i>
<ul style="list-style-type: none"> • Sub-Saharan Africa challenge programme (SSA-CP [Multi-donor via CGIAR])* • Platform for African-European Partnership in Agricultural Research for Development (PAEPARD [EC])*
<i>Biosafety and Biotechnology</i>
<ul style="list-style-type: none"> • Strengthening Capacity for Safe Biotechnology Management in Sub-Saharan Africa (SABIMA [SFSa])*

NB: * project information directly from FARA

1.3.3. Analysis of FARA’s ARD policy and portfolio³

15. FARA’s ARD portfolio concentrates on programmes/ projects with significant capacity building components (see Figure 1). This is unsurprising given one of FARA’s objectives is to build the capacity of SROs, NARS and other organisations involved in the implementation of ARD.

³_____

³ The data in all figures and tables in this section is based on the eleven programme/ project information sheets returned by FARA.



Figure 1 Count of programme/ project purpose(s) and their area of support to ARD

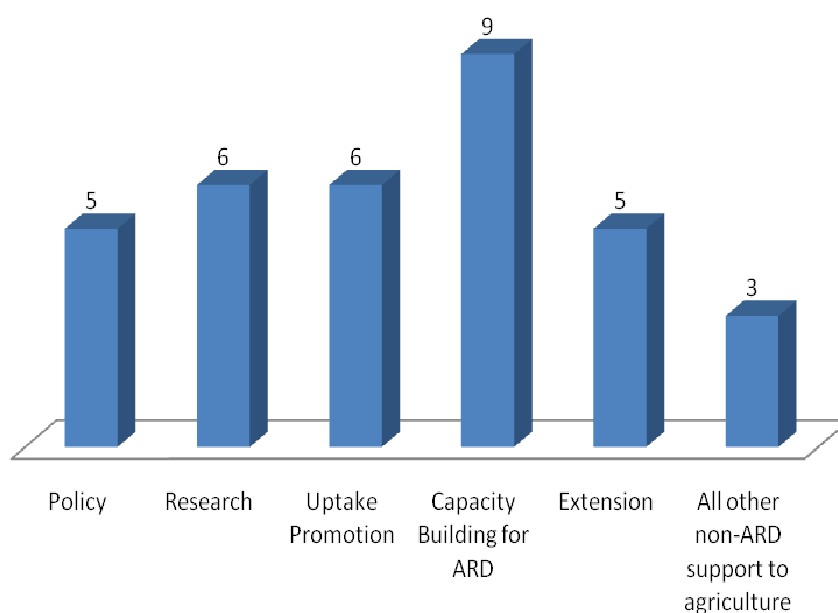
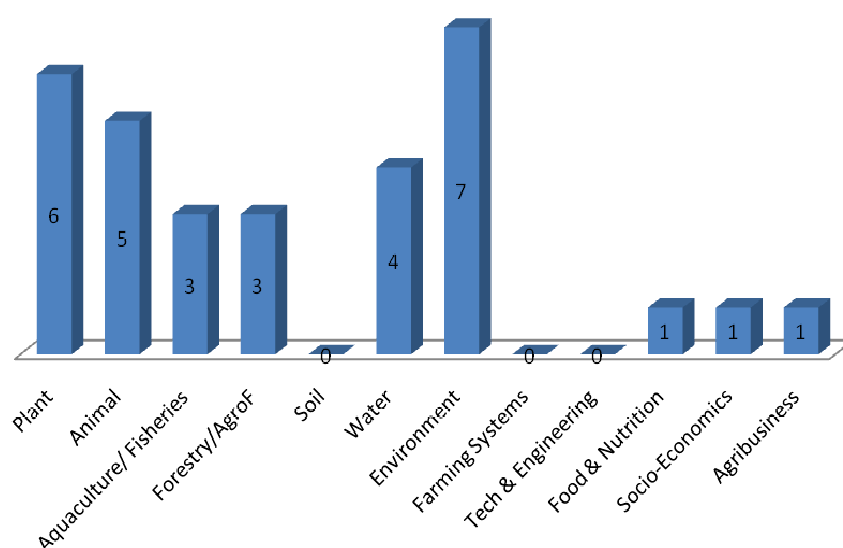


Figure 2 Count of programme/project by ARD sector



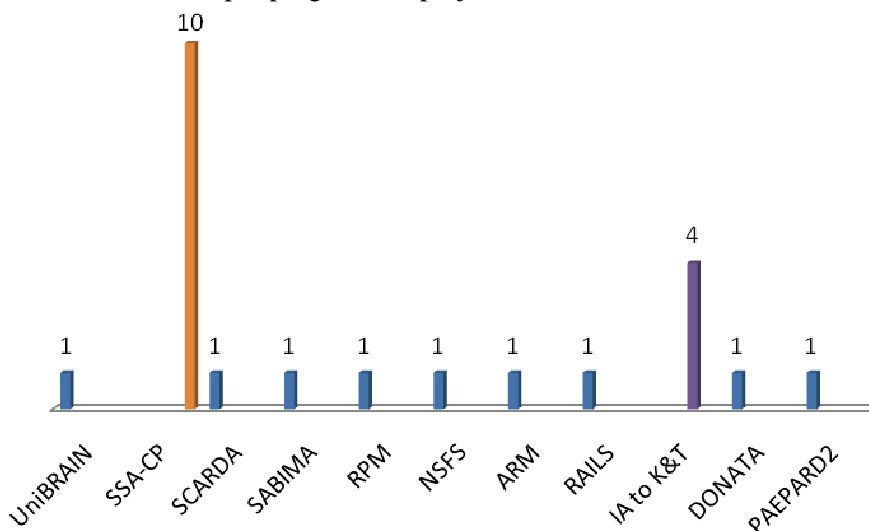
16. Across sectors, FARA’s portfolio is dominated by activities in the environment, plant/crop, and animal/livestock sector (see Figure 2).

17. In FARA’s portfolio there is evidence of donor harmonisation in two out of the eleven programme/ projects (see Figure 3). The SSA-CP has three European donors (EC, Italy and UK in 2088 and 2009) who contribute to this programme through the CGIAR challenge programme mechanism. The other eight donors (to the SSA CP) are African national donors from countries that are also recipients of SSA-CP funds. The use of a challenge programme to channel research funding implies a flexible approach to meeting national and regional ARD needs.

18. FARA’s ICT programme to improve access to knowledge and technologies – also a networking support function (shown as IA to K&T in Figure 3), has multi-donor support. AfDB, CIDA, the EC, DFID and DGIS (NL) together contribute a total of USD1m directly to FARA to implement the programme through direct budget support. Again, this implies FARA has flexibility to direct the use of funding to best meet continental priorities.



Figure 3 Number of donors per programme/ project



19. Donor support to FARA disaggregated by FARA’s networking support functions reveals international donor support is widely disbursed across all FARA activities (see Figure 4). The function supported by the greatest number of international donors is ‘knowledge and technologies’ which is supported by CIDA, EC, DFID, Netherlands and the African Development Bank. Networking support functions with the fewest donors, are: advocacy and resource mobilization (CIDA only); regional policies and markets (AusAID only); and biotechnology and biosafety (Switzerland only). While this may be interpreted as indicating low levels of donor harmonization, this does not have to be so if this structure of support meets FARA’s needs and preferences and achieves the required outcomes. In this interpretation the willingness for donors to ‘mix and match’ is taken as harmonisation. However, overall, all of FARA’s activities are well supported by the donor community.

Figure 4 Donor support by networking support function

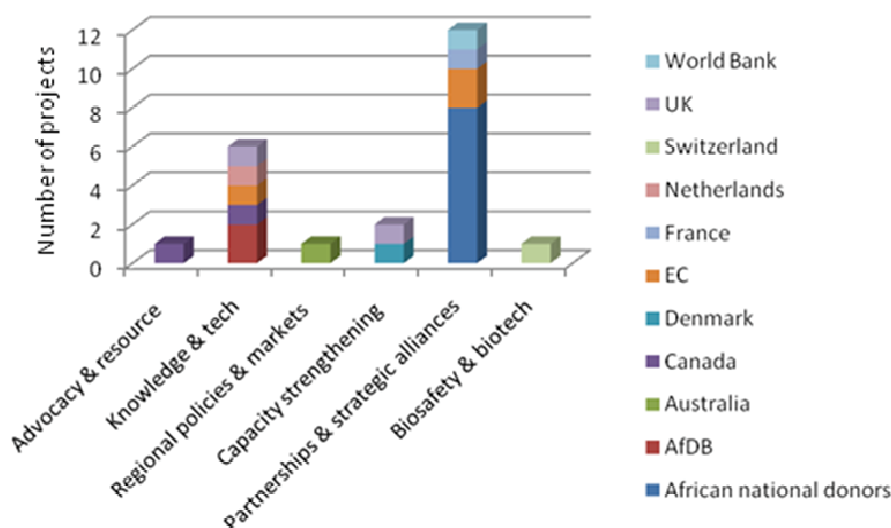




Figure 5 Distribution of implementing organisations across FARA’s ARD portfolio

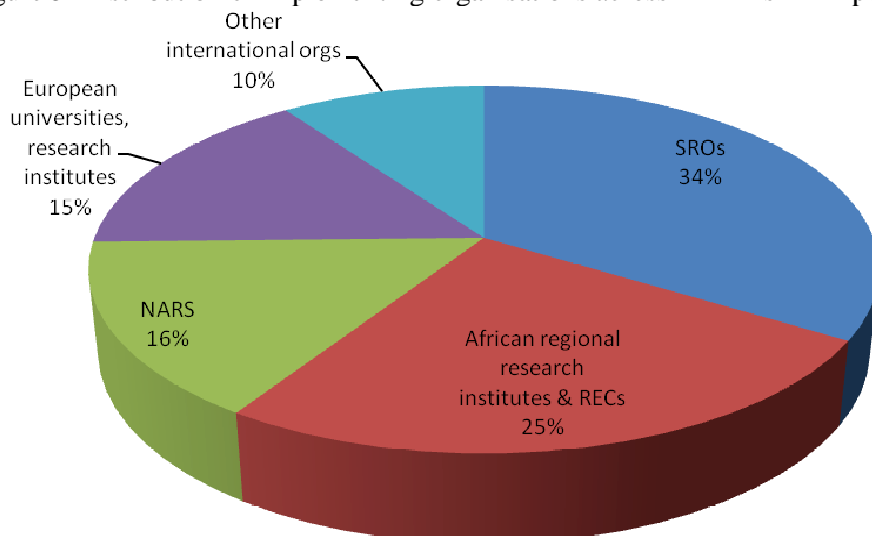
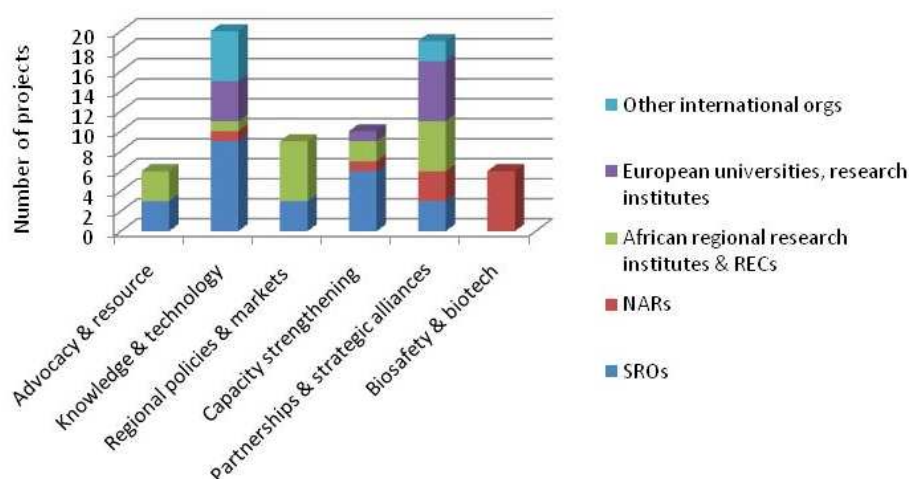


Figure 6 Implementing organisations by networking support function



20. In terms of the alignment of continental priorities (FARA’s networking support functions) with regional and national ones (the priorities of SROs and NARS), Figure 5 shows that 75% of FARA’s portfolio is implemented by African regional or national organisations. This implies alignment between FARA’s strategic research priorities and the priorities at regional and national level.

21. Figure 6, which disaggregates implementing organisations by FARA’s networking support functions, illustrates the fifteen per cent of European and other non-African implementing organisations are concentrated in providing access to knowledge and technology, building partnerships and strategic alliance, and to a lesser extent capacity building. The dominance of African regional and national implementers suggests wide African ‘ownership’ of research outcomes.

22. Overall FARA’s ARD policy and strategy is adhered to and supported by a wide range of international and national donors, and international, regional and national institutions responsible for implementing FARA’s continental strategy for ARD.

1.4. ASARECA

23. The Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA) is an association of research institutes in ten countries in east and central Africa. As an association ASARECA sees itself as a flexible, non-partisan, forum that is ideally placed to promote



ARD in the region, and strengthen relations between NARS and international agricultural research systems.

1.4.1. ASARECA policy on CAADP and ARD

24. The ASARECA 2007-2016 Strategic Plan articulates ASARECA's strategic approach to ARD. However, at the time of writing the Plan, the CAADP was an emerging framework for political and technical agendas, it is therefore infrequently mentioned⁴. The plan balances the aggregated research priorities for the region and the national priorities of its members, which do not always coincide and calculates agricultural potential, access to markets and population density to determine the best use of finite research investments. The answer: high potential, low access and low population density (HLL) sets the strategic priority of ASARECA. This means ASARECA will support national or regional research projects and programmes that match the HLL criteria and thus meet its purpose to generate significant returns from ARD⁵.

25. In terms of support to sectors, sub-sectors and research themes, ASARECA's strategic priority is organised thematically around seven research programmes: staple crops, non-staple crops, livestock and fisheries, agro-biodiversity and biotechnology, natural resource management, policy analysis and advocacy, and up-scaling and knowledge management.

1.4.2. ASARECA's ARD portfolio

26. ASARECA returned 30 programme/ project information sheets, providing detailed information on projects implemented under four of ASARECA's strategic research programmes (marked by * in Table 2). Table 2 lists ASARECA's ARD portfolio in 2009 by the seven research themes that outline ASARECA's strategic priority⁶.

1.4.3. Analysis of ASARECA's ARD policy and portfolio⁷

27. ASARECA's ARD portfolio is focused on coordinating and implementing agricultural research projects. For 2009, ASARECA reports no extension activities and limited uptake promotion (see Figure 7).

28. Disaggregated by sector, ASARECA's 2009 portfolio is dominated by activities in the crops/plants sector. However, these activities cross-cut at least three of ASARECA's research themes: staple crops, natural resource management, and agro-biodiversity (see Table 2).

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⁴ ASARECA, 2007, ASARECA 2007-2016 Strategic Plan, p.35

⁵ *Ibid* pp.8-9

⁶ Different webpages on ASARECA's website contain different information on current and recent ASARECA projects. For example, the webpage: <http://www.asareca.org/index.php?page&as=82> lists five projects under the 'staple crops' programme that were implemented in 2009; the details of these projects do not appear on <http://www.asareca.org/staples/index.php?page&as=2> which lists 16 projects under the 'staple crops' programme. The 16 projects on the second webpage are more consistent with the information provided directly by ASARECA to the Study team on the organisation's 2009 ARD portfolio. Because of this and other inconsistencies, in all instances project information from ASARECA's website is only given where it can be partially or wholly verified by information provided directly by ASARECA to the Study team.

⁷ The data in all figures and tables in this section is based on the 30 programme/ project information sheets returned by ASARECA.



Table 2 ASARECA's project portfolio by thematic research programme

<i>Staple Crops</i>
<ul style="list-style-type: none"> • Upscaling of soil-water management technologies and drought tolerant varieties for increased maize* • Sustainable Management of Banana Xanthomonas Wilt within Banana Cropping Systems of ECA* • Integrated Striga Management for Improved Sorghum Productivity in ECA* • Enhancing utilization of quality seed potato by small- scale farmers* • Development and dissemination of quality protein agro-enterprises for improved household income* • Integrated management options for sustainable lowland rice legumes cropping system* • Integrated improved pearl millet variety with crops and NRM practices for improved productivity* • Livelihood improvement through integrated management practices for rain-fed lowland rice* • Increasing sorghum utilization and marketability through food product diversification* • Improved banana technologies for market and income generation in Rwanda* • Evaluating markets of banana and its products for Ethiopia* • Integrated technologies for drought mitigation and increasing small holder sorghum productivity* • Integrated management of CMD and CBD diseases to enhance productivity and utilization of cassava* • Enhanced Management of Banana Xanthomonas Wilt for Sustainable Banana Productivity in ECA*
<i>Non-staple Crops</i>
No projects listed. ⁸
<i>Livestock and Fisheries</i>
No projects listed ⁹ .
<i>Agro biodiversity and biotechnology</i>
<ul style="list-style-type: none"> • Establishment of Cassava Genetic Transformation Project* • Diagnostic and control tools and strategies for Taenia Solium Cysticercosis* • Applying tissue culture to improve access to cassava and sweet potato planting materials for farmers* • Fighting Striga: Resistance Genes Deployed to Boost Sorghum Productivity* • Conservation for sustainable availability of cassava and sweet potato germplasm through biotechnology* • Genetic Engineering of Maize for Drought Tolerance in Eastern and Central Africa* • Integrating Agro-Diversity with Conservation to Improve Livelihoods in Savannah Ecosystems* • Transfer of Banana Tissue Culture Technology to Small-scale Farmers • Eastern Africa Plant Genetic Resources Project • Regeneration and Safety Duplication of Regionally Prioritized Crop Collections Project
<i>Natural Resource Management</i>
<ul style="list-style-type: none"> • Promoting sustainable NRM through effective governance and farmer market linkages in ECA sub-region* • Innovative approaches for mainstreaming integrated NRM in AR&D institutions in ECA* • Making the best of climate - adapting agriculture to climate variability in ECA sub-region* • Methods for Valuation, Attribution and Compensation for Environmental Services* • Efficient use of crop residues: Animal feed versus conservation agriculture in ECA* • Accelerated Uptake and utilization of soil fertility management best-bets practices in ECA region*
<i>Policy Analysis and Advocacy</i>
<ul style="list-style-type: none"> • Addressing the food price situation in COMESA* • Rationalisation and harmonisation of seed policies, laws and regulations in Eastern and Central Africa* • Regional Approaches to Biotechnology and Biosafety Policy in Eastern and Southern Africa (RABESA)* • Combating Hunger-Enhancing Effectiveness of Agricultural input and output markets in ECA • Facilitating collective marketing best practices in Kenya and Uganda • Strategies for adapting to climate change
<i>Up-scaling and Knowledge Management</i>
<ul style="list-style-type: none"> • Best practice database

NB: * project information directly from ASARECA

⁸

⁸ <http://www.asareca.org/index.php?page=prg&i=2> (accessed 01/11/10)

⁹ <http://www.asareca.org/index.php?page=prg&i=3> (accessed 01/11/10)



Figure 7 Count of programme/ project purpose(s) and their area of support to ARD

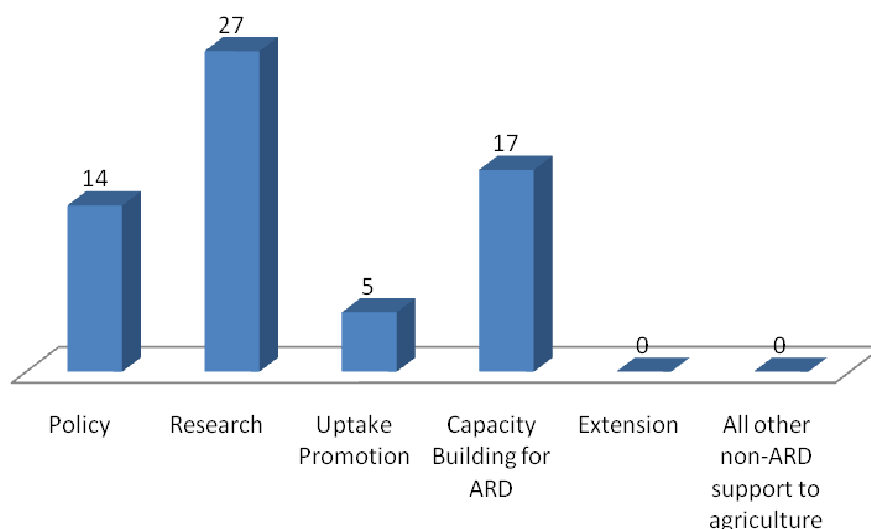
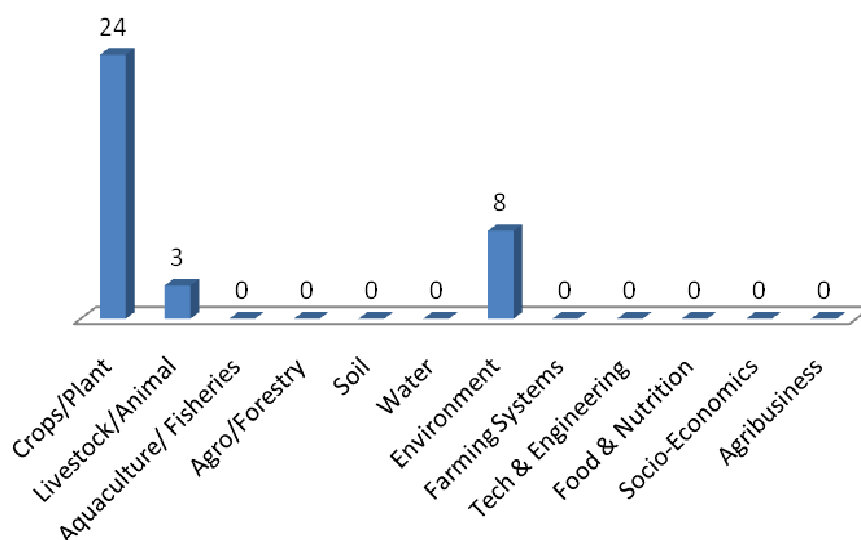


Figure 8 Count of programme/project by ARD sector



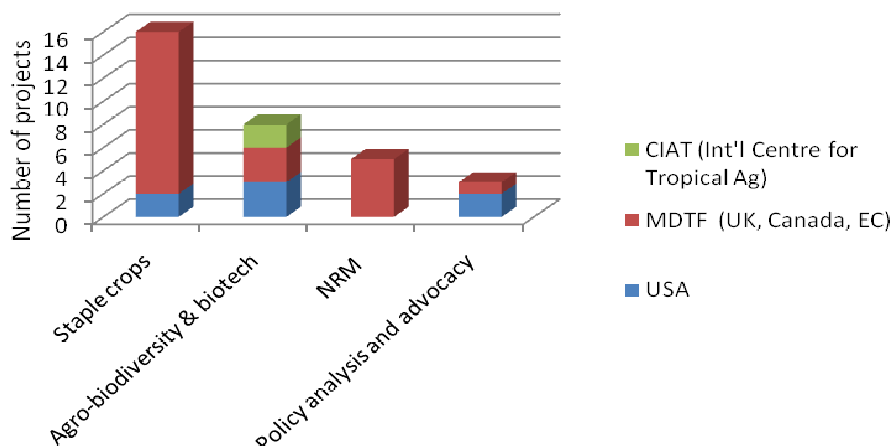
29. Disaggregated by sector, ASARECA’s 2009 portfolio is dominated by activities in the crops/plants sector. However, these activities cross-cut at least three of ASARECA’s research themes: staple crops, natural resource management, and agro-biodiversity (see Figure 8).

30. Given that ASARECA provided detailed information on projects in only four of their research themes, the figure below (see Figure 9) illustrates the extent of donor harmonisation and alignment with ASARECA’s strategic priorities in only four areas: staple crops, agro-biodiversity and biotechnology, natural resource management, and policy analysis and advocacy.

31. All four research themes (NRM exclusively) are supported by a multi-donor trust fund (MDTF) of CIDA, the EC and DFID. In three of the research themes USAID complements the MDTF. The use of a MDTF and USAID support is evidence of donor harmonisation. At a project level, funds from the MDTF are disbursed regionally and nationally through a challenge fund. In 29 (out of 30) projects in ASARECA’s portfolio challenge funds are in use. This suggests a flexible approach to meeting national ARD agendas. All 30 projects are regarded by ASARECA as a part of the FAAP and are designed/ implemented according to FAAP guidelines, further suggesting harmonisation of ASARECA’s regional research agenda with international and continental research priorities.

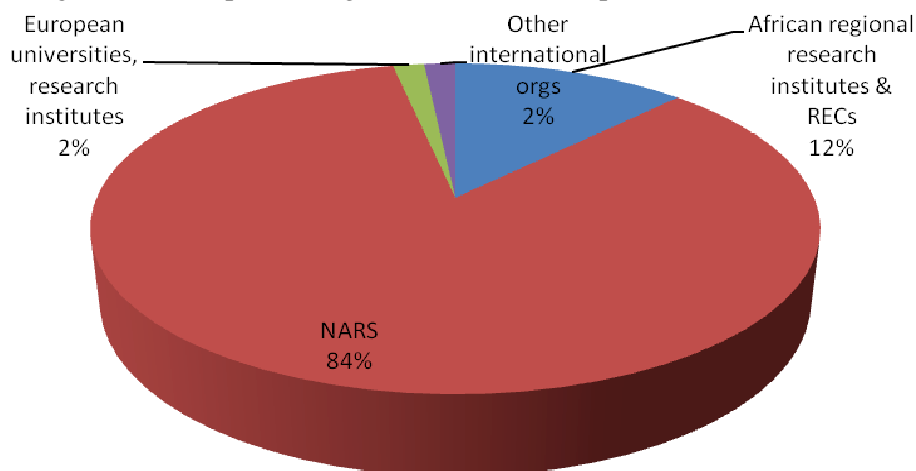


Figure 9 Research theme by Donor support



32. At the national level, ASARECA’s role is to enable, support and build the capacities of NARS. Figure 10, illustrates a significant way in which ASARECA fulfils this role. Some 84 per cent of ASARECA’s reported ARD portfolio is implemented at the national level by NARS.

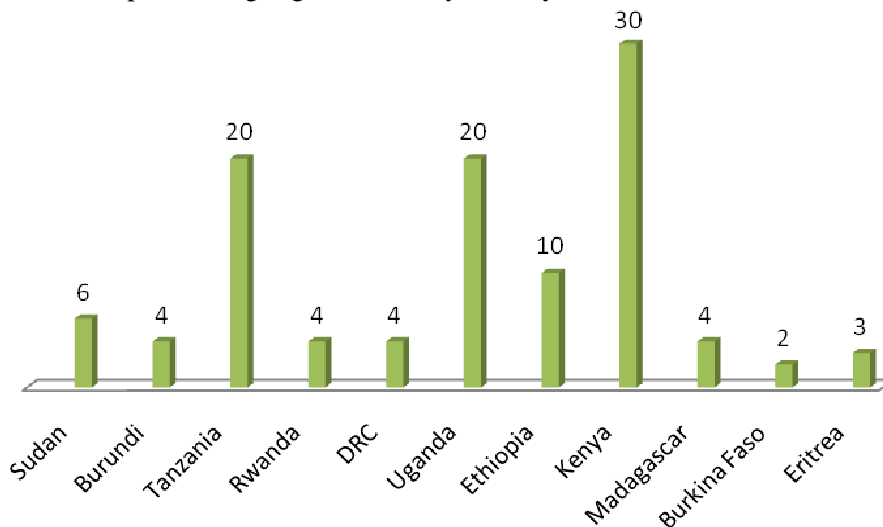
Figure 10 Organisations implementing ASARECA’s ARD portfolio



33. However, when the ‘NARS’ category is disaggregated by country, a dominance of three countries is apparent: Kenya, Tanzania and Uganda (see Figure 11). This dominance is possibly at the expense of ASARECA members with limited agricultural research infrastructure.

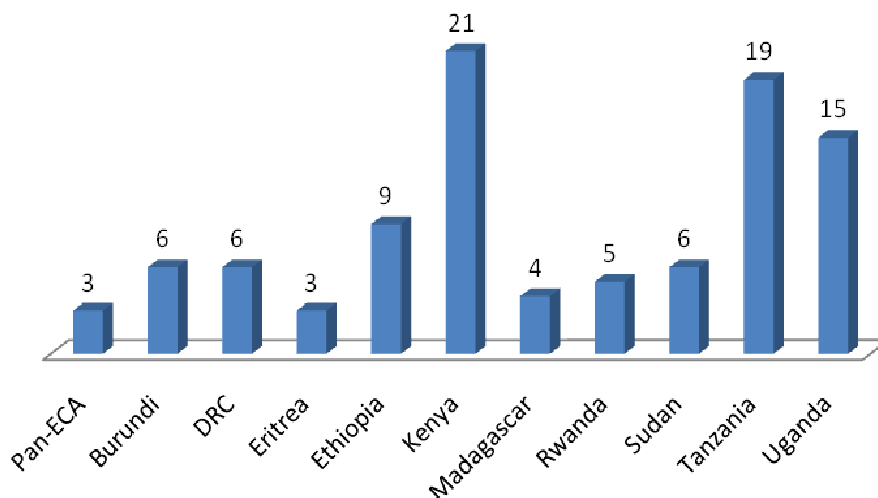


Figure 11 NARS implementing organisations by country¹⁰



34. This dominance of implementing organisations is mirrored in where ASARECA projects are implemented (see Figure 12). Kenya, Uganda, Tanzania, and to a lesser extent Ethiopia, are the greatest recipients of ASARECA (and therefore MDTF and USAID) funds and support. The largest notable gap is between Kenya, where 21 ASARECA projects were implemented, and Eritrea where only three projects were implemented.

Figure 12 Country-based implementation of ASARECA’s ARD portfolio



35. Overall, ASARECA’s ARD portfolio does not fulfil its strategic approach to ARD with the main gap being the limited activity in three of ASARECA’s seven research themes. The four most active research themes are well supported by harmonised donors via the MDTF. ASARECA’s flexible approach to supporting national agricultural research priorities (through the use of challenge funds), suggests national ownership of ARD agendas. However, the dominance of four countries (in implementing projects and being the recipient of implemented projects) suggests ownership of the ARD agenda is concentrated only with a few of ASARECA’s members.

¹¹_____

¹⁰ Burkina Faso is not one of the ten ASARECA members.



1.5. CORAF

36. CORAF is a sub-regional organisation of 21 members from west and central Africa. The agricultural research capabilities of CORAF members vary considerably. Many members are affected by issues including limited budgets for operations and a difficult political environment, which affects the ability of NARS to invest in ARD.

1.5.1. CORAF policy on CAADP and ARD

37. CORAF estimates 70 per cent of inhabitants (310 million people) in the sub-region are farmers dependent on agricultural activities for subsistence and livelihood¹¹. The research priorities of CORAF reflect the food security needs of the region, which stem from population pressures, biophysical constraints (drought, soil acidity etc.) and conflict.

38. CORAF's 2007-2016 Strategic Plan replaces the 1999-2014 Strategic Plan to reflect the introduction of the CAADP initiative by NEPAD and the consequent realignment of CORAF priorities with the CAADP strategy. The new strategy places a greater focus on intra-African agricultural trade; adapting farming practice and farmer's knowledge to the challenges of climate change, diseases and pests, and changes to market trends (e.g. biofuels); and food security.

39. The 2007-2016 Strategic Plan commits CORAF to deliver four results: (i) appropriate technologies and innovations developed; (ii) strategic decision making options for policy, institutions and markets developed; (iii) sub-regional agricultural research systems strengthened and coordinated; and (iv) demand for agricultural knowledge from target groups facilitated and met.

40. CORAF identifies eight technical research programmes to deliver these results: livestock, fisheries and aquaculture; staple crops; non-staple crops; natural resource management; biotechnology and bio-safety; policy, markets and trade; knowledge management; and capacity strengthening and coordination. These programmes are cross-cut with four themes pro-poor economics, gender sensitivity, HIV/AIDS appropriate development, and environmental sustainability.

1.5.2. CORAF's ARD portfolio

41. CORAF returned seven information sheets in total; five of these are project-level information that directly relate to CORAF's thematic research programme (marked by *, in Table 3). The data in the table is otherwise populated by project and programme information found on CORAF's website.

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¹¹ CORAF/ WECARD, 2007, CORAF/ WECARD Strategic Plan 2007-2016, p.iii



Table 3 CORAF projects by thematic research programme

<i>Livestock, fisheries and aquaculture</i>
<ul style="list-style-type: none"> • Building livelihoods resilience to alleviate poverty in semi-arid areas of West Africa*
<i>Staple crops</i>
<ul style="list-style-type: none"> • Supporting the response to food insecurity in West Africa* • Sustainable and Ecologically Intensification of Yam Production with Acceptable Quality for Processing Consumption in Benin, Togo and Burkina Faso • Potential use of botanical extracts on Vegetables as alternative to chemical in peri-urban zones of Benin, Ivory Coast, Ghana and Togo
<i>Non-staple Crops</i>
<ul style="list-style-type: none"> • Impact of Rhizobia Inoculation on the Productivity of Gum Arabic Plant and Dynamic Factors on Soil Bio-Functions
<i>Natural Resource Management</i>
<ul style="list-style-type: none"> • Combining Water Harvest Techniques and Nutrient Management to Sustain Food Production in the Dry Lands of West Africa • Promoting use of Indigenous Phosphate Rock for soil fertility recapitalization in the Sahel • Fertilizer micro-dosing and drought tolerant varieties technology transfer for small farmer prosperity in the Sahel
<i>Biotechnology and bio-safety</i>
No projects listed.
<i>Policy, markets and trade</i>
<ul style="list-style-type: none"> • Regional Integration, Market Access and Diversification of Agriculture within the UEMOA zone: Policy Options for Competitive and Sustainable Milk Sub-Sector • Promotion of agricultural products processing technologies in Benin, Togo and Burkina Faso
<i>Knowledge management</i>
<ul style="list-style-type: none"> • Regional Agricultural Information and Learning Systems (RAILS)* • Dissemination of New Agricultural Technology in Africa (DONATA)* • Capitalisation and sharing of agricultural research innovations and results in West and Central Africa • Dissemination and extension network for improvement of livestock technologies
<i>Capacity strengthening and coordination</i>
<ul style="list-style-type: none"> • Strengthening Agricultural Research for Development in Africa (SCARDA)*

NB: * project information directly from CORAF

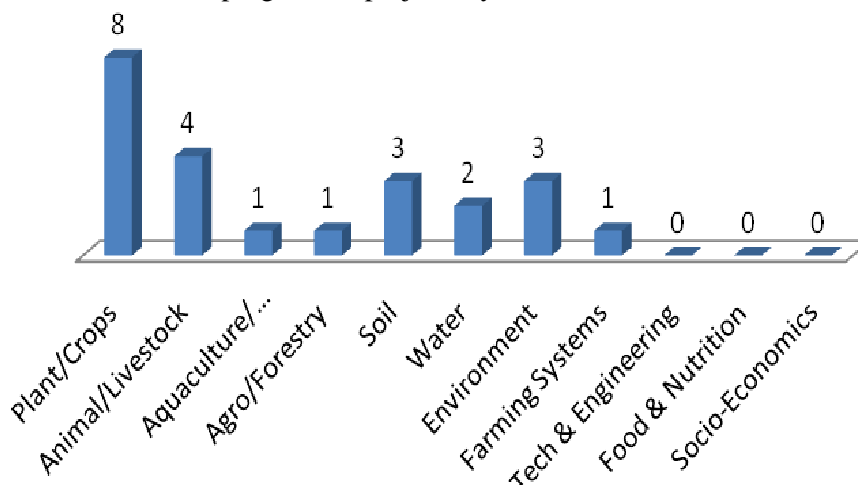
42. In addition to the projects listed by thematic research programme, at least two further programmes form part of CORAF's ARD portfolio. They are: Support to the implementation of the CORAF Operational Plan (2008-2013); and the West Africa Agricultural Productivity Programme (WAAPP 1A) (further discussed below).

1.5.3. Analysis of CORAF's ARD policy and portfolio

43. The low rate of data returns from CORAF means comments on CORAF's ARD portfolio are limited to broad statements based primarily on information on CORAF's website. Figure 13 illustrates a count of CORAF's ARD project portfolio by sector. The data is from Table 3. It seems CORAF's ARD portfolio is biased toward activities in the plants and crops sector. It is not meaningful to interpret project/ programme purpose in terms of its contribution to ARD research, policy, uptake promotion, capacity building and extension from this small sample.



Figure 13 Count of CORAF programme/projects by ARD sector



44. The most important of CORAF's projects/ programmes are those which do not appear to come under a thematic research programme. According to CORAF the programme to support the implementation of the CORAF Operational Plan, is a five year programme of GBP12m, and is funded by DFID. The funds are used to provide institutional and programme support to CORAF, however, it is unclear if and/or how these funds filter through to CORAF's technical research programmes, i.e. do funds from this programme directly support CORAF's regional ARD strategy? Also, from DFID's records on ARD investments, this programme is listed as a five year programme of GBP 10m, two million pounds less. DFID is also one of six donors - the EC, USAID, World Bank, African Development Bank and ECOWAS, being the others and this support is assumed to be the CORAF MDTF competitive grant fund to fund research projects against regionally defined demand.

45. The WAAPP is a two-phase, 10 year sub-regional programme coordinated by CORAF with the aim of improving agricultural productivity through the promotion of regional integration as an instrument for accelerating broad based growth and poverty reduction in West Africa. The objective of WAAPP1A is to generate and disseminate improved agricultural technology of priority value chains including roots and tubers in Ghana, rice in Mali and cereals in Senegal. According to CORAF, this is a USD 120m World Bank programme. From World Bank records (seen3.2.2), WAAPP1A is a USD51m programme over five years; Phase 2 – WAAPP1B is a USD119m programme over six years. CORAF is the implementing agency for both phases. The second phase began September 2010. While it is clear that CORAF acts as the implementing regional agency for both phases of WAAPP, it is unclear where, how or if, this programme is aligned with CORAF's stated regional ARD strategy. The programme currently sits outside CORAF's structure of eight thematic research programmes, which alongside the large amounts of funding involved, suggests poor regional ownership of ARD strategy.

1.6. SADC-FANR

46. The Southern African Development Community - Food, Agriculture and Natural Resources (FANR) – Directorate is the current *de facto* sub-regional organisation of Southern Africa. In January 2007, Southern African Development Community - Food, Agriculture and Natural Resources (SADC-FANR) commissioned a study to review SRO options so that the Southern African region can benefit from a dedicated regional agricultural research organisation like ASARECA and CORAF. The Centre for Agricultural Research and Development in Southern Africa (CARDESA) is the name of the new SRO. This new SRO is not yet operational (its establishment is funded by SDC [2.5.4]), so in the meantime, Southern African policy for ARD is directed through SADC's FANR Directorate.

1.6.1. SADC-FANR policy on CAADP and ARD

47. The FANR Directorate's priority ARD areas are identified in the Regional Indicative Strategic Development Plan (RISDP). The FANR has six priority areas for intervention, they are: to ensure food availability; ensure access to food; promote safety and the nutritional value of food; disaster



awareness and preparedness; sustainable environmental and natural resource use; and strengthening institutional frameworks and capacity building. The RISDP is CAADP compliant, and the FANR implements all four pillars of the CAADP through the six priority areas for intervention¹². The Agricultural Research and Development Unit within the FANR is responsible for coordinating and implementing the ARD portfolio.

1.3.3.2 SADC-FANR's ARD portfolio

48. The SADC-FANR returned two project/ programme information sheets (marked by * in Table 4). From this data and information on SADC-FANR's website, Table 4 lists SADC-FANR's ARD portfolio. However, it is not possible with the data that is available to list this portfolio against FANR's (RISDP) six priority areas for intervention as there appears to be little correlation between projects and FANR's reported strategic ARD priorities. The table instead lists all projects/ programmes and relevant basic information about the activity.

Table 4 SADC-FANR's ARD Portfolio

Implementation and Coordination of Agricultural Research and Training (ICART)*

- A five year regional project from 2003 to 2010
- Funded by the CEC 9th EDF
- Total project funding Euro13.9m
- FANR manages and disburses a competitive grant system to enable a flexible regional response to national ARD needs
- The project funds regional research, training and networking activities implemented by institutions and scientists/researchers from SADC member states and their collaborating partners.

Fund for Innovative and Regional Collaborative Project (FIRCOP)

No further information is available.

Land and Water Management Programme

- The programme develops land and water management technologies that are appropriate to the needs of resource-poor farmers

SADC Multi-country Agricultural Productivity Programme (SADC MAPP)

This programme has not yet been implemented (but DFID funding is available).

Strengthening Capacity in Agricultural Research and Development in Africa (SCARDA)

- SCARDA supports the RISDP of 2002 on Research, Technology Development and Dissemination (this is different from FANR's six priority areas)

The SADC Plant Genetic Resources Centre (SPGRC)

- The Centre collects plant genetics for long-term storage and coordinates regional plant genetic resource activities

Regional Agricultural Information and Learning Systems (RAILS)*

- A five year regional project from 2007 to 2012
- Funds for RAILS are passed from FARA (SADC-FANR receives a share of USD6m that FARA identified as the total funding for RAILS)
- SADC-FANR disburses funds from FARA to NARS in the region, the mechanisms for disbursement are not clear

NB: * project information directly from SADC-FANR

1.6.2. Analysis of SADC-FANR's ARD policy and portfolio

49. SADC-FANR's ARD portfolio, as presented in Table 4, is seemingly incomplete and so far inconsistent with SADC-FANR policy on ARD. Instances where other continental or international organisations/ donors identify support to SADC-FANR e.g., FARA's UniBRAIN project, have not been acknowledged by SADC-FANR in either material on its website or through the completion of programme/ project information sheets.



1.7. NARS

50. A map of ARD support to SSA countries, national portfolios of ARD programmes/ projects, is presented in the Main Report, Figure 2. Presented by region, the figure illustrates the SSA countries in which ARD projects were implemented and where NARS implemented ARD projects. The data is based on all (234) records of ARD programmes and projects as recorded by this Study at international, continental and regional level.



2. Donor Domain – EIARD members

51. This Appendix reports the ‘mapping’ of EIARD members’ donor support to SSA ARD based on member countries’ 2009 programme/ project portfolio. The results of the rapid survey of the member countries’ ARD-related development policies and strategies and of those for ‘aid effectiveness are also reported.
52. The purpose of the mapping, which is common to the three domains, CAADP (see Appendix 1), EIARD and International (see Appendix 3), is to identify existing and planned donor support to the CAADP, focussing on Pillar 4, and more widely to ARD at the sub-continental (SSA) level, against the agreed ‘support types’ and geographical dimensions. Analysis of the results of the mapping is used, if possible, to identify the extent to which the donor support meets the requirements of aid effectiveness, and to propose the country case studies for Phase 2.
53. The Study’s original plan was to assemble the information for the EIARD domain primarily from InfoSys+ (IS+) system (<http://www.infosysplus.org/>) supplemented by information from NCPs or project implementers. The IS+ provides a shared reference database of ARD programme/ project activity for the EIARD, the ERA-ARD and the FARA on their respective websites¹³. Details of the EIARD and other donor support to the CGIAR is available from CGIAR financial reports for 2008 and 2009¹⁴ and details of CGIAR implemented ARD in SSA from CGIAR research online¹⁵.
54. Since the IS+ database, which had been poorly populated since 2008, provides an inadequate record the information on EIARD members SSA ARD portfolio, and this information is not available from the other common sources (e.g. OECD-Stats and AidData), it was necessary to collect the information needed from the EIARD member countries via their NCPs. The Information Sheet used to collect project level information in the CAADP domain was used for the EIARD domain with some modification to include the additional project data included in the IS+ format. Details of the method of information collection and review are given in the Main Report, Section 2.3. The Information Sheet used in the EIARD domain is given in Appendix 8.
55. The response by EIARD (NCPs) members to the Study’s request for information was partial. Two NCPs replied that they did not provide donor support to SSA ARD or the CGIAR, four NCPs provided details of their portfolios, four NCPs replied that they did not support a SSA ARD portfolio beyond their CGIAR funding, and project details from one member was collected from their website project database.
56. The resulting dataset from these nine members is insufficient to permit the consolidated analysis and presentation of the variation in EIARD donor support to SSA ARD by support type, means, activities, sectors and geographical distribution anticipated by the Study ToR under Task 3. Within the limits of the data/ information this analysis is made within the portfolios from Belgium, Germany and Switzerland.
57. To make the best use of the available information, and provide some guidance on country-case study selection and on aid effectiveness, this appendix concentrating on identifying the contrasts between reported portfolios and contributing as far as possible to a map of donor support to SSA ARD in 2009 (see the Main Report, Table 3). The appendix is divided into five country groups based on the amount of information provided on, and the anticipated extent of, the EIARD member country’s SSA ARD portfolio.
58. The findings and implications of mapping in the EIARD domain are brought together in the main report as appropriate. For the mapping see Table 3, for the assessment and improvement of ‘aid

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¹³ EIARD at: <http://www.eiard.org/index.html> ; ARD-ERA at: <http://www.era-ard.org/> ; FARA at: <http://www.fara-africa.org/>

¹⁴ For 2008 statements see:

http://www.cgiar.org/publications/annual/pub_ar2008/cg_ar09_final_files/index.html

For 2009 statements see: <http://www.cgiar.org/publications/annual/cgiar-annualreport2010/cgiar-annualreport2010/>

¹⁵ See: <http://ongoing-research.cgiar.org/>



effectiveness' see Section 6, and for the country case-study selection and for the conduct of Phase 2 see Section 7.

2.1. EIARD members reporting no support to SSA ARD

59. **Cyprus and Lithuania** reported that their countries providing no donor support to SSA ARD or the CGIAR.

60. **Luxembourg** reported that its only support to SSA ARD was through its contribution to the CGIAR. This was a contribution of \$M 0.84 as (CGIAR) restricted funding to two centres, IPGRI and CIP. Since these centres have a relatively low proportion of their total expenditure in the SSA (mean of 39%), Luxembourg's support to SSA ARD via the CGIAR is estimated at \$M 0.33 in 2009¹⁶.

2.2. Non-respondent EIARD members with no anticipated SSA ARD portfolio

61. No response to the Study's requests for information was received from the NCPs for the **Czech Republic, Estonia, Greece, Hungary and Slovak Republic**. The Study anticipated that these countries would have only a limited SSA ARD portfolio since they are not recorded as contributing to CGIAR funding in 2008 or 2009. The lack of response to the Study's request is taken to confirm this assumption.

2.3. Non-respondent EIARD members with anticipated SSA ARD portfolio

62. The EIARD members anticipated as providing significant donor support to SSA ARD but who did not respond to the Study's request for information, were Austria, EC, France, Ireland, Netherlands, Spain and Sweden.

63. **Austria** made a small contribution to SSA ARD via its CGIAR restricted funding of eight CGIAR centres (US\$M 1.08) in 2009. The majority of the Austrian support is to IITA and ICARDA which have respectively the highest (along with WARDA) and lowest proportionate CGIAR centre-level proportional spends of their total funding in the SSA – as opposed to other geographical regions – and an estimated 48% of Austrian CGIAR funding is attributed to the SSA. This is close to the CGIAR system-wide average of a 51% SSA spend.

64. The Austrian Ministry of Foreign Affairs development cooperation English pages are currently outdated (2008) and do not deal specifically with ARD. However, the Austrian Development Agency (ADA) does¹⁷ and, in its 2008-10 policy document¹⁸, includes the CGIAR and CAADP as partners with whom the agriculture and agricultural research components of (ADA/ Austrian) rural development/ Africa policy and programmes will be aligned. Based on the policy and programme information available it is assumed that any Austrian SSA ARD portfolio outside their CGIAR support is small.

65. In 2005, Austria had an explicit action plan for improving aid effectiveness till 2008. In common with other EIARD member countries action plans seen in the review, the Austrian action plan interprets the OECD's 12 PD indicators (Appendix 9.1, and Box 5). The more relevant of these indicators to this Study's focus on donor support to SSA ARD are illustrative of the wider use of the indicators within these plans:

- Increasing ownership in partner countries by supporting the PRS or other strategic development (indicator 1).
- Contribute to alignment by making partners' indicative programmes and national systems the basis for donor programming (indicator 2).

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¹⁶ The information for all EIARD members' contributions to CGIAR funding and their support to SSA ARD is collated in Main Report Table 3, unless given otherwise. All estimates of funding for CGIAR SSA ARD activities are taken from the CGIAR 2009 financial report and unless otherwise stated, donor funding levels for each centre have been adjusted by the proportion of that centres funding that is spent in the SSA: this proportion varies markedly between centres. Thus Luxembourg's funding for SSA ARD via the CGIAR is recorded as 39% of its CGIAR funding.

¹⁷ Austrian development cooperation pages at: <http://www.entwicklung.at/development-policy/austria/en/>

¹⁸ See 2008-10 programme at: http://www.entwicklung.at/uploads/media/ThreeYearProgramme08-10_05.pdf



- Increase effort and means to enhance capacity development and institution building in partner countries (indicator 4).
- Increase the proportion of programme-base aid, e.g. through sector budget support and the use of SWAPs (indicator 9).
- Better harmonise their [*i.e. the donor*] policies and programmes with those of the EU (also indicator 10).
- Incorporate recommendations of recipient countries in policy guidelines, for Africa from NEPAD or the AU (indicators 2-4).
- Use mutual review and reporting of progress and results (indicator 12).

66. The EC's contribution to the CGIAR was to all 15 centres (and the CGIAR Partners) but only as CGIAR restricted funds (which for all CGIAR donors includes contributions to the CGIAR Challenge Programmes [CPs]). In 2009, the EC made the second largest (after the BMGF) contribution to the CGIAR Challenge Funds: for Water and Food (W&F-CP), Generation (G-CP) and SSA-CP of US\$M 3.4, 10.2 and 2.2 respectively. Because the EC funds all 15 centres its contribution to SSA ARD (US\$M 20.18 in 2009) via the CGIAR is 50% of its total CGIAR contribution.

67. The EC's support to the CGIAR is equivalent to the largest individual EIARD EU state member's (the United Kingdom) but it is important to recognise that the CEC support to SSA ARD, via CGIAR or directly to projects, comprises 'collective indirect support' mechanism from the EC member countries via the CEC budget. This mechanism and intention is consistent with a widespread and explicit component of EIARD member countries ARD-related policies which emphasise alignment and harmonisation with the EC and, as a result or not, providing their SSA ARD funding via the CGIAR as a component of their policy supporting improved 'aid effectiveness'.

68. Despite the lack of response by CEC NCP to the Study's request for information, evidence for the EC support to SSA ARD is strongly aligned with CAADP and specifically to Pillar 4 is recorded in returns from NEPAD and CAADP, FARA and SRO respondents (see CAADP domain report, e.g. sub-section 1.3.3). Partly this due to the EC's support to the SSA CP, partly to its contributions to the multi-donor trust funds that support ASARECA and CORAF, and to SADC/ FANR ICART and partly to direct project funding (e.g. for PAEPARD2 with FARA, and PRINT with SADC-FANR), variously from the FP6, FP7 and EDF.

69. **France's** contribution to SSA ARD via the CGIAR is estimated at \$M 2.04 in 2009; 60% of this via restricted funding and to eight centres. As France's main contributions are to CIAT and IWMI (which have low proportional SSA spends) only 38% of France's contribution to the CGIAR in 2009 is estimated as attributable to the SSA.

70. Although France's CGIAR funding is ranked 12th of the 16 EU members, figures from OECD and AidData (based on OECD) for 2005 – 2007 show France making some of the highest of DAC ODA contributions to agricultural research in SSA through its (assumed) bi-lateral and country programmes.

71. **Ireland's** estimated contribution to SSA ARD through the CGIAR is \$M 5.49 in 2009, ranked 7th of EU members. Some 60% of this contribution is as core funding of eight centres although 60% of the funding is to three centres, IFPRI, ILRI and ICRAF which have a high SSA proportional spend. This gives Ireland an above average CGIAR proportional SSA spend of 57%.

72. Ireland is committed to spending at least 50% of its development aid in Africa and is an established and distinctive supporter of ARD at the beneficiary interface through its NGO-led programmes. At the 2010 MDG Summit, Ireland re-confirmed its commitment to supporting the CAADP process at both international; and national levels, by providing funds through the multi-donor trust funds and working to ensure that there is more widespread donor commitment to the (CAADP) programme¹⁹.

73. The **Netherlands** contribution to SSA ARD via the CGIAR is estimated at \$M 4.96 in 2009; to 10 centres; about average CGIAR funding by contributing EIARD members. The Netherlands SSA

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¹⁹ See Irish Aid website <http://www.dci.gov.ie/article.asp?article=1718>.



proportional CGIAR spend is estimated at 38%, primarily because 35% of the Netherlands CGIAR funding is to IPGRI which has a low (31%) SSA proportional spend.

74. Like Ireland, the Netherlands makes an established and distinct contribution to ARD, particularly to the farmer-oriented dimensions, through its programmes (e.g. core funding of the ProInnova Initiative²⁰) and it is assumed that it is making a significant contribution to SSA ARD through its bi-lateral and country programmes. The Netherlands Ministry of Foreign Affairs website and the development cooperation-related (DGIS) pages²¹ make no searchable reference to CAADP, and CAADP is not mentioned in the key development policy and strategy publications provided on the site.

75. **Spain** makes small contributions to nine CGIAR centres (ranked 12/16 of CGIAR European members), almost exclusively as restricted funding and its total contribution to SSA ARD through the CGIAR in 2009 is estimated at \$M 1.15. The SSA proportional spend of Spain's CGIAR contribution is 44% because 40% of its CGIAR funding is to CIP which has a low SSA proportional spend.

76. **Sweden's** contribution to SSA ARD via the CGIAR is estimated at \$M 7.31 in 2009; the fifth largest of EU CGIAR members. This funding is spread across all 15 centres and equally balanced between restricted and core funding, and 49% of Swedish CGIAR funding is attributed to the SSA.

77. Although Sweden did not respond to the Study's requests for information, SIDA's 2009 summary of funding in agriculture and food security²² records that it continues to support the CAADP. This includes increasing investment in agriculture (including related infrastructure), aligning donor contributions with the needs and demands of African governments, and in promoting regional trade and food security. Current SIDA support on these themes is best described as 'development' rather than 'research for development'. The SIDA website shows ARD relevant capacity building/ partnership projects with Ethiopian universities (current in 2007) similar to those reported by Belgium and Switzerland (in 2.5.2 and 2.5.4). On this evidence and in absence of a response from the NCP, it is assumed that Sweden makes a minimal contribution to non-CGIAR SSA ARD.

78. Sweden's policy for bi-lateral support to agriculture and food security is based on responding to the development strategy of the partner countries and regional cooperation organisations (including CAADP). SIDA participates actively in Global Donor Platform for Rural Development (GDPRD) for which supporting CAADP has become a major focus. Another aspect of SIDA's support for GDPRD is inclusion of the forum's joint principles for effective assistance in agriculture and rural development²³ into SIDA's own action plan for aid effectiveness (2009-11).

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²⁰ See ProInnova website: <http://www.prolinnova.net/aboutprolinnova.php>

²¹ See MFA DGIS website at http://www.minbuza.nl/en/Key_Topics/Development_Cooperation .

²² See SIDA website:

<http://www.sida.se/Global/About%20Sida/S%c3%a5%20arbetar%20vi/SIDAs%20Portfolio%20insights.%20Sidas%20disturbments%20to%20agriculture.%20forestry%20and%20food%20security.pdf>

²³ See GDPRD website: http://www.donorplatform.org/component/option,com_docman/task,doc_view/gid,900/



Box 1 GDRD Joint Donor principles for ARD programmes

Joint Donor Principles for Agricultural Research and Development Programmes

“Adjusted to the principles of the Paris Declaration and the Accra Agenda for Action – namely ownership, alignment, harmonisation, managing for results and mutual accountability – the Joint Donor Principles for ARD Programmes highlight the need (i) to include key stakeholders in decision making processes, (ii) to ensure coherent policies, (iii) to recognise the importance of inter- and intra-ministerial coordination, (iv) to support ‘internal alignment’, and (v) to focus on donors’ alignment with decentralised levels of government”.

The GDRD encourages development partners at the country level to use these principles as a benchmark that can be used when preparing and implementing country-specific partnerships.

http://www.donorplatform.org/component/option,com_docman/task,doc_view/gid,900/

79. These principles (see above) include programme-based and sector-wide approaches to agriculture, SIDA’s ProAgri project in Mozambique is a quoted example, including to ARD capacity building.

80. The inability to include the confirmed non-CGIAR donor support to SSA ARD from these seven EIARD members is regretted, particularly as it detracts from the Study’s ability to achieve critical mass in analysing and interpreting patterns of EIARD (and wider) donor support to SSA ARD.

2.4. EIARD members with no, or with limited, non-CGIAR SSA ARD portfolio

81. The CGIAR was reported as **Finland’s** only support to SSA ARD. Finland’s estimated contribution to SSA ARD through the CGIAR is \$M 2.50 in 2009, ranked 10th of EU members. Some 90% of this contribution is as core funding which is evenly distributed across four centres – CIFOR, IFPRI, ILRI and ICRAF. Although CIFOR has a low proportional spend in SSA (37%) the other centres have high spends, giving Finland an average CGIAR proportional SSA spend of 52%.

82. Finland’s current development policy for agriculture and food security²⁴ is characteristic of others more widely across EIARD members. The policy is to support partner countries’ own development programmes and especially the CAADP. To summarise this for ARD:

ARD is an important component of achieving CAADP objectives. In order to improve aid effectiveness and impact [of ARD], cooperation will be “via larger, multi-lateral initiatives and organisations and with the EU”.

For Finland, this support is identified as through the CGIAR system and specifically CIFOR, ILRI and ICRAF²⁵.

83. National policy on aid effectiveness aims to achieve a more efficient division of labour between donors and to identify those areas in which Finland can bring added value to common development efforts on the basis of its development history and expertise (which puts Finland’s support to CIFOR and ICRAF into policy context). Based on the documents seen Finland’s support to SSA ARD is consistent with its national policy and the PD and AAA principles.

84. **Italy’s** estimated contribution to SSA ARD through the CGIAR is \$M 2.05 in 2009, ranked 10th of EIARD members. This contribution is evenly distributed between core – IPGRA, ICARDA, IFPRI and ILRI – and small restricted funding to a further five centres. This allocation provides a low proportional CGIAR spend in the SSA (39%) because Italy’s largest contributions are to IPGRI and ICARDA. As part of its support to the CGIAR, Italy also provided funds to the SSA-CP in 2008 (US\$M 0.8) and 2009 (US\$M 0.9) but CP funding is included within the CGIAR restricted funding.

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²⁴ See: Development Policy Guidelines on Agriculture and Food Security. Ministry for Trade and Development, Government of Finland, 20 pp at

<http://formin.finland.fi/Public/default.aspx?contentid=203183&nodeid=15457&contentlan=2&culture=en-US>

²⁵ See Africa in Finnish development Policy. Finland’s development policy framework programme. Ministry of Foreign Affairs. Ministry for Trade and Development, Government of Finland, 44pp .



This SSA-CP contribution was reported to the Study as the only project in Italy's SSA ARD 2009 portfolio.

85. Italy's entry on the ERA-ERD website²⁶ from 2008 reports that different organizations finance projects focussing on ARD or that have an ARD component, and that 'as such' there is no ARD programme. However, the Italian National Forum for Agricultural Research for Development hosted by IAO provides a platform for advocacy, information sharing and networking. The current MFA Guidelines²⁷ gives priority to agriculture and food security, the multi-form strategy includes multi-lateral funding to the CGIAR; this includes donations to trust funds for agricultural research and bi-lateral programmes mediated through Italian institutions. Guidelines are not specific enough to include mention to CAADP. Italy's 2009 guidelines for improving aid effectiveness are based on specific recommendations made to Italy by its OECD 2004 and 2009 peer reviews²⁸.

86. **Norway's** estimated contribution to SSA ARD through the CGIAR is \$M 7.88 in 2009, ranked 4th of EIARD members. Some 82% of this contribution is as core funding; 56% of SSA core funding is evenly distributed across five centres – CIFOR, ICRISAT, IFPRI, IITA and ILRI – and the balance in funding to all centres except WARDA. This allocation gives Norway an average proportional CGIAR spend in the SSA.

87. Skeleton details of four NORAD-funded projects were provided to the Study. All projects have universities as the coordinating implementing organisation (though only one is Norwegian – UMB) and in Malawi one (BCDP) is a capacity building project and one (ARDEP) an ARD focussed project, both with Bunda College of Agriculture (BCA) as coordinator. In Tanzania support is for a multi-institutional project focussing on NRM within NORAD's climate change theme with SUA as coordinator; and in Ethiopia, an institutional collaboration project with two universities (Hawassa and Mekelle University) coordinated by UMB. The combined AFI²⁹ for these four projects is \$M 5.08 pa – this is 65% of Norway's CGIAR contribution and is mapped under Partnership Programmes. NORAD information suggests that there are additional 'SSA ARD' activities in other NORAD funding to NGOs and in the World Bank trust funds, e.g. Trust Fund for Environmentally and Socially Sustainable Development (TFESSD) that Norway jointly funds with Finland.

88. The NORAD website provides limited details of the above projects mentioned but a statement of current development cooperation policy, particularly as related to SSA ARD, was not found in a website search. The most relevant of NORAD's 'thematic areas' is 'Climate Change and the Environment' and within this the sub-theme of 'Management of biodiversity and natural resources'.

89. Although a policy statement on aid effectiveness was not found on the website, NORAD has published an effective substitute, the Practical Guide to Delegated Cooperation³⁰, including principles and a template for arrangements, on behalf of the 'Nordic Plus' countries (Denmark, Finland, Ireland, The Netherlands, Norway, Sweden and the United Kingdom) to enhance aid effectiveness. This is a more practical and parallel with the Belgian (see para. 104) and Austrian (see para 63) action plans on aid effectiveness.

90. **Portugal's** estimated contribution to SSA ARD through the CGIAR is \$M 0.15 in 2009, the smallest of the EU members. Some 70 % of this contribution is as core funding which is mainly to three centres – IPGRI, ILRI and IRRI. This pattern and the small funds involved gives a proportional spend in SSA (27%). Portugal's NCP was unable to collect and collate other Portuguese SSA ARD funding and support due to travel commitments.

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²⁶ See ERA-ARD at http://www.era-ard.org/documentation/leaflet-italy_091201sn.pdf

²⁷ See DGDC, MFA, Italy website

http://www.cooperazioneallosviluppo.esteri.it/pdgcs/italiano/LineeGuida/pdf/Linee_Guida2010-2012_engl.pdf

²⁸ See OECD: <http://www.oecd.org/dataoecd/54/59/44403908.pdf>

²⁹ AFI is Annual Funding Intensity in US\$M per year. AFI for a programme/ project is calculated as (Prog/ Proj total funding [in funding currency]/ funding period in years) * average funding currency exchange rate with UD\$ for 2009.

³⁰ See NOARD: <http://www.norad.no/en/Tools+and+publications/Publications/Publication+Page?key=109585>



2.5. EIARD members reporting significant non-CGIAR SSA portfolio

91. Information sheets were submitted or completed for their 2009 SSA ARD portfolios by four EIARD members – Belgium, Denmark, Germany and Switzerland – and by the Study (from the DFID R4D website) for the United Kingdom. This sub-section examines these portfolios in more detail and the available information is used to map support to SSA ARD in the Main Report, Table 2.

2.5.1. Denmark

92. **Denmark**'s estimated contribution to SSA ARD through the CGIAR is \$M 4.04 in 2009, ranked 9th of EIARD members. Some 85% of this contribution is as core funding which is evenly distributed across five centres – CIMMYT, IFPRI, IITA, ILRI and ICRAF – and the balance in small restricted funding to 11 centres. This centre-wise allocation means that Denmark has the highest proportional CGIAR spend in the SSA of 63% of all CGIAR members; just ahead of the USA at 61%.

93. The Danish non-CGIAR SSA ARD portfolio comprises one project, the UniBRAIN – Universities, Business and Research in Agricultural Innovation – project. UniBRAIN is part of the FARA portfolio (Table 1) and is one of FARA's three 'Capacity Building' network support function projects along with the SCARDA and BASIC projects funded by the United Kingdom and unidentified donors respectively. The UniBRAIN's four year funding of \$M 20 means that its AFI of \$M 4.0 pa is similar to Denmark's 2009 support to the combined CGIAR.

94. Denmark's new strategy³¹ for Denmark's development cooperation 'Freedom from Poverty - Freedom to Change' highlights the need to focus on fewer partners, prioritises Africa and stresses the importance of agriculture, and increasing its productivity, in reducing poverty. Although neither CAADP nor agricultural research are mentioned *per se*, the strategy is framed in terms of the five Africa Commission's five initiatives, of which the fifth is to "*Make universities more business-oriented within the field of agriculture and improve the business and vocational programmes in order to get more graduates into the labour market*". There is no explicit content to the policy for ARD which is stated as driven by "*demands from partners within the sector programs support or the IARCs that receive Danish support*"³². References to CAADP on the Danish Development Research Network (DDRN) website³³ demonstrate from internal documents that programme orientation and planning is strongly influenced by alignment with CAADP as an objective. The DDRN also plays an important role in consensus governance by the Danish development community of the DANIDA ARD programme and partnership programmes.

95. In summary, the level and structure of Denmark's support to the CGIAR and the focussed funding of CAADP Pillar 4 via UniBRAIN, with its high degree of devolution, suggests strong application of support to 'SSA ARD', specifically in Africa, following national policy, and commitment to improve aid effectiveness consistent with the principles of the PD and AAA. Absolutely and relatively (to an individual donor's total contributions to SSA ARD) the UniBRAIN project is the single largest and most focused transfer of 'ownership' to CAADP4 stakeholders identified in the Study.

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³¹ See MFA Denmark's strategy for development cooperation at MFA website <http://www.um.dk/NR/rdonlyres/3FB1B856-83D3-48EF-A819-0939EC47121A/0/FreedomfromPoverty.pdf>

³² See ERA-ARD website http://www.era-ard.org/documentation/cp_denmark_070612.pdf.

³³ See DDRN website at <http://ddrn.dk/sitemap.html>.

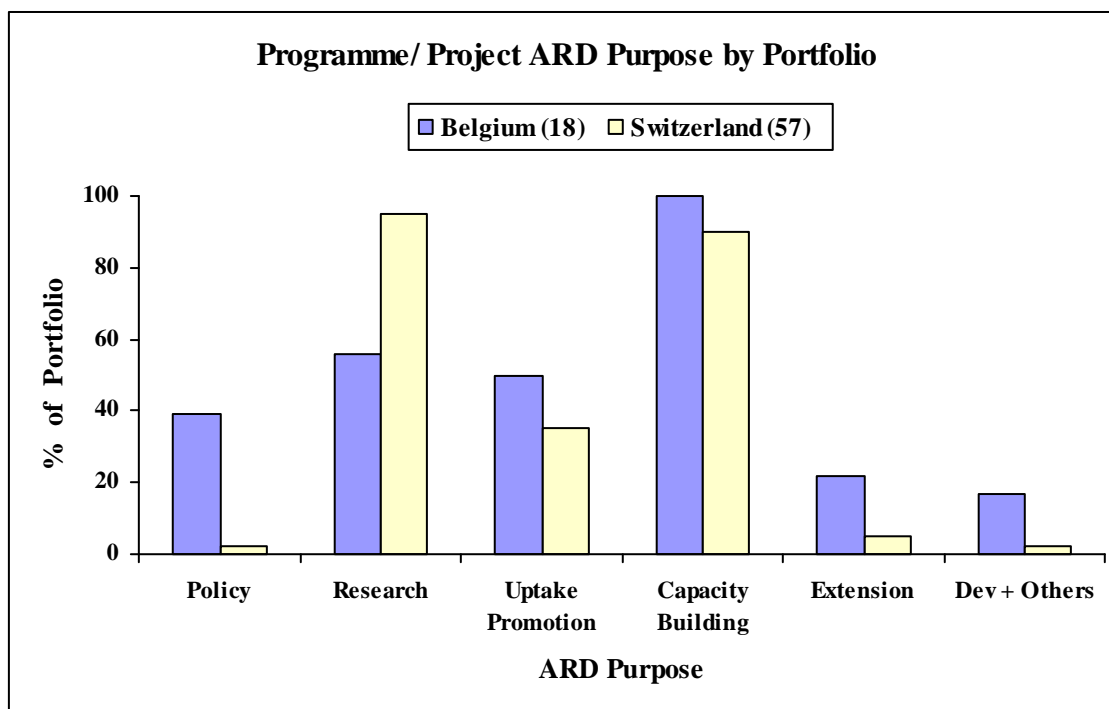


Figure 14 Programme/ Project ARD purposes by EIARD member reported portfolio

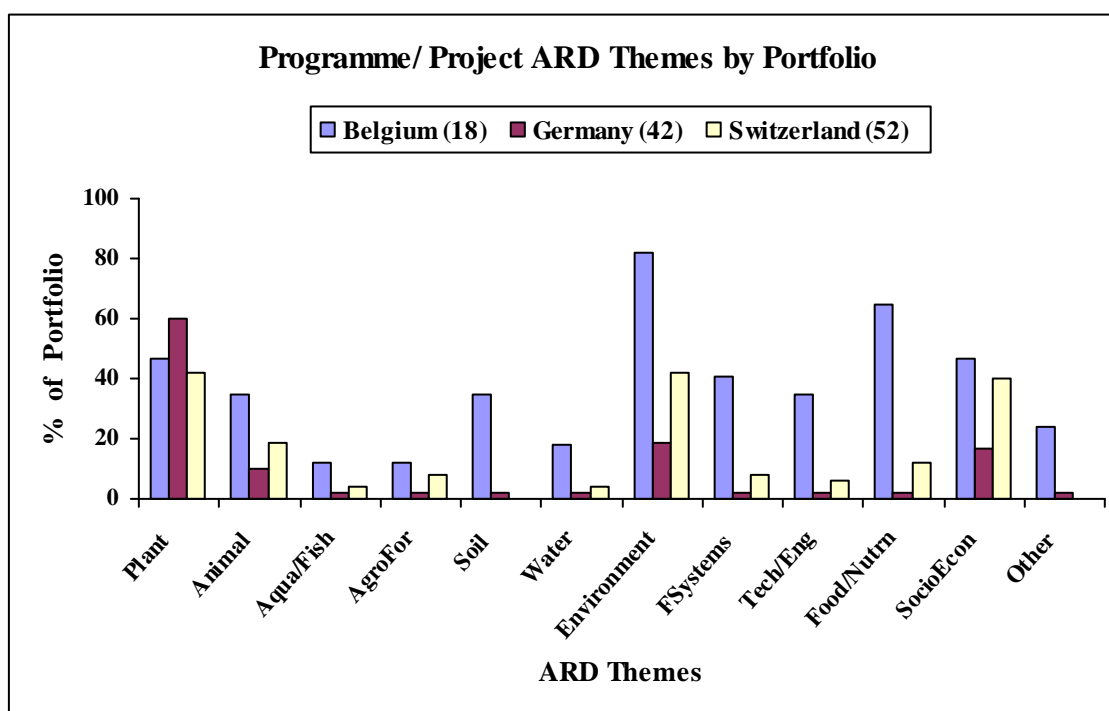


Figure 15 Programme/ Project ARD Themes by EIARD member reported portfolio

2.5.2. Belgium

96. **Belgium's** estimated contribution to SSA ARD through the CGIAR is \$M 5.65 in 2009, ranked 6th of EU members: some 90% of this as unrestricted funding. The majority (75%) of Belgium's CGIAR (SSA) funding is to the four centres (IITA, CIP, IPGRI, and CIAT – in order of importance), who are partners in the three CGIAR coordinated projects funded by DGDC (Appendix 11). The balance of the CGIAR funding (i.e. unrestricted) is equally divided between WARDA, ICRISAT and



ICRAF. It is estimated that 53% of Belgium's total CGIAR funding (US\$M 10.64) goes to SSA, marginally above the system-wide average.

97. The Belgian reported portfolio comprises 18 projects although one (the PRINT project) is funded by the EC EDF, coordinated by the Belgian Institute of Tropical Medicine (ITM) and managed by SADC-FANR. The three CGIAR coordinated projects include the CIALCA project which is a 3-in-1 project managed by CIAT, IITA and IPGRI as a consortium. These projects are funded through DGDC's multi-lateral budget as unrestricted funding and are mapped as CGIAR support in the Main Report, Table 3.

98. All the CGIAR-coordinated projects reported alignment with CAADP Pillar 4 and two projects also with links to CAADP pillars 3 and 2 (see Appendix 11 for details). Reported project purpose (Figure 14) is multiples of 'policy', 'research', 'UP' and 'capacity building' with non-ARD support (to Extension and Development) reported in projects where project (as judged by project title and summary objective) shows that purpose is related to livelihoods and a research-farmer interface.

99. The remainder of the Belgian portfolio comprises 14 other SSA region or country-focussed projects and (appear) funded through DGDC's 'indirect-cooperation' budget line. For three of these, CIRDES in Burkina Faso, DVTM in South Africa and ITC in WCA (which is jointly funded by the EC and Germany) the coordinator is the ITM (Belgian) working with National Research Institutions (NRIs) in the implementing countries; NRIs are unspecified in the (ITC) regional project. Project purpose is research and capacity building for CIRDES and DVTM and UP and capacity building for ITC; again reflecting the project scopes. All projects report alignment with CAADP Pillar 4.

100. The balance of the portfolio are partnership projects between a Belgian university and a national university in Burundi (2 projects), Senegal (2), DRC (3), Tanzania (1), Cameroon (1), Madagascar (1) and Central African Republic (1). Eight of these projects receive joint funding from their Belgian university partner (which also the coordinating implementing organisation). Consistent with the partnership arrangement, all projects report capacity building as ARD purpose and policy, research and UP depending on project scope (as judged by titles). All projects report themselves as part of FAAP and CAADP Pillar 4: three of the four projects reporting links to CAADP Pillar 3 report UP as ARD purpose.

101. Belgium's reported non-CGIAR SSA ARD portfolio has a combined 2009 funding intensity of US\$ 3.15 pa: this is equivalent to 55% of Belgium's CGIAR funding. In the SSA ARD Donor Support Map this funding support is allocated under partnership programmes or under CAADP Pillar 4 ARD.

102. Form and use of funding for the portfolio reported is direct funding (100% of projects) and TA (12% or 2/18 projects) with this being used for core funding (25%), operational costs (78%), capital (12%) and in kind (33%). The pattern of ARD themes/ sectors supported (Figure 15) reflects the Belgium's diverse portfolio's with six themes being reported by a third of projects. The most important theme/ sector being Environment (14/18 projects), followed by Food/Nutrition (10/18), Socio-economics (8/18), Plant (8/18) and Farming Systems (7/18).

103. Again consistent with the purpose of the projects, Training (16/18 projects), Research (14/18) and Institution Building (10/18) are the most important Activities reported (Figure 16). In terms of implementation countries, the Belgium portfolio includes two '1 donor per country' countries, Chad and Central African Republic. In comparison to Denmark's and Germany's portfolio, project focus is towards WCA and to countries with low number of donors and projects per country, i.e. away from Kenya, Tanzania and Uganda (Figure 18).

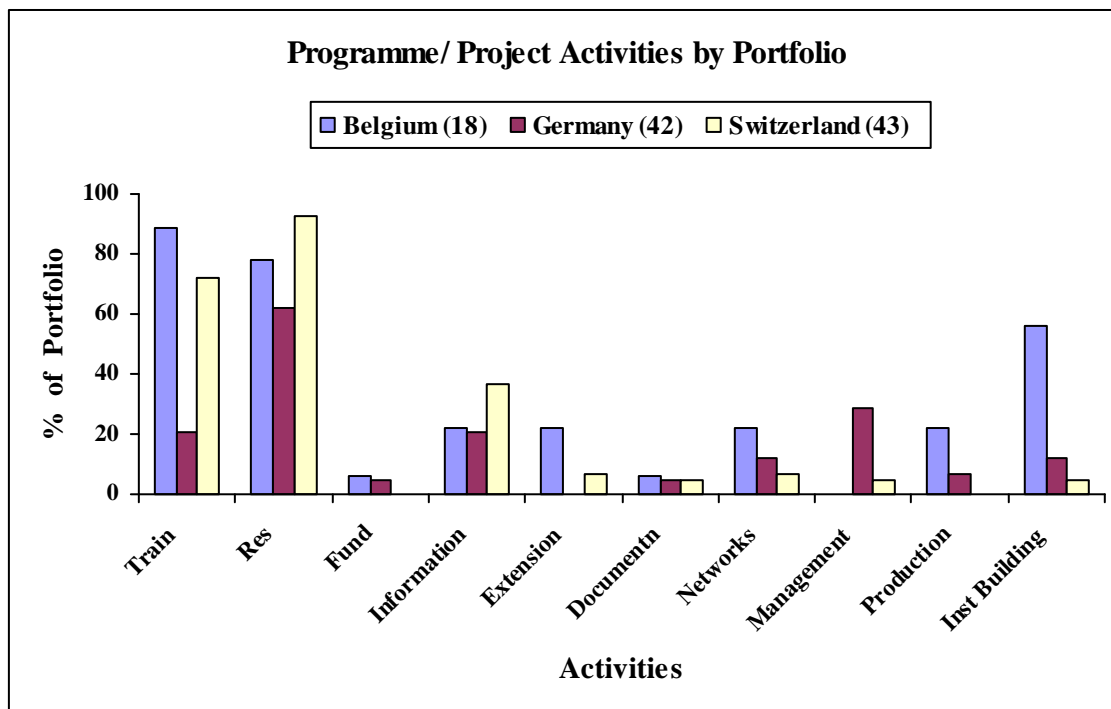


Figure 16 Programme/ Project activities by EIARD member reported portfolio

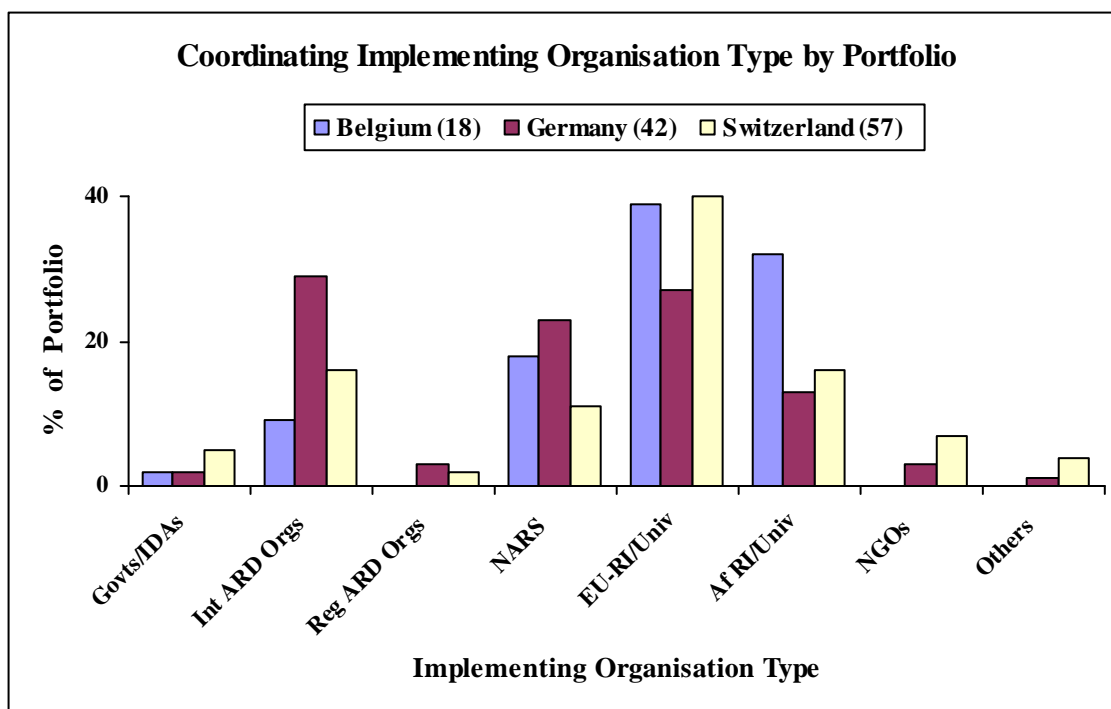


Figure 17 Programme/ Project coordinating implementers by EIARD member reported portfolio

104. Belgium’s NCP reported no explicit ARD policy. However, the next best ‘development cooperation’ policy documents on the MFA website state a strong commitment to agricultural development, and within that to increasing productivity based on research, as central to the



development objective of reducing poverty. The main ‘structural interventions’ identified³⁴ to achieve this are bilaterally to work in collaboration partner country governments and support the expansion of private companies active in the agricultural sector. Multilaterally to funding development via the European Union, through the CGIAR and the specialised UN agencies (IFAD and FAO). Finally, funding NGOs active in the agricultural sector. In terms of its policy on aid effectiveness, the Belgium government has an explicit (2007) H&A plan for the improvement of the effectiveness of its bilateral aid³⁵.

105. In summary, the Belgian portfolio is characterised by a balance between CGIAR support with research and capacity building through partnership programmes with national research institutes and universities concentrating on West and Central Africa and the relevant CGIAR centres. Although the policy and governance of the partnership programme is not explicit and Belgian partners dominate coordinating implementing organisation, this offset by the high level of reported linkages with CAADP 4 and 3 and joint funding from Belgian universities. Although it may be within the CGIAR funding envelope the CIALCA project is strong example of ‘inter-implementing agency’ harmonisation.

2.5.3. Germany

106. **Germany**’s estimated contribution to SSA ARD through the CGIAR is \$M 11.86 in 2009, the second largest EU and EIARD contributor to the CGIAR, evenly distributed between core and restricted. Germany funds all CGIAR centres (IPGRI which had restricted funding only) – the main recipients are CIMMYT, ICRSAT, IFPRI, IITA and ILRI. This means that an estimated 50% of Germany’s CGIAR funding goes to the SSA; close to the system-wide average.

107. GTZ is contracted through the BEAF (Advisory Service for Agricultural Research for Development) project to manage BMZ’s project linked funds for development oriented agricultural research. BEAF, whose role includes selection of funded projects against research themes, advocacy, governance and communications, reported 44 projects in the BMZ 2009 SSA ARD portfolio (Appendix 11); funded through CGIAR restricted (now ‘Targeted’) – Germany fund. Twenty three projects against six established research themes (12 of these funded as either small grant (SG-CGIAR) or post-doctoral programme (PDP-AIRC) projects), and nine against the recent theme ‘Adaptation of African Agriculture to Climate Change (AAC)’.

108. The BEAF website³⁶ provides document-based listings of projects, funding details, implementing organisations and implementing countries. However, it is not clear whether these would all fall with the CGIAR funding reported in the CGIAR financial statements and therefore how to map these within this Study. It is assumed that the funding of projects with AVRDC and ICIPE are non-CGIAR and this funding (US\$M 2.12 pa) is mapped as non-CGIAR SSA ARD IRACs.

109. One aim of the CGIAR targeted funding is to strengthen the cooperation between German and international research institutions and all IARCs, and AVRDC and ICIPE, are partners in these projects. Predominantly this is as the coordinating implementing organisation (36 of the 44 projects) with German-based research institutions being the coordinator on the others. The 186 project partner slots on these projects are dominated by the IARCs – 54 slots – followed by the NARS – 44 slots with 21 taken by NARS in Kenya or Tanzania – and 40 by universities – 25 of these Germany-based. Comparison of these partnership patterns with the Belgian and Swiss portfolios is given in Figure 17.

110. Projects covered 22 countries mostly in ECA and WCA giving 130 project x country slots with five countries accounting for 45% of these: Kenya 18 (14%), Tanzania and Uganda 12 (9%) each and Ghana and Mali 8 (6%) each. Figure 18 compares this distribution with the Belgian and Swiss portfolios.

111. BEAF did not report on ARD purpose and CAADP alignment. Form and use of funding for the German portfolio follows the pattern of the Belgian and Swiss portfolios with direct funding and

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³⁴ See MFA website

http://diplomatie.belgium.be/en/policy/development_cooperation/topics/agriculture_and_food_security/

³⁵ See http://diplomatie.belgium.be/en/binaries/plan_harmonisation_alignment_aid_tcm312-65613.pdf

³⁶ See BEAF website: <http://www.gtz.de/en/themen/laendliche-entwicklung/1815.htm>



operational costs dominating but with less variation in the German portfolio. This pattern is consistent with the CGIAR related funding mechanism of this portfolio.

112. The pattern of ARD themes/ sectors supported (Figure 15) reflects the portfolio's CGIAR-oriented objective with three dominating, i.e. Plant (57%), Environment (18%) and Socio-economics (16%). Similarly the main activity is Research (60% of projects) with Training (20%), Information (20%) and Management (27%) the other important activities (Figure 16).

113. In summary, the reported German portfolio is consistent with BEAF's mandate and the Study assumed that there is other SSA ARD support by Germany that has not been included in by the Study. Anecdotal evidence suggests much of this support would be classified under partner programmes.

2.5.4. Switzerland

114. **Switzerland's** estimated contribution to SSA ARD through the CGIAR is \$M 8.70 in 2009, the third largest EU or EIARD national contributor to the CGIAR. Contribution is evenly distributed between core and restricted funding. Switzerland funds all CGIAR centres except WARDA. The main recipients are CIAT, CIMMYT, CIP, IWMI and then IPGRI. As a result an estimated 44% of Switzerland's CGIAR funding goes to the SA, significantly below the system-wide average.

115. The reported SSA ARD portfolio comprised 57 projects. Apart from being the largest country portfolio reported to the Study it is also the most diverse. Thirty of these projects are projects within three partnership programmes between Swiss institutes and universities and SSA countries' universities or research centres. These projects combine an ARD capacity building purpose with a research purpose (Figure 14) and have a combined AFI of \$M 3.53 pa. They are mapped under partnership programmes in the Main Report, Table 3.

116. Although SDC was the dominant donor within the Swiss portfolio in terms of amounts and project numbers, seven other Swiss donors were included. The largest of these is the Syngenta Foundation for Sustainable Agriculture (SFSA) and the Swiss National Science Foundation SNSF) although three other national organisation and two foundations also contributed. There was also a high degree (15 projects) of joint Swiss funding.

117. The most substantial 'mainstream' ARD projects are either SDC and Syngenta funded. The SDC funded projects include: establishing CARDESA and with the CGIAR, the Biodiversity platform with CIFOR and ICRAF, IPM with IITA and NSIMA project with CIMMYT. It is not clear whether these are from CGIAR (restricted) funding budgets or not and they are not mapped separately from the CGIAR funding. SDC also funds the Pan-African Bean Research Alliance (PABRA) which has joint donor funding (with CEC and including CIDA).

118. Although funding levels are not given for most Syngenta funded projects, based on project descriptions, the most substantial are IRMA (CIMMYT), the SABIMA project which is part of the FARA portfolio (see Table 1), a Harvest Plus project via IFPRI (CGIAR Foundation funding) and the IFAD biofuels facility. Projects without funding details are only mapped as tick marks in the Main Report, Table 3.

119. The reported non-CGIAR portfolio for which funding information was complete (the minority of projects) has a combined 2009 funding intensity of \$M 5.46 pa which is 60% of the total Swiss CGIAR funding. This suggests that had complete funding information been available for the non-CGIAR Swiss portfolio its funding would be greater than the CGIAR portfolio.

120. The form and use of funding for the Swiss portfolio is more restricted than the Belgium portfolios with direct funding the only form (100% of projects). This is used for core funding (10%), operational costs (96%), capital (16%) and in kind (14%). The pattern of ARD Themes/ Sectors reported (Figure 15) is that while the themes reported are as diverse as in the smaller Belgian portfolio, projects are less heterogeneous with respect to themes covered with only six themes being reported by a third of projects: plant, environment and socioeconomics. In terms of Activities the difference between the Belgium and Swiss portfolio reports is that institution building is less important (Figure 16).

121. The distribution of Implementing Organisations (Figure 17) in favour of European Research Institutes and Universities is surprising given the large capacity building programmes but probably



reflects the concentration of the partnership programme on a few African universities. The Swiss portfolio includes four ‘1 donor per country’ countries, Botswana, Cape Verde, Somalia and Zimbabwe. Across the portfolio, project focus is towards WCA with Kenya, Ethiopia, Tanzania and Uganda dominating (Figure 18).

122. Although a specific strategy for Switzerland’s support to SSA ARD was not found, information on policy, strategy and guiding principles for research within Swiss development policy and cooperation is available on the SDC website³⁷ and includes the current SDC Research Plan³⁸. This and the SFIAR website (the information platform of Switzerland on ARD) show that policy, strategy and principles are strongly aligned with the PD principles. These emphasize capacity development to strengthen research systems, partnerships and a demand-driven, systematic and transdisciplinary approach to meet needs and priorities of recipient countries and strong support for the CGIAR.

123. In summary, the reported Swiss portfolio is distinctive in its diversity and structure. Some of the distinctiveness relates to funding sources with a majority of non-CGIAR portfolio having joint SDC and institutional/ foundation/ private funding. Some is related to the high proportion of partnership programmes comprising small projects on diverse themes. It also contains the PABRA and NSIMA ARD projects which are distinguished by cooperative and coordinated structure and function with joint donor funding.

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³⁷ See SDC website:

[http://www.deza.admin.ch/en/Home/Themes/Rule of Law Democracy/Process and methodic competencies_research/Research](http://www.deza.admin.ch/en/Home/Themes/Rule_of_Law_Democracy/Process_and_methodic_competencies_research/Research)

³⁸ See: http://www.deza.admin.ch/ressources/resource_en_157190.pdf and

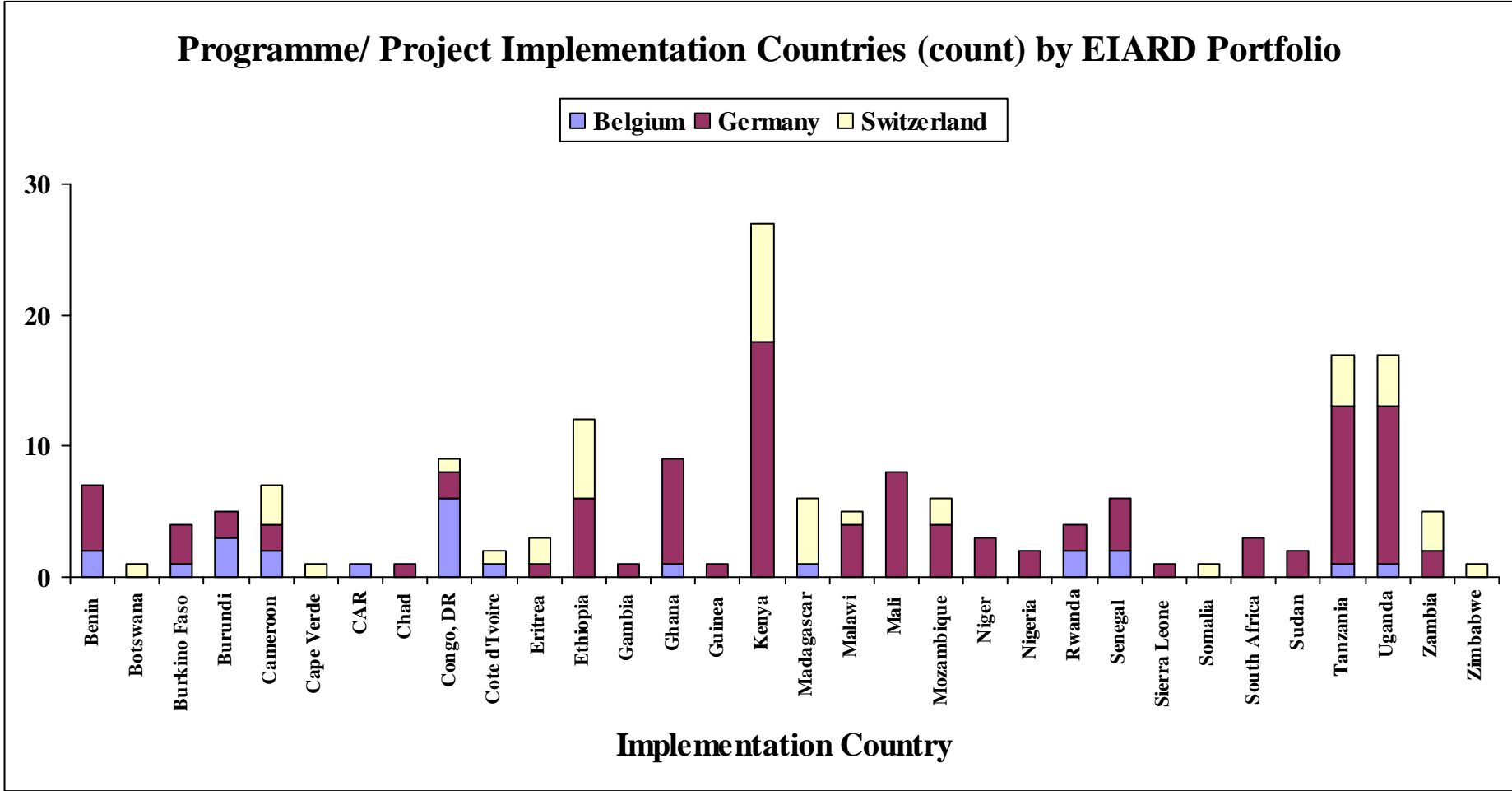


Figure 18 Programme/ Project Implementation Countries by EIARD member reported portfolio



2.5.5. United Kingdom

124. The **United Kingdom**'s SSA ARD portfolio described here (see Appendix 11) was assembled from the DFID R4D website³⁹ rather than via the completion and return of Study InfoSheets. This method was used partly because a recent review DFID agriculture programme had contributed to completing the R4D website's records. Partly, and since the DFID R4D provides the most comprehensive description of its ARD portfolio of all the EIARD members' websites, to test this 'website-based' method for collecting information for comparable mapping studies. A consequence of this approach is that the information on project ARD purpose, themes and activities is based only on the R4D summaries of project information not on project stakeholder knowledge and so is not interpreted in detail.

125. The majority of DFID's support to SSA ARD is part of the DFID Strategy for Research in Sustainable Agriculture (SRSA)⁴⁰ which has four components;

- i International Research.
- ii Getting Agricultural Research Into Use to Reduce Rural Poverty,
- iii Advanced Research Programmes, and
- iv Regional Research Programmes.

Two projects are also listed under a Multifunded Sustainable Agriculture Research heading.

126. The majority of the International Research is via the CGIAR Centres and Challenge Programs. For 2009 DFID's funding of CGIAR funding of SSA ARD is estimated at \$M 19.79 with half of this as core funding. At \$M 3.45 the UK was the second largest funder of IFPRI (twice as much as to any other centre). After IFPRI, the main centres funded are CIAT, ICRISAT ILRI and IWMI. The UK is also the third largest donor to the CGIAR CP partners after the World Bank and CEC. An estimated 48% of UK's total CGIAR funding is attributed to the SSA.

127. The composition of the DFID's CGIAR restricted funding is not clear from the R4D listings but the International Research on-CGIAR component that can be attributed to SSA includes funding support to ICIPE (US\$M 0.79 pa]. Some of the DFID support to AVRDC (total of \$M 0.80 pa) can be allocated to the SSA. As there is no information on the R4D or AVRDC websites to disaggregated funding for SSA from that to AVRDC's Asia and Global roles, 50% is assumed. ICIPE and AVRDC support is mapped to non-CGIAR IARCS. It is also not clear from R4D whether support to IFPRI (US\$M 0.85pa) to coordinate the project on HPAI is restricted CGIAR funding or not but as this project is listed in CGIAR Ongoing research it is not mapped in the Main Report, Table 3.

128. The sole programme in the 'Getting Agricultural Research Into Use' SRSA component is the NRI implemented Research into Use (RIU) project (US\$M 9.62 pa⁴¹). This project is strongly aligned with CAADP Pillar 4 purpose and process (see CAADP Pillar 4 webpages⁴²) and is mapped to CAADP P4 aligned ARD.

129. The SARID and CIDLID projects managed by BBSRC comprise the Advance Research Organisations component of the SRSA. Both programmes are co-funded by one UK partner; SARID by BBSRC and CIDLID by the Scottish Executive but the programmes have similar parallel purposes to support high-quality basic and strategic biological and biotechnological research into infectious diseases of the principal livestock species in Sub-Saharan Africa and South Asia (CIDLID) / in crop science and sustainable agriculture (SARID), that will establish productive partnerships between scientists in the UK and developing countries (CIDLID and SARID).

130. These programmes allocate funding using the BBSRC 'research council' (competitive) grant management system. CIDLID and SARID are Global, Asia, Africa programmes and in absence of a response from BBSRC to the Study's request for an estimate of the proportionate allocation of

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³⁹ See R4D website at : <http://www.dfid.gov.uk/R4D/>

⁴⁰ See DFID website: <http://www.dfid.gov.uk/R4D/AboutDFID.asp> or <http://www.dfid.gov.uk/R4D/researchTopicWithNewsFeed.asp?topic=Sustainable%20Agriculture> for a summary and in detail http://www.dfid.gov.uk/R4D/pdf/articles/SRSA_summary.pdf

⁴¹ In response to the Study's request the RIU management provide an estimate that the R4D RIU funding figure could be attributed 78:22 to Africa: Asia.

⁴² See CAADP Pillar 4, seemingly out of date, website: <http://www.nepad-caadp.net/pillar-4.php>



funding to SSA within the programmes the 50% figure used has been used for calculating the AFI given (CIDLID \$M 1.26 pa and SARID \$M 1.04 pa).

131. Some of the projects funded in the CIDLID and SARID programmes are listed on the BBSRC website but since this makes no mention of CAADP Pillar 4 it seems unlikely that the CIDLID and SARID SSA projects are purposively CAADP4 aligned. The CIDLID and SARID programmes appear the UK equivalent of the ‘partnership programmes’ reported by Belgium; Norway and Switzerland although in proportion to the respective EIARD member’s total SSA ARD investments, the CIDLID and SARID are less well funded. The Study has no information to make an assessment of the distribution of CIDLID and SARID SSA country partners.

132. The SRSA’s Regional Research Programme is based on working with key partners and donors on a harmonised approach to providing support to the agricultural and natural resource sectors through organisations based in Africa. In practice this programme is structured around the CAADP and support to the three SROs. These projects are DFID’s direct funding support respectively to FARA in the regional SCARDA project (US\$M 4.12 pa) with DFID as the sole donor, and to the SROs WECARD-CORAF (US\$M 3.13 pa) and ASARECA (US\$M 3.19 pa) with DFID as one contributor to their multi-donor trust funds (MDTFs). The other donors to the MDTFs are listed by R4D as AfDB, CEC, COMESA, ECOWAS, IFAD, USAID and WB. The management and implementation of the SCARDA project by FARA and the MDTFs by the SRO’s MDTFs, and in relation to aid effectiveness are considered in the CAADP Domain report (Appendix 1). By definition these projects are strongly CAADP4 aligned and ownership is strongly devolved.

133. DFID’s support to the CGIAR Challenge Programme for SSA (SSA CP) crosses between the International Research and the Regional Research programmes since, although funded through the CGIAR, the SSA CP is managed by FARA. The ‘challenge fund’ mechanism means that donor contributions may be intermittent and for the purposes of this Study the SSA CP contributions as recorded by the CGIAR financial statements for 2008 and 2009 are included in Appendix 11 to provide an AFI estimate of support to FARA. The UK made a contribution of USD 2.3M in 2008 but none in 2009 giving an AFI of US\$ 1.15M. In the 2008-2009 period the SSA CP was co-funded by CEC and by Italy (para. 84). A feature of the FARA InfoSheet returns (see sub-section 1.3.3) is that FARA records donor contributions to the SSA CP from the African national governments who host the SSA CP test sites. If this is correct then this is a good example of donor support and devolved project governance stimulating other donor contributions and cost sharing.

134. The two projects listed under ‘Multifunded Sustainable Agricultural Research’ are both relevant to the SSA. These are the GALVmed project (DFID \$M 0.70 pa) co-funded by BMGF (US\$M 3.75pa) and the AATF⁴³ project (US\$M 3.26 pa). The GALVmed is mapped as general SSA ARD and the AATF specifically to the AATF as it operates independently as a substantial funding sink for SSA ARD (see sub-section 3.5.2).

135. Six further DFID SSA ARD projects lie outside the SRSA components. The first are five projects with a conventional project structure of contracted to DFID (as sole funder) to provide project implementation. These are three small projects (i.e. less than \$M 1 pa) with FAO, IPLAS, WRENmedia; two larger projects (US\$M 2-3 pa) with IDPM and IDS. These projects cover a range of topics from livelihoods, through mainstream agricultural research to policy-focussed projects and include regional (SSA) or subregional (WCA, ECA, SA) projects. Funding for these projects totals \$M 6.45 pa and so is equivalent to ca 30% of the UK’s CGIAR contribution and are mapped to general SSA ARD. The funding for the non-International Research components of the SRSA is US\$ 26.8M pa; ca 30% greater than UK’s CGIAR funding.

136. Two final SSA ARD projects are identified by R4D. The first is the Climate Change Adaptation in Africa (CCAA) project funded under the Climate Change priority of the DFID Research Strategy. The second is the AECF-RIB project but since the AECF does not fund primary agricultural research itself it is not included within this Study’s ARD-focussed mandate.

137. The CCAA is a joint IDRC (also manager) and DFID research and capacity development program aims to improve the capacity of African countries to adapt to climate change in ways that

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⁴³ See AATF website: <http://www.aatf-africa.org/en/>



benefit the most vulnerable. The program is described as run and executed in Africa by Africans and, to the extent possible, involving the whole of Africa and a priority theme is rural livelihood which covers agriculture and livestock. Thus although not part of CAADP it is CAADP4 relevant. No details of the programme or funding are given on the R4D website and 50:50 IDRC:DFID funding is assumed for this Study. The CCAA website lists details of 39 SSA country or regional projects but an audit of these to establish their ARD relevance and funding is beyond this Study's resources.

138. The Pan-African Bean Research Alliance project (para 117) website identifies DFID as a joint donor but this appears a reference to earlier funding. There is also no information on R4D to confirm the statement that DFID provides core funding to AGRA on the programme's website.

139. It was not possible to retrieve the "DFID Medium Term Action Plan on Aid Effectiveness, 2007" listed on the DFID website. However, since DFID Country Assistance Plans have to include an 'aid effectiveness plan' it seems probable that there is one for the SRSA.

140. In summary, the UK's support to ARD in SSA is distinctive firstly in having an explicit ARD strategy and one that targets the SSA and explicitly CAADP and its Pillar 4, by the scope and innovative nature of many funded projects (e.g. RIU, AATF and potentially AECF-RIB) and its frequent contribution to multi-donor arrangements (commonly with the WB and the EC). This 2006 strategy pre-dates the 2008 'food price crisis' and the 2008 WDR.

141. The second distinction of the UK support is the scale of funding for SSA ARD which (presumably) explains the range of project mode and funding arrangements. The UK's SSA CGIAR funding is the largest of EIARD country members and its non-CGIAR SSA ARD funding is 50% greater again. Funding to CAADP (FARA and SROs) is half that of to the CGIAR and similar funding support is provided to each of the CAADP4 aligned ARD and the (general) SSA ARD (see Main Report, Table 3).



3. Donor Domain – International non-EU

3.1. Introduction

142. This appendix sets out an analysis current support to SSA ARD, and to CAADP Pillar 4 specifically, by international donors outside the EU, based on material available on the internet from donor websites, supplemented by returns from the Study's request for information from CAADP, FARA, SROs and EIARD members. Some donor websites present full listings of all projects supported. AidData.Org holds data for some others. None of the databases are structured to allow rapid analysis of which projects support ARD, and to what extent. Most have the ability to click through from the database to individual project summaries, which means that a more detailed analysis would be possible for the majority of donors. However, it would take considerably more time than available for this assignment.⁴⁴

143. This appendix seeks, therefore, to provide two things:

- a summary of the extent to which each donor is engaged with CAADP, based on its published policy statements, and
- an estimate of the volume of funding each donor directs towards ARD, which is mapped as possible into the 'Map of SSA ARD' (Main Report, Table 3).

The International non-EU donors are divided in multi-lateral (3.2), bi-lateral (3.3), Foundations (3.4) and Other SSA-based organisations (3.5).

3.2. Multilateral Agencies

3.2.1. The African Development Bank

144. The African Development Bank's (AfDB) Agriculture Sector Strategy 2010 – 2014 sets out its current position. The new strategy aims to continue the Bank's engagement with agriculture but be 'more focussed, selective and innovative'. Accordingly, the strategy concentrates on two areas where the AfDB sees its own comparative advantage: renewable natural resource management agricultural infrastructure; these are explicitly aligned with CAADP Pillars 1 and 2. In other areas, including ARD, AfDB expects to work principally through partnerships with other organisations which have the necessary competence and comparative advantage. At the international level only one partner is envisaged in ARD, the CGIAR system. No mention is made of FARA or the SROs.

Box 2 African Development Bank agriculture sector 'development' project example.

Capacity Building of Agricultural Institutions, which will cover the re-equipping and re-tooling of the Ministry of Agriculture as well as the rehabilitation and equipping of a seed laboratory for the national research institution, in addition to facilitating farmers' organisational capacity through regular training; secondly, Agriculture sector staff will be trained within the country and the region, including 80 Extension Agents, 20 Water Management Technicians; five Agricultural Research scientists; 15 Subject Matter Specialists....

Liberia Agriculture Sector Rehabilitation Project – Started March 2010

145. The Agriculture Sector Strategy presents an indicative pipeline of 62 projects and studies, 2010-12, for a total value of approximately \$2.8 billion. The majority of these have broad titles. Variations on 'Agriculture and Rural Sector Support' and 'River Basin Development' are commonest. Some of these, especially those in the NRM sector, may include R&D components - Box 2 shows a typical example. However, in line with the strategy outlined, no projects appear to be specifically targeted on any aspect of CAADP 4.

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⁴⁴ At least one month.



146. AfDB's indicative lending programme for 2010 includes 189 projects⁴⁵; of which 20 are for agriculture. At UA 345 million⁴⁶ this represents only 6.2% of the Bank's total programme. As before, none of the agriculture projects target ARD. Under the heading 'Multisector (Including Budget Support, Support to Reforms and Governance Support Projects)' the programme allocates: UA 1.3 billion, 25% of the total programme. Some of the General Budget element here may go to agriculture and then to ARD. However, a brief review of the projects indicates the emphasis is on public expenditure and other high level reforms.

147. The AfDB's earlier approvals which remain in its 2009-10 portfolio are more strongly oriented towards ARD. The AfDB website database and this Study identified four projects in which AfDB provided substantial and direct support to CAADP Pillar 4 and a number that provide support to SSA ARD within the framework of wider 'agricultural development' projects.

148. Details of these projects are given in Appendix 11's Study database listing, mapped as applicable into the Main Report, Table 3 and summarised in the following points:

- Support to ASARECA as part of the MDTF with six other donors. The AfDB reports its contribution as (an AFI of) US\$ 1.03M pa.
- Equivalent support to CORAF as part of the MDTF with five other donors. Information on this contribution comes from the DFID R4D website and the size of the AfDB contribution is not known (viz. it could not be traced on the AfDB website). Thus its quantity is not mapped in the Main Report, Table 3.
- AfDB funds two of the FARA network function projects, DONATA and RAILS. The DONATA project was not traced on the AfDB website but FARA puts the AfDB contribution to DONATA at US\$ 2.44M pa. The RAILS project is recorded by AfDB, FARA, CORAF and SADC-FANR but not by ASARECA. FARA reports a RAILS AFI of US\$ 1.00M pa presumably as funding is spread across SROs and other partners and the AfDB an AFI of \$M 6.81 pa. The AfDB figure is mapped in Main Report, Table 3.
- Other earlier and small (less than UAC 3M total funding or US\$ 0.10M pa) AfDB agricultural development oriented projects which have an ARD component (<20%) focussing on the NARS are a 'Fisheries development project – Uganda' and 'Inland valleys rice development project – Ghana' are listed given on the AfDB website. The AfDB also funds the large NERICA dissemination project with UAC 20M over seven years (i.e. AFI of US\$ 4.18M pa) but its ARD content is difficult to estimate from the available summary project description.

149. Finally there is the Tanzania Agriculture Sector Development Programme (TASDP), a large sector budget support programme started in 2008, with other donors totalling some US\$300 million. This is characteristic of how similar multi-lateral donor projects provide support to SSA ARD: support that is either general SSA ARD or ARD nominally aligned to CAAP 4. . The main focus of the TASDP is on supporting local government services and promoting 'pluralism' in service provision. Only one of eight components, titled Agricultural Services – National Level, seems likely to make a small contribution directly to ARD.

150. In summary, some AfDB funding goes to ARD directly to CAADP4 via MDTF to the SROs and some indirectly to general SSA ARD as part of larger agricultural development sector projects. While funding is significant for individual projects it is perhaps only some 10% of the AfDB's agriculture sector lending. For 2010, that would equate to some \$50 M across all of Africa. Only some US\$9.5M pa can confidently be mapped by this Study in Main Report, Table 3.

3.2.2. The World Bank

151. The World Bank's (WB) strategy for agriculture is set out in its Agriculture Action Plan 2010 – 2012 (AAP). The APP is designed to 'operationalise' the thinking set out in the 2008 World Development Report: Agriculture for Development (WDR 2008). Subject to demand, the AAP proposes to raise WB lending to agriculture from US\$4.1B pa to between US\$6.2 and \$8.3 B pa: around 15% of total bank commitments. The aim is to work across the range from regional

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⁴⁵ AfDB Group – The 2010 – 2012 Programme and Budget, Annex 3

⁴⁶ \$520 million approx. The AfDB Unit of Account approximately = \$1.5.



programmes, through country-level PRSPs and down to community-driven development. (CAADP is the example quoted of a regional programme).

152. The AAP sets five key areas: i) agricultural productivity; ii) markets and value chains; iii) risk/vulnerability; iv) ‘facilitate agriculture entry and exit, and rural non-farm income’; v) environment/sustainability.

153. Sub Saharan Africa (SSA) and South Asia are given priority, about half the AAP total: i.e. US\$3B pa. No expected split between Africa and Asia is stated. For SSA, the focus is to be on raising productivity, especially for smallholders. The text states that WB has aligned its support around the four CAADP pillars by giving priority to agricultural research and extension (15% of the ongoing programme), crop development (14%), irrigation and drainage (9%). However, this is somewhat misleading. Equally large, or larger, proportions of the programme go to ‘General Agriculture, Fishing, Forestry Sector’ (21%), infrastructure (9%), and public admin/law (10%).

154. The AAP’s position on research is perhaps implicit in the fact that it is lumped together under one heading with extension as ‘Extension & Research’⁴⁷. More explicitly, the focus seems to be on adoption more than research. In SSA, “better adoption and use of existing seed varieties can double yields.” The AAP makes the following points about Agricultural Innovation:

- The WB will focus on *“improving the relevance and responsiveness of cutting edge and traditional research and extension through: empowerment of end-users, encouraging pluralism in delivery, and better linking research and extension.”*
- WB will support biotechnology, its regulation as well as its generation, recognising that *“effects vary across years, institutional setting and agro-ecological zones”*.
- CGIAR needs reform but offers economies of scale, especially for smaller countries. Research performance contracts are proposed under a new CGIAR fund hosted by the WB.

155. The World Bank’s non-CGIAR support to SSA ARD mapped by the Study into Main Report, Table 3, derived mainly from the WB’s website projects database and are given in Appendix 11’s listings. All projects selected for mapping have at least a 20% research content estimated from the WB declared ‘Ext&Res %’ modified (by the Study) from project description information, typically using project component descriptions.

156. The key features of the mapped projects are:

- Support to FARA provides ca (AFI) US\$ 8.7M pa from 2009-2013 from a (FARA) trust fund. FARA also reported smaller WB funding (US\$ 0.17M pa) for partnership and strategic alliances for 2009 only but this support may be taken from the trust fund. Only the trust fund is mapped to FARA.
- The WB support to ASARECA MDTF is US\$ 3.12M pa. ASARECA is also the coordinating implementing organisation for the EAAPP, in Ethiopia, Kenya, Tanzania and Uganda, which has a substantial research component (50%) and funding US\$ 90M over six years. This support (US\$ 7.88M pa) is mapped to P4 aligned SSA ARD.
- The two East African country Agriculture Productivity Projects (APPs) – Kenya (US\$ 4.4M pa) and Uganda (US\$ 2.66M pa) have a 25-50% research component and are mapped to P4 aligned SSA ARD although both countries will only sign CAADP compacts in 2010. A large (US\$ 38.18M pa) WB funded agro-technology and agribusiness project coordinated by NARO is due to start in Uganda in 2010 but is not mapped in Main Report, Table 3 (since it distorts 2009 estimates).
- The WB website does not list support to the CORAF equivalent to that to the ASAREC Trust Fund but it is possible the WAAPP for Ghana, Mali and Senegal includes the WB funding contribution to the CORAF MDTF (which the DFID website refers to as its funding destination). CORAF’s report of the WAAPP-1A funding (also for Ghana, Mali and Senegal)

⁴⁷ This classification, which is also used on the WB project database, is a good example of where small changes to how donors could improve the usefulness and usability of data/ information on funding allocations considerably with a small effort. In this example, by designating research and extension ‘markers’ for programmes/ projects separately and using OECD standards; viz. 31182 Research and 31166 Extension.



is double the WB report (US\$ 9.00M pa) and may reflect the recipient countries matching funding. The WB contribution is mapped to CAADP4 aligned SSA ARD.

- Two WB funded agricultural development projects with a 20-30% research component, one in Ethiopia (rural capacity building – US\$ 2.65M pa) and in Senegal (agricultural services and producer organisations – US\$ 3.08M pa) are mapped to general SSA ARD.
- A feature of the WB portfolio is that three SLM projects have been approved and start in 2010. These are in Uganda (US\$ 13.30M pa), Mali (US\$ 4.20M pa) and Senegal (US\$ 0.51M pa). Although only Mali has signed a CAADP compact (2009), these projects fit under CAAP Pillar 1 whether or not this is purposive or not, and are mapped as such.

157. On the basis of this analysis, the WB's support to non-CGIAR SSA ARD is ca US\$ 70M pa – three times that to the CGIAR – with half to CAADP (pillars 1-4 and the SROs) and half to potentially Pillar 4 aligned (?? P4) ARD via the APPs (see Main Report, Table 3).

3.2.3. GEF

158. The Global Environment Fund has a sizeable portfolio of programmes with agricultural components:⁴⁸; 20 in the agriculture sector (US\$554 M: US\$110M pa); and a further 46 in other sectors (US\$1.2 B: US\$ 250M pa). It would appear that GEF interprets its environment brief broadly. It has some very large agriculture and fisheries development programmes (up to UK£85M) with few or no explicitly environmental components.

159. None of the 20 agriculture sector projects include a specific element for research or extension. Instead, most activities are coded under broader headings such as “Agriculture Development, activity unspecified”. The 46 programmes outside the agriculture sector fall into four main categories: water resources; environmental protection and policy; bio-diversity; and rural development. Some of these are very large (up to \$95 million), but none include specific research or extension activities.

160. It hardly seems likely that major environmental conservation and rural development programmes can succeed without research and extension. It is likely, therefore, that some, even substantial ARD funding may be hidden in the general activity codes shown in the GEF portfolio, perhaps 10% of the 20 agriculture sector projects: i.e. \$10 million per annum.

3.2.4. IFAD

161. From 2000-2005, IFAD was an active supporter of NEPAD and the CAADP process, starting from the 2003 commitment to pledge at least 10% of government resources to agriculture.⁴⁹ It is not clear how far this commitment has carried through to a current engagement with CAADP. The IFAD website does not present a statement of its current strategy in agriculture or rural development, or how its programmes are tailored to fit CAADP.

162. IFAD has a similar portfolio to GEF: 18 agriculture sector programmes (US\$539 M: US\$ 108M pa) and eight programmes in other sectors with agricultural elements (US\$271 M: US\$54M pa). Only three of the agriculture sector programmes have a specific research element, two of which also have an extension element as well. There is also one programme with extension but no research.

163. With one exception, the impression is that IFAD programmes focus on community development, food security and support to vulnerable groups. ARD does not appear to be seen as a key component in this work. The exception is a Support Project for the Strategic Plan for the Transformation of Agriculture in Rwanda. On the codes shown, this does present a coherent package of agricultural policy, research, extension and support service activities focussed substantially on ARD.

3.2.5. FAO

164. The Food and Agriculture Organisation (FAO) has played a significant role in CAADP since its beginning and continues to provide technical assistance to the NEPAD Planning and Coordination Agency (NPCA) and the AUC's Department of Rural Economy and Agriculture (DREA). In 2003,

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⁴⁸ Source: AidData.Org, on same five year basis as for WB

⁴⁹ IFAD, the African Union and the New Partnership for Africa's Development Working together to enable smallholders to influence rural development policies in Africa, IFAD, May 2006



FAO carried out a two-year programme to assist all African countries to prepare National Medium Term Investment Programmes, in the CAADP framework, and to estimate the financing gap in the agriculture sector to 2008. (Later reviewers judged that this may have led to an over-emphasis on CAADP as a process to mobilise resources for agriculture.)

165. At the country level, FAO assisted pre- and post-compact processes in Rwanda, Sierra Leone and Togo during 2009, and expected to do the same in other countries during 2010-11. As Cluster Convenor, FAO represents UN organisations, including the World Bank, on the CAADP Partnership Platform, a continental forum designed to “*rally commitment and partnership as well as alignment and harmonisation of efforts supporting African agriculture.*” FAO, along with WFP, is named as one of two Supervising Entities for Technical Assistance under the recently launched US\$1B Global Agriculture and Food Security Programme. African countries are only eligible for this programme once they have signed a CAADP compact. In the future, this may be one of FAO’s most important roles in the CAADP process.

166. FAO’s current strategy is set out in its Medium Term Plan 2010–13, which is presented together with its Programme of Work and Budget 2010-11. The plan sets out 11 Strategic Objectives. These objectives have a sectoral focus, which makes it difficult to judge how much emphasis is placed on Agricultural Research for Development. For example, 17% of the budget goes to emergency preparedness and response, a sector where ARD seems unlikely to play an important role. The 11 objectives are:

- | | |
|---|-------------------------|
| A. Sustainable intensification of crop production | (11% of 2010-11 budget) |
| B. Increased sustainable livestock production | (8%) |
| C. Sustainable management and use of fisheries and aquaculture resources | (6%) |
| D. Improved quality and safety of foods at all stages of the food chain | (2%) |
| E. Sustainable management of forests and trees | (5%) |
| F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture | (6%) |
| G. Enabling environment for markets, improved livelihoods & rural development | (4%) |
| H. Improved food security and better nutrition | (7%) |
| I. Improved preparedness for, and effective response to, food and agricultural threats and emergencies | (17%) |
| K. Gender equity in access to resources, goods, services and decision-making in the rural areas | (1%) |
| L. Increased and more effective public and private investment in agriculture and rural development | (4%) |

167. As an organisation, FAO places most emphasis on its global work, with 73% of the proposed 2010-11 budget allocated to Headquarters/Global. Only US\$183 over two years is specifically allocated to Africa. A brief regional strategy is set out which mentions the 2003 Maputo commitment to raise government expenditure on agriculture to 10% of the total budget. There is no mention of CAADP or any specific strategy for ARD. Instead, the strategy for Africa retains the focus on FAO’s 11 sectoral objectives.

168. Following the closure of a separate Research and Extension Division, Office of Knowledge Exchange, Research and Extension (OKERE) now holds FAO’s brief for supporting ARD. “*It will assist countries in the development of efficient, effective and sustainable national agricultural research and extension systems, and the strengthening of linkages between them and the agricultural producers for the effective assessment, adaptation and adoption of appropriate technologies in agriculture, forestry and fisheries. This will include close interactions with global entities in agricultural research for development such as the Global Forum on Agricultural Research (GFAR) and the Consultative Group for International Agricultural Research (CGIAR).*”

169. FAO itself is not a donor and FAO projects are not listed on any of the main donor aid databases. Unlike most major UN organisations, FAO does not appear on OECD DAC lists of multilateral donors. This makes it difficult to analyse which donors contribute most to FAO or to map what proportion of donor funding goes to CAADP or the individual pillars via FAO. A complete analysis of FAO’s own project database would be necessary to get a clear picture. However, OKERE

EIARD – Analysis of donor support to CAADP4 – Phase I

Appendix 3 Donor Domain – International non-EU



have provided the Study with a table setting out the 12 active FAO projects which are linked to CAADP pillars (Table 5).

170. Making simple assumption of a *pro-rata* split s between the different pillars, these project represent an AFI (i.e. average annual expenditure) of US\$ 23.2pa to CAADP Pillar 4 and 0.6pa and 6.5pa to pillars II and III respectively. In the Map of donor support to SSA ARD (Tble 3 in the main Report) these (FAO related donor contributions) are included as references to the known projects (tick marks) rather than as definitive funding values in since there is inadequate information to apply the same screening process as for other table entries. One reason for this screening is to avoid the significant risk of double counting with funding totals. For example, the FAO website states that the agriculture and forestry research project in the Democratic Republic of Congo (US\$ 3.43pa) as led by IITA and CIFOR which therefore will presumably have already been included in the CGIAR figures. This example well illustrates the risk of double counting when the project databases are so incomplete, and donor funds run through so many overlapping channels, even when they are directed at a relatively limited objective like SSA ARD in Sub Saharan Africa.

Table 5 FAO projects supporting or linked to CAADP pillars I, II, III or IV (FAO Pers. Comm.)

Title of Project/Programme	Dates	US\$M Total (AFI)	Overall Objective	CAADP Pillar	Country
Post-emergency accelerated capacity building for Liberia's national food security programme	06/08 - 05/10	0.43 (0.22)	Post-emergency capacity building	III	Liberia
Support to Agriculture and Forestry Development Project	06/09 - 01/11	0.70 (0.44)	Strengthen Agricultural and Forestry Support Services and Institutions.	III, IV	Sudan
Amélioration de la productivité agricole par le renforcement de capacités des systèmes de recherche et vulgarisation agricole	12/07 - 03/10	1.0 (0.44)	Improvement of research and extension systems and inter country cooperation for technology adoption	IV	Mali , Mauritania & Senegal
IFAD/FAO Rural knowledge network	04/07 - 03/10	1.4 (0.34)	Application of knowledge to development of rural markets	IV	Kenya, Tanzania & Uganda
Food Security through Commercialization of Agriculture	04/08 - 03/11	1.5 (0.78)	Agricultural productivity, marketed output & incomes of Farmer-based Organizations.	II, III	Liberia
Diversification, intensification et valorisation des produits agricoles dans Oio et Bafata	04/08 - 06/11	1.5 (0.60)	Participatory support through producer organisations to diversify and intensify crop and animal production.	II, III, IV	Guinée Bissau
Food security & modernization of agriculture under NEPAD	05/06 - 06/13	3.0 (0.42)	Improve food security and reduce rural poverty	III	Burundi , Rwanda, & Uganda
Intensification de l'agriculture	09/08 - 06/11	7.0 (2.55)	Food security. Support to extension & farmer organisation	IV	Niger
Relance de la recherche agricole et Forestiere	12/06 - 11/09	10.0 (3.43)	Rehabilitation of agricultural and forestry research system	IV	DRC
Increased equitable economic growth and development	01/09 - 01/14	19.5 (4.00)	Smallholder production , marketing for food security and rural livelihoods	III, IV	Swaziland
Sudan Productive Capacity Recovery Programme	06/07 - 05/11	24.1 (6.00)	Consolidated peace with sustainable and equitable development.	III, IV	Sudan
Support for reorganisation of agricultural research system of Min. Agriculture	07/09 - 07/12	32.6 (11.00)	MINAGRI restructuring, reorganize agricultural research.	IV	Angola



171. The USA is assessed as the largest single contributor to FAO's providing 22% of the regular budget, with Japan second at 17%. However, European countries as a group contribute 39%. Over 50% of FAO's total budget comes from Extra Budgetary, ie discretionary contributions. Here it appears that the EC is the large single contributor, especially through the €1 billion Food Facility, which is channelling US\$315M through FAO. In 2009, 64% of EC support to FAO went to Africa: US\$78M out of US\$123 M. However, the following summary of the Food Facility's activities may indicate that relatively little of that has gone to ARD:

- expanding certified seed production
- ensuring access to quality inputs and appropriate extension
- strengthening existing farmer-based organizations
- improving storage infrastructure
- facilitating linkages to markets
- establishing and strengthening community-managed irrigation schemes
- increasing livestock production
- promoting conservation agriculture

3.2.6. Other Multilaterals

172. The AidData database includes records for three other multilateral donors: the Arab Fund for Economic and Social Development; the Islamic Development Bank and OPEC. Taken as a group, they have a portfolio of 22 agriculture sector programmes (US\$712 M: US\$142M pa) and 18 programmes in other sectors with an agricultural element (US\$1.1 B: US\$ 217M pa).

173. The portfolio includes two small programmes focussed solely on research: some US\$ 400,000 each in Djibouti (capacity building for an analytical laboratory working on oil palm) and Sudan (IsDB) for an oilseeds programme. One larger livestock development programme in Mali has an extension component.

3.3. Bilateral Donors

3.3.1. AusAID

174. AusAID expects to spend AU\$ 201 million (US\$ 183M) on aid to Africa in 2010/11. A substantial proportion of this is under its four year, AU\$ 100 million, Australia-Africa Food Security Initiative (AAFSI) which is explicitly aligned with CAADP. This has three components: lifting agricultural productivity; improving rural livelihoods; and building community resilience. The first of these is focussed on agricultural research, with an emphasis on CGIAR for which Australian funding is to be doubled.

175. The AusAID website indicates that AAFSI will start with an initial engagement with CAADP Pillar 4. *“Together, AusAID, the Australian Centre for International Agricultural Research (ACIAR) and Australia's Commonwealth Scientific and Research Organisation (CSIRO) will work with African institutions for improved agricultural research and productivity in Southern, East, Central and West Africa.”* ACIAR is leading on a maize-legume programme with ASARECA and CIMMYT: to increase productivity and reduce downside risk by 30 per cent each within a decade, for at least 500,000 farmers in Ethiopia, Kenya, Malawi, Mozambique and Tanzania. CSIRO will establish a partnership in West and Central Africa to foster integrated agricultural research for development. In East and Central Africa it will support capacity building and research to improve animal health and the nutritional quality of food. AusAID emphasises research that is relevant for smallholder farmers, and building capacity in African institutions. It states that it will work closely with FARA.

176. Details are not given of how AAFSI resources will be split between its three components but the fact that it is starting with ARD implies that at least 25% will be to support CAADP4: some AU\$ 6.25 million a year (US\$ 5.6 million).

177. The ACIAR website indicates that it is currently supporting two projects in Africa. The largest is SIMLESA - sustainable intensification of maize-legume cropping systems for food security in eastern and southern Africa. It has a budget of AU\$19.5 million and runs from 2010 to 2013. Partner



countries are “Ethiopia, Kenya, Malawi, Mozambique, Tanzania and Australia, with input from South Africa. CIMMYT, as commissioned organisation, will manage the project in collaboration with the Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA), partner country research entities, other CGIAR centres and Australian partners.” Based on the ‘CGIAR Ongoing Research’ website information, SIMLESA is part of Australian (restricted) funding contribution to the CGIAR.

178. ACIAR’s other project is much smaller, AU\$ 550,554 from 2006 to 2011, it supports Pasture Development for Community Livestock Production in East Cape Province, South Africa. As far as can be discovered, these two ACIAR projects are Australia’s only current contributions to ARD in Africa. SIMLESA alone will use up the suggested AU\$ 6.25 M pa and may constitute Australia’s sole contribution to the sector. (CSIRO appears to act just as a high-level research resource, not implementing separate projects for Africa.)

179. FARA InfoSheet returns to the Study (see Table 1) gives AusAID as the donor to the Regional Policies and Markets Project (RPM) with funding US\$ 0.52M pa. AusAID is also a donor to the AECF-RIB but this does not conduct research (see 3.5.3) and is not mapped in Main Report, Table 3.

180. AusAID has three programmes supporting Australian and African NGOs. These have food security components which may include elements of extension and farmer services, on the boundary between development and ARD, or even some research work. However, it does not seem that these are at all large.

181. A review of AusAID’s earlier Africa programme indicates that AASFI represents an increase on earlier levels of support to ARD.⁵⁰ Since the 1980s, ACIAR has implemented 14 projects in South Africa and 20 in Kenya, mostly small and focussed on highly technical issues. A handful of researchers from these two countries have also been on fellowships.

3.3.2. CIDA

182. CIDA has a major portfolio of support to African agriculture. It is also a major contributor to FARA (CA\$ 22.4 million, 2009 to 2014).

183. The CIDA website database shows 111 African operational projects with agricultural components.⁵¹ These range from very large budget/sector support programmes entirely focussed on agriculture, e.g. CA\$ 110 million to Ghana, to grants to Canadian NGOs working across many developing countries, not just Africa, where as little as 3% of the total funding is for agriculture. The total value of this portfolio is C\$ 1.23 billion (US\$ 1.2 billion). Of this, 51% is allocated to agriculture and 6.2% to agricultural research (DAC code 031182). On an annual basis⁵², some CA\$ 113 million (US\$ 109 million) is allocated to agriculture and CA\$ 10 million (US\$ 10 million) to research, excluding contributions to core CGIAR programmes.

184. CIDA’s support to SSA ARD is detailed in Appendix 11 and non-CGIAR support mapped into Main Report, Table 3. The appendix shows the portfolio of 13 CIDA projects⁵³ with an agricultural research component (Code 031182). CIDA has seven focus countries in Africa: Ethiopia, Ghana, Mali, Mozambique, Senegal, Sudan and Tanzania. However, only three African countries have projects in which research is supported directly:

- Ethiopia – 4 Projects, CA\$ 7 million a year for agriculture, of which CA\$ 2 million research
- Ghana – 2 Projects, CA\$ 24 million a year, CA\$ 2 million research
- Mozambique – 1 Project, CA\$ 3 million a year, CA\$ 300,000 research

185. The Mozambique and Ghana projects are sector budget support to Government. They include a full package of agricultural policy, extension, training, input supply, cooperative and other components, as well as research. One large Ethiopian project is implemented through the World Bank and the other through ILRI. They include the same broad package of agricultural development components. Only one project, a relatively small one managed by IFPRI, is focussed only on policy

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⁵⁰ AusAID - Annual program performance report for Africa 2007–08

⁵¹ Using the DAC sector classification, i.e. not including fisheries and forestry.

⁵² Calculated by dividing total project value by years of operation.

⁵³ Some projects are made up to two or more separate items in the CIDA list.



(031110) and research. Even here nearly half (45%) goes to policy. The result is that the research is allocated only 10% of the budget in Ghana and Mozambique and just under 30% in Ethiopia.

186. Three quarters of the total C\$270 million allocated to these research-content programmes goes to the three country programmes. The remainder (C\$ 72 million) goes to seven multi-country programmes. Three of these are implemented by CGIAR institutes, one by FARA (although it is classified as being managed by the World Bank), one by ASARECA and one by a Canadian university. The last is a challenge fund managed by the International Development Research Centre: the Canadian International Food Security Research Fund. On average, just over half the funds allocated to these multi-country programmes is allocated to research. Agricultural policy is the other major focus.

187. CIDA's support to agriculture comes under its Food Security priority theme, for which the framework is set by a Food Security Strategy. CIDA also has a Pan African Programme. A number of the multi-country programmes in the agriculture portfolio fall under this, including two with research components: support to FARA and to the Pan African Bean Research Alliance (joint funded with SDC).

188. The CIDA website presents an Aid Effectiveness Agenda and there is a commitment to work with partners, in particular NEPAD and the AU in both the Food Security Strategy and the Pan Africa Programme. However, CAADP is not mentioned either on the website or in the Strategy. It is referred to in just four of the project documents on the database. This is surprising given the level of support to FARA. Given the scale of CIDA's support to agriculture, it indicates that there is a long way to go before full alignment with CAADP is reached.

189. Ethiopia, which has a CAADP compact and a large CIDA programme with a relatively large research element, would make an interesting case study.

3.3.3. USAID

190. USAID has been a major supporter of CAADP, principally through its Presidential Initiative to End Hunger in Africa (IEHA), its principal programme in African agriculture.⁵⁴ The most recent available material on IEHA is from the 2007 Annual Report.⁵⁵ The budget for 2007 was US\$192 million, of which US\$72 million was for development assistance. (The remainder was under PL480 and a Famine Fund.)

191. As with other donors who express support for CAADP, USAID's objectives under IEHA do not map easily onto the four pillars. Three intermediate results are set out:

- Enhanced productivity of smallholder-based agriculture;
- An improved policy environment for smallholder-based agriculture; and
- Increased agricultural trade.

IEHA has six focus countries – Ghana, Kenya, Mali, Mozambique, Uganda, Zambia, two food security countries – Malawi, Niger. The former are seen as being “on the cusp of becoming transforming countries”, i.e. beginning to reduce their dependence on agriculture. South Africa and Nigeria are named as ‘Science and Technology’ countries, i.e. as foci for work on bio technology. Apart from the country programmes, IEHA also supports three sub-regional programmes and work supported from Washington.

192. The programme is split between Agriculture Sector Productivity and Enabling Environment Investments. Under the first heading, some 28% of the country programmes go to Research and Technology Dissemination and 58% of central programmes. Unfortunately, the budget split between the two categories and between country and central programmes is not recorded. On heroic assumptions, that PL 480 and Famine Fund Money is not spent on ARD and that the majority of the development assistance funding is spent in-country, it can be estimated that USAID contributes

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⁵⁴ Other programmes are the Sustainable Tree Crops Initiative through IITA, Cameroon and the Regional Strategic Analysis and Knowledge Support System, through IFPRI.

⁵⁵ Possibly indicating that the new US administration has moved on, although the website still leads with IEHA.



between US\$20 million and US\$25 million a year to Research and Technology Dissemination in African agriculture.⁵⁶

193. To this must be added support to ARD through a number of other channels. Biotechnology is supported through CGIAR, the Programme for Biosafety Systems (IFPRI), the Agricultural Biotechnology Support Program (a consortium of public and private sector institutions managed by Cornell University), African Agricultural Technology Foundation and the Donald Danforth Plant Science Center. USAID also supports links between US universities and NARS through eight Collaborative Research Support Programmes.

194. USAID commissions a substantial proportion of its work as contracted projects. There is no list available which is easy to analyse. AidData.Org lists 528 US agriculture sector projects started since 2005 in Africa. Unfortunately, the records show neither the funding involved nor the activity codes to allow a breakdown of what support this implies for ARD.

195. The USAID funded projects detected by the Study are listed in Appendix 11's listings. USAID supports ASARECA and CORAF nominally through the MDTFs although the USAID funding is accounted separately. This explains the many ASARECA managed projects listed (these are projects commissioned by ASARECA using USAID [Trust Fund] funding) and probably the sole USAID funded food security project implemented by CORAF. USAID funds a policy training programme with NEPAD and is reported as a joint funder on the PABRA project and to the AATF. No USAID specific funding details are available for these projects.

3.3.4. China

196. China's Department of Aid to Foreign Countries is part of the Ministry of Commerce. The statistics page of the department's website is blank. Some outside research gives a picture of the aid programme, although it is not up to date.⁵⁷ It suggests that the bulk of China's aid is more correctly classified as investment on concessionary terms, designed to give China access to African resources and win work for Chinese construction firms and other contractors. By far the largest proportion goes to Africa, some \$18 billion in 2007. However, it is unlikely that more than a small part of this contributes to ARD. That said, the Department of Aid website names CGIAR as China's 'largest agricultural development partner' with, according to CGIAR financial statements a 2008 total contribution of US\$ 3.1M (US\$ 2.4M as restricted funding): so there is some engagement with the sector.

3.3.5. India

197. India's Technical and Economic Cooperation programme (ITEC) does not provide major bilateral funding. Instead it focuses on playing to India's strengths by providing "skills of manpower and technology more appropriate to the geographical and ecological conditions and the stage of technological development of several developing countries." Training is a major element, together with the supply of Indian expertise. The annual budget is small: Rs. 500 million equivalent to US\$11 million. Despite India's well developed agricultural research network, there is no specific mention of support to the ARD sector.

198. ITEC apart, India's aid appears to mirror China. Apart from contributions to multilateral organisations, the majority is concessional finance linked to investment in developing countries.

199. AidData.Org does show data on Indian development projects in Africa. Five projects are listed. Values are not shown but none includes a specific research or extension element. Instead the emphasis is on crop production and the supply of Indian manufactured farm equipment.

3.4. Foundations

3.4.1. BMGF

200. The Bill and Melinda Gates Foundation's support for 'agricultural development' is the largest (in funding) initiative under the 'Global Development Programme'. Measured on grants paid in 2009,

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⁵⁶ I.e. Between 30% and 35% of \$72 million.

⁵⁷ See China's Foreign Aid Activities, US Congressional Research Service, Feb 2009



BMGF gives priority to health (US\$1.8 billion) followed by agricultural development (US\$316 million).⁵⁸ CAADP is mentioned in BMGF literature, but not its four pillars. There is a strong focus on technically led improvements in yield etc. *“One recent study shows that doubling the scant current spending on agricultural research for Sub Saharan Africa and South Asia alone over the next five years would enable 282 million people to overcome poverty by 2020.”*⁵⁹

201. The Agriculture Development initiative focuses on four investment areas: Farmer Productivity; Market Access; Science and Technology; and Policy and Statistics. These do not map easily to the CAADP pillars. Farmer productivity includes elements of Pillar 4 and as well as Pillar 1, Market Access maps to Pillar 2, while Pillar 3 seems to be cross-cut if it is anything.⁶⁰ However, the Science and Technology area fairly clearly maps to Pillar 4: supporting *“efforts that work with small farmers to develop and distribute more productive crop varieties [and] varieties that have enhanced nutritional value. Our partners employ a range of techniques – from conventional breeding to biotechnology”*

202. The BMGF website lists all grants made by Programme (e.g. Global Development) and Topic (Agricultural Development). However, it is difficult to extract and summarise the data due to the lists structure and search options⁶¹ and, within the time available to the Study, it is not possible to do this adequately given that BMGF is one of the biggest donors to SSA ARD. It is clear that the majority of the agricultural development funding goes to Africa (US\$ 1.32B or US\$ 263M pa in 177 grants in total since 2005, versus just 17 grants for Asia)⁶². How the funding breaks down between BMGF’s four agricultural areas is not stated, beyond a list of the five largest grants in each sector on explanatory webpages. In the full listing, there are no African grants in agriculture classified as ‘research and development’; all are classified as ‘agricultural development’.

203. If all African agricultural grants are in proportion to the total amongst the five largest grants, the greatest share goes to Farmer Productivity (42%), followed by Market Access (27%) and Science & Technology (23%).⁶³ Of these by far the biggest single amount goes to the Alliance for the Green Revolution in Africa (AGRA) - US\$M 330 since 2006, i.e. US\$ 65M pa.. Two AGRA grants highlight the difficulty separating Pillar 1 from Pillar 4 within BMGF support. The Soil Health Program is to renew depleted soils through improved soil management practices and the program for Africa’s Seed Systems is to develop as well as distribute ‘locally adapted seeds’. These are classified under Farmer Productivity but some form of research content would seem essential for either of them. Judging from the five largest programmes in Science & Technology, the BMGF sees this as being the same as plant breeding: conventional, marker-assisted or GM.

204. With the exception of AGRA and AATF, the majority of BMGF funding is channelled through CGIAR or DC institutions, universities or NGOs.⁶⁴ Of the largest 20 agricultural development grants since 2005, half (US\$ 64 M) of the funds have been to AGRA and half (US\$ 55M) to the CGIAR centres (CIMMYT, CIP, CIAT, ICRAF, ICRISAT, IFPRI and IRRI). Most CGIAR centres hold other grants as well. There are no national level institutions or NAROs holding one of the 52 largest grants (of 177 grants in total).

205. Given the scale of its funding and its focus, BMGF is an important contributor to ARD in Africa. To illustrate how important BMGF support is mapped in Main Report, Table 3, based on the best estimates derived as described in Box 3. These estimates for 2009 which are conservative, place the BMGF, at US\$M 45, in the top five donors to SSA ARD after the World Bank (US\$M 94) and equivalent to the USA (USAID - \$M 49 pa) and UK (DFID - \$M 52 pa).

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⁵⁸ BMGF Annual Report 2009

⁵⁹ Perhaps not surprisingly the Study quoted was by CGIAR/IFPRI.

⁶⁰ It can be argued that this is true of P3 anyway.

⁶¹ The list of grants is classified by Program, Year, Region and Topic: for agriculture the relevant programme is Global development and topic options are ‘Agricultural Development’ and ‘Research and Development’.

⁶² Count from BMGF Grants Listing on Website

⁶³ BMGF Agricultural Development - Strategy Overview

⁶⁴ Eg. Imperial College doing school feeding !!!!!



Box 3 Apportioning BMGF donor support to SSA ARD – 2009 case study

Since 2005, average annual BMGF grant totals for Africa + Agricultural Development are US\$ 265M pa. If 25% is assumed to go to ARD (see 23% to Science and Technology as para. 203) this is an AFI of US\$ 65M pa. In 2009 BMGF's contribution to the CGIAR was \$M 29 leaving potentially \$M 35 pa to be accounted for by AGRA, AATF and others.

AATF's funding from BMGF is ca US\$ 7.5M pa (based on a 2008 grant of US\$ 27.75M for five years to develop drought tolerant maize). Based on grants of US\$ 329M since 2006, AGRA's AFI from BMGF is US\$ 12.66M pa giving (assuming 33% to research) US\$ 4.22M pa for ARD. With the BMGF contribution to GALVmed (US\$ 3.75M pa) this is US\$ 15M pa, leaving up to ca US\$ 20M pa to others (which cannot be verified without further analysis).

Thus, BMGF's donor support to SSA ARD in 2009 is conservatively estimated as ca US\$ 45M pa; US\$ 29M via the CGIAR and US\$ 16M via AGRA, AATF and GALVmed.

3.4.2. Ford Foundation

206. The Ford Foundation's main focus is on issues such as democracy and human rights. Agriculture might be expected to contribute to two of its nine social justice issues: Economic Fairness, which includes Livelihoods, and Sustainable Development. As far as can be established from the website database, it has no African projects in these sectors with a clear link to agricultural productivity and hence ARD.

3.4.2.1. Rockefeller Foundation

207. The Rockefeller Foundation is a significant contributor to AGRA and to the AATF, but it does not publish information on the size of its grants, nor do AGRA and AATF publish details of their receipts. It does not appear that it has any other programmes dealing with African agriculture.

3.4.2.2. Syngenta Foundation

208. The Syngenta Foundation for Sustainable Agriculture's (SFSA) mission is to create value for resource-poor small farmers in developing countries through innovation in sustainable agriculture and the activation of value chains. It works with partners in developing countries and emerging markets, in Africa in Western and Eastern African countries, and pays special attention to developing Public-Private Partnerships in agricultural research. The aim is to help small farmers become more professional growers and sustainably improve their food security. This is done by extending science-based know-how, facilitating access to quality inputs, and linking smallholders to markets. Agricultural extension projects are complemented by a portfolio of partnerships in advanced crop science.

209. SFSA strategy focuses on smallholders, productivity and markets through three closely-linked activity areas: Knowledge, Tools and Opportunities. Knowledge refers to projects that directly support farmers 'on the ground'. Major pillars are agricultural services and know-how transfer. Tools comprise initiatives in agricultural R&D and product development. The focus is on technology and relevant products, including crop varieties. Opportunities refer to policy, financial mechanisms, market development and thought leadership. Although CAADP is not referred to on the SFSA website its strategy as described their maps onto CAADP pillars 4 and 2.

210. SFSA funded projects, some joint-funded with SDC and some managed by the CGIAR (SFSA 2009 contribution of US\$ 1.07) and one by FARA (the SABIMA project), were reported as part of the Swiss portfolio (see para. 116) and have been mapped into Main Report, Table 3 on the basis of those reports, although for most no funding figures were available.



3.5. Other SSA-based organisations

211. The nascent organisation that have emerged in the wake of the African Union and NEPAD development initiatives for agriculture, primarily through CAADP, and that are relevant to donor, and other implementation, support to SSA ARD are reviewed in this sub-section.

3.5.1. AGRA

212. The Alliance for a Green Revolution in Africa (AGRA) is a partnership-based organization founded in 2006 to achieve a smallholder-based African Green Revolution that will enable Africa to be food self-sufficient and food secure. Its establishment responded to measures taken at the African Fertilizer Summit 2006 to help ensure smallholder farmers had access to the agricultural development services they needed to achieve food security and improved incomes. AGRA *“aligns its work with the CAADP and supports the political will it embodies”* by working closely with the African Union and the NEPAD Secretariat, and others who support CAADP’s goals.

213. AGRA was founded through a partnership between the RF and the BMGF. The BMGF has continued to provide substantial funding since then (equivalent to ca US\$ 12.66M pa) for a range of purposes. Currently AGRA also receives core funding from the DFID and other partners have collaborated with AGRA to launch special partnership initiatives, including the Africa Enterprise Challenge Fund (AECF), IFAD, DGIS, Coalition for African Rice Development CARD and JICA. AGRA is governed by a board which includes representatives of the African agricultural development partners and AGRA’s international stakeholders. AGRA is based in Nairobi but has offices in Nairobi, Kenya and Accra, Ghana.

214. AGRA’s funds an integrated program in seeds, soils, market access, policy and partnerships and innovative finance work to trigger comprehensive changes across the agricultural system through a competitive grant scheme. Brief descriptions and key information of “currently-funded” projects are listed on the website. There are about 105 in the listing, which includes those under the Fund for the Improvement and Adoption of African Crops and Soil Health Research, from which a sample suggests about half of the total number are ARD projects. However, funding levels are very variable and to a mixture of national and international providers, so 30 - 50% to ARD seems a reliable estimate. Whatever the funding levels it seems the AGRA funding footprint will be particularly influential with SSA ARD since it provides a wide range of grant sizes to a wide range of providers local, regional and international.

215. Other AGRA programmes are the development oriented: Agro-dealer Development, Education for African Crop Improvement, Seed Production for Africa and Markets. It is beyond the Study’s resources to calculate the ARD funding intensity of these projects but, given adequate resources, this is straightforward task.

216. In summary, AGRA is a major actor in SSA ARD for three main reasons. Firstly, because of its influential ‘funding footprint. Secondly, because it combines funding ARD with providing an enabling environment for its uptake and application. Thirdly, and distinctly, because of its linkages, including in governance, with donors and similar ARD/D actors (e.g. AECF and AECF-RIB), and NEPAD and CAADP, that contribute to AGRA’s high profile.

3.5.2. AATF

217. The African Agricultural Technology Foundation (AATF) is a not-for-profit organisation based in Nairobi, designed to facilitate and promote public/private partnerships for the access and delivery of appropriate proprietary agricultural technologies for use by resource-poor smallholder farmers in Sub-Saharan Africa. Its mission is *“To access and deliver affordable agricultural technologies for sustainable use by smallholders, and in particular resource-poor farmers, in Sub-Saharan Africa through innovative partnerships and effective technology/product stewardship along the entire food value chain”*. The AATF has three strategic thrusts:

- Negotiating access to proprietary technologies enhancing African agricultural productivity
- Managing partnerships to introduce innovative agricultural technologies to African farming systems
- Managing knowledge and information



218. The AATF website search facility gives two returns for the CAADP from AATF internal sources. One is a statement by a DFID Adviser in the AATF Inaugural Report (2004) supporting the establishment of the AATF noting that the AATF “*is consistent with the commitment of African leaders to generate growth through agriculture in order to benefit the poor – a strategy embraced by the Comprehensive Africa Agriculture Development Programme (CAADP), which we [DFID] are also pleased to support.*” DFID has funded AATF Phase 1 since 2004 (US\$ 1.78M pa) and will for Phase 2 (2011-2014). The second reference is in the AATF Strategy 2007-2014 which identifies CAADP as an example organisation to which the AATF will provide information on its products.

219. AATF’s donors are listed as B&MGF, DFID, HGBF, RF, USAID and HGBF although donor funding or AATF project-wise funding amounts were not found on the AATF website. Five AATF projects are listed; on striga control, the improvement of cowpea, banana and rice and development of drought resistant maize. The drought resistant maize project is part-funded by the BMGF (US\$ 7.5M pa). Project briefs list individual project partners which encompass the CGIAR, the agro-technology private sector, regional, sub-regional and national ARs.

220. The AATF governance is by a Board of Trustees and a Board Advisory Committee (BAC), comprised of representatives of various stakeholder organisations in Africa as well as technology providers and donors, who provide guidance both to the AATF staff and to the members of the Board’s Programme/ Product Development Committee. The FARA Executive Director, a NEPAD Adviser and a DFID NR Adviser are included on the BAC. Thus the AATF is relevant to CAADP and specifically Pillar 4, although not explicitly CAADP4 aligned.

3.5.3. AECF

221. The Africa Enterprise Challenge Fund (AECF) is a US\$50-100m private sector fund, backed by some of the biggest names in development finance and the Consultative Group to Assist the Poor, and hosted by the Alliance for a Green Revolution in Africa (AGRA). The purpose of the AECF is to make agri-business; rural finance and other rural market systems work better for the poor in selected African countries by encouraging private sector companies to compete for investment support for their new and innovative business ideas that will improve employment, livelihood opportunities and incomes, and so reduce poverty. The AECF provides grants, part repayable, against the recipients matching funding. The governance and oversight of the AECF is provided by a mixture of AGRA and AECF structures.

222. The AECF RIB Window, AECF-RIB⁶⁵, is a special (competitive) fund of the AECF that is open to business ideas based on agricultural research. The intention of RIB, is to facilitate access to, and use of, (research) work already done although no strategy statement was found. The AECF website does not have a search facility so the reference to CAADP was not checked. Although listed in the DFID SRSA portfolio⁶⁶, AECF does not fund primary agricultural research itself so despite the broad definition of ARD adopted for the Study the AECF-RIB is not included within this Study’s ARD-focussed mandate. However, it is part of the enabling environment for ARD product uptake. DFID R4D lists the other joint donors to AECF as AusAID, BMGF, DGIS-NL, IFAD and RF.

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⁶⁵ See AECF-RIB website: <http://www.aecfafrica.org/rib/>

⁶⁶ See DFID website: <http://www.dfid.gov.uk/Global-Issues/Research-and-evidence/DFID-Research-2009-10/>



4. Terms of Reference

See following pages for Study Terms of Reference issued by Triple Line Consulting - 21 June 2010



Terms of Reference

For "Analysis of donor support (including EIARD members) to CAADP (Comprehensive African Agricultural Development Programme) Pillar 4"

Final, 21 June 2010

1. BACKGROUND

FSTP

FSTP, the Food Security Thematic Programme, is a programme of the European Union that aims "to improve food security in favour of the poorest and the most vulnerable, and contribute to achieving the first MDG, through a set of actions which ensure overall coherence, complementarity and continuity of Community interventions, including in the area of transition from relief to development". The FSTP objective is to be pursued during the period 2007-2010 (with a budget allocation of Euro 925 million) through the following strategic priorities:

- (1) Supporting the delivery of international public goods contributing to food security: Research and technology;
- (2) Linking information and decision making to improve food security response strategies;
- (3) Exploiting the potential of continental and regional approaches to improve food security;
- (4) Addressing food security in exceptional situations of transition, and in fragile and failed states;
- (5) Promoting innovation to combat food insecurity: this component aims to foster innovative practices and approaches to food security and their South-South upscaling/dissemination; and
- (6) Fostering advocacy and advancement of the food security agenda, harmonisation and alignment with development partners and donors. This component aims to promote food security at international level and aid effectiveness, in line with the OECD Paris Declaration.

The EIARD FSTP project

EIARD, the European Initiative for Agricultural Research for Development, aims at coordinating European ARD (Agricultural Research for Development) policies. EIARD members are the Member States of the European Union, plus Norway, Switzerland and the EC. A more detailed introduction to EIARD, its governance and strategy is given in Annex 1.

The EU, through FSTP, is supporting EIARD with Euro 1.3 million over 3 years (referred to as the "EIARD FSTP project") with the overall purpose of achieving "Coherent, coordinated (at national, regional and global levels), relevant and effective European policies for and investments in agricultural research for development that support the food security agenda". The EIARD FSTP project will contribute to the External Relations Policy, the Development Policy and the Research Policy of the EU by enhancing the international agricultural research cooperation in Europe in favour of developing countries. The project will contribute to the implementation of the Food Security Thematic Programme (FSTP), with regard to the following strategic priority six (see above):

EIARD FSTP project

c/o BEAF - Advisory Service on Agricultural Research for Development, Division 45 - Agriculture, Fisheries and Food

Deutsche Gesellschaft fuer Technische Zusammenarbeit (GTZ) GmbH

P. O. Box 5180, 65726 Eschborn, Germany, <http://www.gtz.de/agricultural-research>

"Fostering advocacy and advancement of the food security agenda, harmonisation, coordination and alignment with development partners and donors, in particular European ones, in the field of agricultural research for development (ARD)¹".

The implementation of the EIARD FSTP project is supported by the EIARD PMT (Project Management Team).

The logframe of the EIARD FSTP project is included in Annex 2. Specific objectives of the project, in line with the EIARD strategy, are:

- (1) Improved donors' coordination, harmonisation and alignment on ARD, in particular at the European level (EU plus Norway and Switzerland).
- (2) Participation of the Civil Society in international policy dialogue on ARD.
- (3) Advocacy, awareness raising and education for a more effective contribution of ARD to food security [food, environment, policy, health, climate change] in developing countries.

The present assignment contributes to objective (1).

CAADP Pillar IV

CAADP, the Comprehensive African Agricultural Development Programme, is the Africa-owned and Africa-led initiative working to boost agricultural productivity in Africa (see www.caadp.net for details). It is a programme of the New Partnership for Africa's Development (NEPAD)² and consists of four pillars:

1. Land and water management
2. Market access
3. Food supply and hunger
4. Agricultural research for development

Pillar 4 aims to improve agricultural research and systems in order to disseminate appropriate new technologies. Progress so far involves the development and adoption of the Framework for African Agricultural Productivity (FAAP), prepared under the leadership of the Forum for Agricultural Research in Africa. It has allowed a broad group of development partners to start scaling up support to science and technology programmes at the regional and national levels. An operational guide for FAAP has been developed and it is envisaged that this guide will form the basis for ARD initiatives throughout Africa.

Pillar 4 and FAAP are supported by a range of European donors, as well as non-European public and corporate donors (such as the Bill and Melinda Gates Foundation, the African Development Bank, and non-European bilateral donors such as USAID and AusAid). This support is either in the form of direct support to agencies mandated with CAADP implementation (such as FARA and the sub-regional agricultural research organisations ASARECA and CORAF), or through indirect support to national or regional ARD initiatives following FAAP principles.

There is currently no up-to-date analysis of support to CAADP pillar 4 and the FAAP available, which identifies strengths and weaknesses of, and complementarities or conflicts between the support provided by the different donors involved.

1 Food Security Thematic Programme – Thematic strategy paper & Multiannual indicative programme 2007-2010. Pages 2, 20 and 27
http://ec.europa.eu/europeaid/where/worldwide/food-security/documents/fstp_strategypaper_en.pdf

2 As part of the process to integrate NEPAD into the African Union structures and processes, the NEPAD Secretariat was recently transformed into the NEPAD Planning and Coordinating Agency (NPCA).

2. OBJECTIVE OF THE ASSIGNMENT

This analysis will contribute to improving donor coordination, harmonisation and alignment on ARD, and therefore to the following two results of the EIARD FSTP project:

1. Relevant European policies towards the MDGs in general, and food security issues in particular, are strengthened.
2. Joint initiatives on ARD are developed by EIARD members and other (bilateral or multilateral) ARD donors.

Specifically the analysis will provide EIARD with the knowledge and processes required to better coordinate and harmonise support to CAADP pillar 4 both between EIARD members, and between EIARD members and other major donors. By mapping existing support (both in terms of policies and investments) to Pillar 4, areas where support is complementary, coordinated and adequate, as well as areas where support is inconsistent, conflicting, duplicating or insufficient will be identified. This will help EIARD members to re-prioritise support in the future in order to maximise synergies between donors.

3. DESCRIPTION OF THE ASSIGNMENT

This assignment will be largely in the form of a desk study, including the review of documents, email and phone correspondence, but also some face-to-face meetings with key informants and stakeholders in Europe. No overseas travel is envisaged.

The assignment will be carried out by (a) consultant(s) with relevant experience and a track record in working on ARD in Africa, who will ideally have linkages with key organisations in Europe support ARD.

The assignment will be carried out in two phases, with phase 2 subject to satisfactory completion of phase 1. Two separate contracts will therefore be issued to the consultants.

Phase 1 will involve the following:

- Define 'support to CAADP pillar 4' in thematic ('boundaries' between research and dissemination on the one hand, covered by pillar 4, and wider rural development on the other hand, which is also addressed by pillars 1-3), operational and financial terms (i.e. specific project / programme support, direct public budget support in the form of sector support to agriculture, indirect public budget support through debt cancellation and loan warranty, and other financial mechanisms) and thus define the scope of the study.
 - Based on an agreed definition, develop a typology / categorisation of 'support types', which incorporate thematic (e.g. plant breeding, scientist capacity development, dissemination of research findings, support to agricultural advisory services), and process / institutional characteristics (e.g. core support to regional organisations, country-level support, research partnerships, CGIAR in Africa).
 - Map existing and planned future support of EIARD members and other major aid donors (to include, among others, the World Bank, FAO, African Development Bank, major private sector / corporate foundations such as BMGF and Rockefeller, and other bilateral donors such as USAID, CIDA, the governments of China and India) to CAADP pillar 4 against the agreed 'support types' and geographical dimensions (by country, sub-region / region / continental level). This should include a quantitative element, i.e. approximate financial layout by 'support types'.
 - Include a (nearly / as far as possible) exhaustive mapping of continental (NEPAD, CGIAR, FARA) and sub-regional support (SROs), and a quick mapping of identified
-

support for all Sub-Saharan African countries. Consultants should then propose a minimum of four "in-depth" country cases studies for phase 2.

- If possible, make an assessment of the extent to which individual CAADP pillar 4 support investments at continental, regional and/or national level meet the requirements of aid effectiveness (as defined by the Paris Declaration and the Accra Agenda for Action – see http://www.oecd.org/document/18/0,3343,en_2649_3236398_35401554_1_1_1_1,00.html for details).
- Present the results in the form of a draft report, including figures, diagrammes and maps as appropriate.
- Circulate the report for feedback to EIARD members and other key stakeholders.
- Incorporate feedback and finalise report.

Phase 2 will involve the following:

- Undertake a tentative exhaustive mapping of support to CAADP Pillar IV in the selected country case studies. If possible, this would include an assessment of the approximate support to CAADP pillar IV vs support to other pillars of CAADP.
- Based on the continental / sub-regional mapping and the country case studies, analyse the emerging pattern to identify:
 - Areas where support appears to be adequately coordinated between donors, with some level of complementarity of actions, established and functioning (either formal or informal) coordination mechanisms, resulting in effectiveness and efficiency of support.
 - Areas where support appears to be poorly coordinated, with duplication of efforts or even conflicting agendas, resulting in low 'aid effectiveness'.
- For each of these two areas, document at least 3 examples in more detail with the aim of illustrating where efficiencies or inefficiencies originated from and how they can be avoided / overcome.
- Make targeted recommendations for appropriate systems and processes to improve donor coordination in relation to CAADP pillar IV.
- Circulate the draft phase 2 report for feedback to EIARD members and other key stakeholders.
- Incorporate feedback and finalise phase 2 report.

An EIARD PMT member will be assigned as contact person / focal point. The consultant(s) will report to this contact person, who will also be responsible for signing off on the completion of phase 1 and 2. Either key documentation or a contact person who will provide key information will be provided by each EIARD member country.

Consultants are expected to link with relevant networks, organisations or individuals working on related aspects, such as:

- the GDPRD, and initiatives they are involved in or aware of mapping support to ARD;
- GFAR and documents prepared in preparation for the GCARD conference, including the European and African regional consultations (see <http://www.egfar.org/egfarW/website/gcard/regional-consultations>);
- the ERA ARD project (see <http://www.era-ard.org/>, which has already carried out a number of studies on European ARD systems;
- the ongoing Bill and Melinda Gates Foundation-funded research project on "Africa and Europe: Partnerships in Food and Farming), which attempted to map European support to ARD in Africa (see <http://www3.imperial.ac.uk/africanagriculturaldevelopment>);
- the consultants carrying out other studies contracted by EIARD, with themes as shown in Annex 3 (consultants will be identified by September 2010).

4. SPECIFIC DELIVERABLES

The consultants will submit the following deliverables:

Phase 1:

- A report of a maximum of 30 pages, describing the typology used and the resulting distribution pattern of donor support to CAADP pillar IV at the continental, sub-regional and national level, and proposed country case studies for phase 2.
- The report should include detailed annexes with the data used, referencing the source information, and presenting the resulting distribution pattern in a graphical way (maps / diagrammes etc.)

Phase 2:

- ~ A report of a maximum of 20 pages, including the analysis of the emerging pattern (from phase 1), the country case studies, case studies illustrating examples of poor and good coordination, and the targeted recommendations for improving coordination.

5. SKILLS REQUIRED

The consultant(s) is /are required to have

- a good understanding of the CAADP process and of African ARD institutions;
- an understanding of the principles of donor harmonisation and aid effectiveness;
- basic knowledge of the main aid donors supporting the CAADP process;
- good analytical and writing skills, good presentation skills.

Consultants are requested to demonstrate value for money (for instance by implicating a research assistant to undertake the data compilation and the liaising with the EIARD focal points and searching the Internet and other secondary data sources).

6. LOCATION, DURATION AND BUDGET

The study will be carried out from the consultants' base, and the consultants involved are expected to liaise with the EIARD PMT member in charge of this assignment by email and telephone. The assignment will include the presentation of the report at a relevant forum in Europe.

The assignment is expected to start in August 2010 and end in April 2011. Phase 1 will take four months (i.e. August 2010 to November 2010). Phase 2 would also last four months, anticipated to start in December 2010 until April 2011.

The maximum budget available for this assignment is Euro 20,000 for each phase 1 and phase 2, so Euro 40,000 in total, including fees and all reimbursable expenses. Travel expenses will be reimbursed for 2nd class rail fare or economy class air fare, and for accommodation / DSA according to GTZ regulations for agreed travel, payable against proof of expenses. Only travel within Europe is envisaged.

This assignment will be contracted through GTZ, Germany. Both firms and individual consultants are eligible. Interested consultants should send an offer for phase one only, not exceeding 5 pages, which briefly outlines their capabilities, understanding of the assignment, planned approach, proposed budget in Euro (including fee rate times person days), and their CV(s), to Marc Witzel at GTZ (marc.witzel@gtz.de) as the contracting agency, copied to the EIARD Executive Secretary Philippe Petithuguenin (Philippe.PETITHUGUENIN@ec.europa.eu) and the EIARD FSTP project technical coordinator Barbara Adolph (Barbara@tripleline.com) by **11 July 2010**. If several consultants work together, the proposal should clearly indicate responsibilities of all consultants involved, including responsibility for delivery of the report. A proposal for phase 2 can be developed towards the end of phase 1.

Annex 1 EIARD

Origins and members

EIARD, the European Initiative for Agricultural Research for Development, was initiated in 1995 with the aim of coordinating European ARD (Agricultural Research for Development) policies. EIARD members are the Member States of the European Union, plus Norway, Switzerland and the EC - represented by Directorates General (DGs) for Research and Technological Development (RTD), Development (DEV), and Europe-Aid Office for Cooperation (AIDCO). Each member has a National EIARD Network, consisting of ARD policy makers from the relevant Ministries and government departments, and their advisers. Each National EIARD Network is coordinated by a National Contact Point.

Governance mechanisms

EIARD is implemented by a European Coordination Group (ECG) consisting of up to three representatives of each Member, appointed by their respective governments or the European Commission. The ECG is therefore accountable to both individual European Governments (through their representatives) and to the EU Council of Ministers and the European Parliament, through the Commission. The ECG elects an EIARD Chair from among its members, to serve for an agreed period of two to three years.

A smaller Working Group (WG) of about eight members ensures the continuing activities of EIARD, and operates as a "Steering Committee". It meets about four times a year, and is fully accountable to the ECG.

An EIARD Executive Secretary is provided by one of the members, and hosted by the European Commission (DG RTD) as a Seconded National Expert. The Executive Secretary is responsible for the day-to-day management of EIARD.

EIARD's Guiding Principles

EIARD's operation is guided by the following six principles:

- **Alignment:** European supports to ARD are aligned on DEEC (Development and Emerging Economy Countries) own ARD policies, strategies and priorities according to EU commitment on Aid Effectiveness.
- **Relevance:** To ensure relevance, ARD is demand-driven, fit the social, economic and cultural conditions in which the results will be used in DEEC, and is demonstrably useful to research users and partners.
- **Complementarity:** European supports to ARD seek to promote regional/sub-regional cooperation in ARD among DEEC where this is demonstrably cost-efficient and relevant. At Community and European level, ARD supports complement and add value to existing bilateral actions by European states.
- **Subsidiarity:** ARD activities are proportionate to the objectives to be achieved and planned and executed at the lowest possible levels at which they can be carried out effectively.
- **Partnerships:** European supports to ARD seek to promote partnerships, equity and balanced management responsibilities among partners in the South and in Europe. Such relationships take account of opportunities offered by Europe's research strengths and comparative advantages, as well as the normative policies that frame European development cooperation and related sectoral programmes. They aim to increase national and regional capacities to plan and execute - effectively and efficiently - ARD activities.
- **Participation:** Collaboration is necessary to make research relevant to and for end users. National partners and research users must be involved in the formulation of research priorities, plans, implementation processes and in assessment of the results and their usefulness. Therefore, an Innovation System Approach will be systematically encouraged. This principle does not preclude the mobilisation of European research to address specific, targeted problems.

EIARD's Strategic Plan for 2009-2013

Goal: we seek to reduce poverty (i.e. MDGs); to promote economic growth, food security, sustainable management of natural resources in developing & emerging economy countries; to contribute to global development issues and knowledge generation, through more effective European investments in ARD, and increased European ARD partnership with developing & emerging economy countries.

Purpose: Coherent and relevant European initiatives with developing & emerging countries in agricultural research activities and capacity development promoted and implemented in coordinated manner at global, regional, sub regional and national levels, while giving a stronger voice to those countries in the European and international decision making processes; and providing their access to European knowledge by opening up the European Research Area.

Outputs: Four outputs of EIARD activities have been identified in order for the above purpose to be achieved. These are:

1. Effective coordination of European ARD Policies
2. Effective coordination of European investments in CGIAR
3. Effective coordination of European investments in strengthening ARD organisations, especially at global level and in Africa.
4. Effective coordination between European investments in ARD and investments in rural development

At the same time as pursuing these four outputs, EIARD will support ways of ensuring DEEC have a stronger voice in the ARD arena and more generally building up of DEEC ARD capacity, in particular of institutions, and young & female individuals.

Annex 2 EIARD FSTP project logframe

Narrative	Activities	Objectively verifiable indicators	Risks and Assumptions
Overall objectives			
Food insecurity and poverty through pro-poor agricultural development reduced			
Project purposes			
<p><i>Implementation of the Food Security Thematic Programme (FSTP), with regard to the following strategic priority: Fostering advocacy and advancement of the food security agenda, harmonisation, coordination and alignment with development partners and donors, in particular European ones, in the field of agricultural research for development (ARD). Promoting food security at international level, as well as aid effectiveness in line with the OECD Paris Declaration.</i></p> <p>Coherent, coordinated (at national, regional and global levels), relevant and effective European policies for and investments in agricultural research for development that support the food security agenda</p>		<ul style="list-style-type: none"> • EIARD members agreed on common principles for ARD policies and investments, and apply these to their national ARD support instruments • Information about EIARD member ARD policies and institutions is readily available on EIARD communication systems 	
Results			
Component 1: Improved donors' coordination, harmonisation and alignment on ARD (Objective 1)	Five activities will be developed:		<i>Risks</i>
Expected results:	1. Mobilise European and Southern scientific and civil society members on specific development issues ³ and international initiatives ⁴ to provide informed elements, in particular scenarios and options, to European policy makers involved in ARD policy formulation.	1. Completion of 6 studies on themes defined by EIARD, that respond to EIARD information needs, and that synthesise relevant findings from existing or ongoing research and consultations	Agriculture, and then ARD, loose their political priority in the Rural Development agenda
<ul style="list-style-type: none"> • Relevant European policies toward the MDGs in general, and food security issues in particular are strengthened. • Joint initiatives on ARD are developed with other donors 	2. Develop relevant joint policies and strategies at European level on ARD issues, to address proficiently MDGs at global, regional, sub-regional levels, and national levels.	2. Six joint European policy briefs on ARD produced over 3 years; comparison (in number and quality) of	The political commitment of EIARD Members for donors' coordination, harmonisation and alignment, as stated in the Paris

³ E.g. ARD activities to be developed on the impacts of climate changes on food security in Africa, or activities to improving the delivery of research results to the poorest.

⁴ E.g. International Assessment of Agricultural Science and Technology for Development. <http://www.agassessment.org/>

⁵ Global Donors Platform for Rural Development <http://www.donorplatform.org/>

Narrative	Activities	Objectively verifiable indicators	Risks and Assumptions
	<p>3. Strengthen EIARD's voice in the CGIAR in order to support a reform toward a more effective system; consolidation of a European Monitoring System of the CGIAR co-funded projects.</p> <p>4. Foster the coordination, harmonisation and alignment of European ARD policies with those of other bilateral and multilateral donors.</p> <p>5. Integrate ARD policies into the broader enhancing framework of the Rural Development policies 5.</p>	<p>policies existing at 31.12.2008 with those in place at 31.12.2011</p> <p>3. Three position papers on CGIAR reform and activities; three joint European CGIAR monitoring missions; number of EIARD members funding CGIAR using the new funding system of the CGIAR.</p> <p>Document produced mapping donor priorities and instruments for ARD and summarising good practices in donor harmonisation; number of EU joint initiatives to support African and Southern ARD organisations</p> <p>Establishment with HARD and GPRD of a process and a method to mainstream European ARD policies into the European and international rural development policies.</p>	<p>Declaration on Aid Effectiveness, is not translated into actual initiative and actions.</p> <ul style="list-style-type: none"> • Too high transaction costs of the political coordination at EIARD level. <p><u>Assumptions</u></p> <ul style="list-style-type: none"> • Agricultural development and ARD remain political priorities for EIARD Members. • European financial support to ARD is maintained or increased from actual levels • EIARD is able to extend its coordination know-how for the European support to CGIAR to the support for other ARD partners, especially ARD Fora in Africa. • EIARD mobilises all the potential and effective partners which are already identified, in order to efficiently implement the different components of the FSTP EIARD.
<p>Component 2: Participation of the Civil Society in international policy dialogue (Objective 2)</p> <p><u>Expected results:</u></p> <ol style="list-style-type: none"> 1. Joint ARD priorities and actions between European and Southern ARD stakeholders are identified and translated into guiding documents. 2. Multi-stakeholders bi-regional platforms to facilitate policy dialogues and joint ARD initiatives between European and Southern ARD stakeholders are supported. 3. ARD stakeholder's participation to international dialogues on ARD policies is facilitated. 	<p><u>Three activities</u> will be developed:</p> <ol style="list-style-type: none"> 1. Facilitate partnership between all ARD stakeholders, in particular NGOs, farmers organisations and private sector, in order to implement European and developing countries' ARD policies by supporting bi-regional (Europe – developing & emerging countries) policy dialogues between European ARD stakeholders, in particular those of the civil society, and their Southern counterparts. 2. Support participation of ARD stakeholders' representatives, in particular NGOs, farmers organisations and private sector, in international meetings on ARD policy dialogues. 	<ol style="list-style-type: none"> 1. Number of and active multi-stakeholders bi-regional platforms: engagement with 1 platform with Africa (PAEPARD); initiation of 2 platforms with Asia and Latin-America. 2. Farmers organisations and civil society organisations attend regularly key international ARD events, and influence the decision making processes by providing recommendation papers. 	

Narrative	Activities	Objectively verifiable indicators	Risks and Assumptions
	<p>3. Complementarities and synergies will be ensured with instruments provided under the Framework Programme 7 (in particular INCO-NET, and ERA-NET) to support bi-regional dialogues.</p>		
<p>Component 3: Advocacy, awareness raising and education for a more effective contribution of ARD to food security (Objective 3)</p>	<p>Three activities will be developed:</p> <ol style="list-style-type: none"> 1. Organisation and participation of both donors from developed and developing countries in international events; production of communication activities. 2. Exchange and management of European ARD information in support of policy makers and ARD partnership: Terms of Reference for the implementation of a European ARD Information Strategy (IS) are developed; EIARD website is updated and maintained; e-consultation in the area of development are developed and implemented. 3. Specific training on ARD issues for decision makers of developing countries 	<ol style="list-style-type: none"> 1. Participation to 4 International events; communication materials (brochure, leaflet, presentation) are produced to highlight European ARD policies & contribution toward MDGs and food security. 2. A European ARD information system strategy and framework on European ARD initiatives and activities is developed. 3. The EIARD website is improved. 4. Number of trainings organised on ARD Three seminars over 3 years (one in each region Africa – Latin America & Asia). 	
<p>Expected results:</p> <ul style="list-style-type: none"> • International events are organised, communication materials (brochure, leaflet, presentation) are produced to highlight European ARD policies & contribution toward MDGs and food security. • The European ARD information system on European ARD initiatives and activities are further developed. EIARD website is updated and improved. European Information Strategy (IS), developed and implemented. • Awareness of decision makers in developing countries raised. 			



Annex 3: Studies and policy briefs to support the implementation of the EIARD strategy

Theme / topic	Comments on relevance and issues to consider
1/ Making ARD more pro-poor; improving accessibility of results to the poorest	<p>~ All EIARD members see impact of ARD on the poor as a major goal of ARD investments (to contribute to poverty reduction and food security of the poor). However, there is no agreement on the approaches to be used to develop pro-poor research agendas, to identify the poor and to maximise the impact of ARD for them, including issues such as targeting, participation in research agenda setting and research design, etc. This links also to topic 4 – impact assessment.</p> <p>~ The study and resulting policy brief should help develop a common vision within EIARD on linkages between research / ARD, innovation and rural poverty alleviation. It should carefully explore how different EIARD members view innovation (innovation systems, innovation brokers, private sector involvement in innovation, commodity chain perspective) and how this impacts on poverty reduction.</p>
2/ Capacity development for ARD (both HR and institutional development)	<p>~ Most or all EIARD members invest in capacity development for ARD, and perceive this investment to be key to ensure that ARD has long-term impact. Better coordination between EIARD members may lead to more effective capacity building investments and programmes.</p> <p>~ The mapping should look at who invests in what type of CD (formal training, organisation development, etc.), in what sub-sectors and for what target group. Also consider approaches to reduce brain drain / support re-integration of HR into their organisations of origin.</p> <p>~ EU has a key role because of long lasting bilateral cooperation and strong linkages, in particular with SSA.</p> <p>~ Crosscutting issues to consider include Gender and Youth aspect, as well as new demands for capacity development due to climate change.</p>
3/ Impact assessment policies and practices of EIARD members	<p>~ Impact assessment is at the core of recent reforms of ARD systems. Different EIARD members use different paradigms / approaches / methods for ARD impact assessment, and use the resulting evidence in different ways. Reviewing and comparing the practices of different EIARD members would help identify differences and communalities in approaches, and pave the way for more coordinated impact assessment.</p> <p>~ A key question for the policy brief would be to look at how results from impact assessment actually affect decisions (on programming, on investing in research etc.). This is a sensitive issue, but highly relevant for the effectiveness of ARD support.</p>
4/ Implications on ARD of the International Assessment of Agricultural Science and Technology for Development	<p>~ While not all EIARD members agree with all conclusions of the IAASTD, it is nevertheless an important exercise with interesting conclusions. A policy brief should explore the implications of the assessment for European ARD policies and investments.</p> <p>~ This would need to reposition IAASTD in the context of the GCARD process – therefore this might be the last policy brief to be developed under this assignment.</p>



5. Persons consulted

Name	Title/ Designation	Organisation
Yvonne Pinto	Acting Deputy Investigator	Africa and Europe: Partnerships in Food and Farming, Imperial College
Nienke Beintema	Programme Head	Agricultural Science and Technology Indicators (ASTI), IFPRI
David Radcliffe	Senior Policy Adviser	European Commission, Directorate General – Development, Brussels
Philippe Petithuguenin	Senior Advisor on Agricultural Research for Development, EIARD Executive Secretariat	European Commission, Directorate General - Research and Technology Development, Brussels
Marc Bernard	Knowledge Management, ISICAD Working Group	Federal Office for Agriculture and Food, Bonn, FDR
Barbara Adolph	Agricultural Development and Livelihoods Specialist	Triple Line Consulting Ltd



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7. Method

7.1. Phase 1

Table 6 OECD.Stat CRS on-line: Agricultural Research ODA funding to SSA, 2006-09

Flow		Official Development Assistance			
Recipient		(All)			
Region		South of Sahara			
Income Group		(All)			
Sector		ALL: (All)			
Policy Objective		(All)			
Type of Aid		(All)			
Rio Markers		(All)			
Channel		(All)			
Purposecode		31182: Agricultural research			
Amount		Disbursements gross (constant 2008 USD millions)			
Year		2006	2007	2008	2009
Donor					
(All)		113.310	341.782	65.715	4.584
(All)	DAC Countries, total	88.255	328.204	49.640	4.084
	DAC Countries, total				
	Australia
	Austria	..	0.011	0.048	2.051
	Belgium	7.390	5.830	3.983	..
	Canada	0.005	0.110	-0.004	..
	Denmark	3.309	2.141	3.263	1.807
	Finland	0.530	0.001	0.846	0.016
	France	68.597	309.399	32.749	..
	Germany	0.792	0.322	0.102	0.210
	Greece
	Ireland	..	2.063	0.026	..
	Italy	..	0.047	0.154	..
	Japan
	Korea
	Luxembourg
	Netherlands	1.569	1.462	0.750	..
	New Zealand
	Norway	2.722	1.829	1.480	..
	Portugal	0.083	0.106	0.111	..
	Spain	..	0.370	0.001	..
	Sweden	1.442	2.415	0.419	..
	Switzerland	1.816	2.047	0.830	..
	United Kingdom
	United States	..	0.051	4.881	..
	Multilateral, total	25.055	13.578	16.075	0.500
	Multilateral, total				
	AfDB
	AfDF	0.500
	AsDB
	AsDF
	EU Institutions	25.061	13.583	16.075	..
	GAVI
	GEF
	Global Fund
	IBRD
	IDA
	IDB
	IDB Sp.Fund
	IFAD
	Nordic Dev. Fund
	UNDP	-0.006	-0.005
	UNECE
	WFP



Table 7 OECD STAT CRS Purpose Codes: sector classification

Code	AGRICULTURE
31110	Agricultural policy and administrative management
31120	Agricultural development
31130	Agricultural land resources
31140	Agricultural water resources
31150	Agricultural inputs
31161	Food crop production
31162	Industrial crops/export crops
31163	Livestock
31164	Agrarian reform
31165	Agricultural alternative development
31166	Agricultural extension
31181	Agricultural education/training
31182	Agricultural research
31191	Agricultural services
31192	Plant and post-harvest protection and pest control
31193	Agricultural financial services
31194	Agricultural co-operatives
31195	Livestock/veterinary services

Figure 19 Relative CGIAR research project activity by SSA country





7.2. Phase 2

Box 4 Case study country selection variables

In order of priority, the following variables are proposed to select the case study countries:

1. **Compact status.** The use of a range of ‘compact status’ should provide information on the way in which development and management of the compact process determines levels of engagement and outcomes. The maturity of the CAADP compact process is predicted to affect the quality of the compact (e.g. earlier compacts may not have been as participatory, or later compact may have become mechanistic) and the potential for, and so quantity of information available on, donor and external implementer (e.g. FARA and the SROs) activity, and their coordination and complementarity. The current range in ‘compact status’ is from a compact signed in 2007 to ones which are in their initial stages (i.e. launching).
2. **Country ARD activity and capacity.** This activity and capacity is predicted to be an important determinant of a country’s ability to capitalise on the CAADP process and the opportunities it presents; these in turn will determine outcomes. In the absence of robust country-wise information on ARD activity two proxy indicators were used. First the level of CGIAR country by project activity (categorised as Low, Medium and High) derived from the CGIAR list of ongoing projects (<http://ongoing-research.cgiar.org/>). Second, the level of country by project activity reported by the CAADP4 respondents in the Phase 1 study. This information is limited, which means that only two categories are used (High and Low). Reassuringly, CAADP activity level matches the CGIAR information.
3. **CAADP Objectives.** The twin CAADP objectives of increased agricultural development expenditure (>10% of total) and growth rates (>6% pa) are used and current reported rates categorised as Low, Medium and High. These represent a country’s current agricultural development need and trajectory, and provide an important contrast for the interpretation of the case-studies.
4. **World Bank projects.** The implementation and management of two types of World Bank projects that contain significant ARD components and associated funding by the SROs or implementing countries provide evidence of uptake of, and outcomes from, the CAADP process. The regional productivity projects (EAAPP and WAAPP) are coordinated by ASARECA and CORAF and the SLMP projects by the respective countries. Since these projects involve loans as well as grant funds they are evidence of ‘country-ownership’ dimension of aid effectiveness.
5. **CAADP Pillar 4 projects.** As with the World Bank projects, inclusion of these (FARA level) projects (i.e. DONATA, RAILS, SCARD and UniBRAIN) in the sample framework will allow the case-studies to examine their potentially contrasting engagement with, and usefulness to the target countries. In practice the inclusion of an implementing country for these four projects (in Table 1) needs to be treated with caution as the data available on the FARA website and reporting to this Study is not as robust as wished.



8. Programme/ Project Information Sheet

To be included in the report PDF version.



9. Aid Effectiveness

9.1. Paris Declaration

223. The Paris Declaration (2005) commits over one hundred countries, and their organisations to making joint progress toward enhanced ‘Aid Effectiveness’ against a set of 12 monitorable actions with indicators through the Five Principles (Table 8). In 2008 the Accra Agenda for Action (AAA) “An Agenda to Accelerate Progress” was designed to build on the commitments in the Paris Declaration and force the pace of change on in four areas: predictability, country systems, conditionality and untying of aid.

Table 8 The Paris Declaration (PD) five principles

Ownership	Developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption.
Alignment	Donor countries align behind these objectives and use local systems.
Harmonisation	Donor countries coordinate, simplify procedures and share information to avoid duplication.
Results	Developing countries and donors shift focus to development results and results get measured.
Mutual Accountability	Donors and partners are accountable for development results.

Box 5 ADC’s Aid Effectiveness action plan indicators structuring against PD principles

Ownership

- Donors respect partner countries’ leading role and their national priorities
- Donors actively support the development and implementation of national strategies.

Alignment

- Donors base their overall support on the priorities of partners
- Donors use and strengthen country systems and frameworks where possible
- Donors use and build-up local capacities and use measures and standards developed mutually.

Harmonisation

- Donors endeavour to harmonise their procedures
- Donors implement their programmes at country level on basis of harmonised procedures.

Managing for Results

- Donors support partner countries’ performance assessment frameworks and avoid introducing additional indicators
- Donors use partner countries’ result-oriented monitoring and reporting frameworks for their own purposes
- Donors enhance cross-regional transfer of good practises.

Mutual Accountability

- Donors support common accountability processes
- Donors support multi-stakeholder processes, i.e. to provide transparent and comprehensive information flow to parliaments, round tables or civil society.

9.2. Joint Donor Principles in Agriculture and Rural Development

224. The Accra Agenda for Action (AAA), endorsed during the September 2008 Accra High Level Forum, re-focused the political debate on the need for country ownership, more and inclusive partnerships and achieving development results and openly account for them. The challenge from



Accra is to advance the aid effectiveness agenda at sectoral level to enhance development effectiveness and impact.

225. Members of the Global Donor Platform for Rural Development have developed a set of ‘Joint Donor Principles’ (listed below) for effective assistance in agriculture and rural development. It is important to recognise agricultural sector specificities when reviewing the application of Paris partnership commitments in the sector. Generally, agricultural activities are private sector led with a wide range of private actors (farmers, wage-labourers, agribusinesses, producer organisations, suppliers, traders etc.). There is great potential to define the role of the state, which is bound to policy, regulation, provision of public goods and addressing market failure.

226. The Joint Donor Principles highlight the need to include stakeholders in decision making, ensure coherent policies, recognise the importance of inter- and intra-ministerial coordination, support ‘internal alignment’ and focus on donors’ alignment with decentralised levels of government.



Table 9 Joint Donor Principle in Agriculture and Rural Development

1. Ownership: ‘Partner countries exercise effective leadership over their development policies, and strategies and co-ordinate development actions’

1. Support government leadership and ownership in ARD that are based on inclusive processes, promoting effective participation of key agricultural stakeholders. This includes remote rural farming communities and women farmers.
2. Support capacity development of key stakeholders and their institutions to participate more effectively in the design, delivery and monitoring of ARD-specific country strategies.

2. Alignment: ‘Donors base their overall support on partner countries’ national development strategies, institutions and procedures’

3. Focus on alignment with national ARD development strategies and country systems that are ‘good enough’, strongly considering decentralised government institutions.
4. Support the strengthening of internal coherence of policies (internal alignment), enhancing crosssectoral approaches to ARD.
5. Support consensus building on the role of government (civil society and private sector) in ARD.
6. Contribute to and sign up to existing country PRSP, thematic or sector working groups and national compacts (such as the Comprehensive Africa Agriculture Development Programme (CAADP) process); alternatively, elaborate national MoUs/CoCs/JPs between the national government and the donor group, reducing conditionality and increasingly improving the predictability of aid.

3. Harmonisation: ‘Donors’ actions are more harmonised, transparent and collectively effective’

7. Use and support national development strategies, Joint Assistance Strategies (JAS), agricultural sector policies and common funding mechanisms via sector-wide and programme-based approaches, to bring about harmonisation.
8. Advance complementarity and country-led division of labour in ARD, reducing fragmentation.
9. Recognise the need for intra- and inter-sectoral harmonisation in rural development.

4. Managing for results: ‘Managing resources and improving decision-making for results’

10. Support the tracking and reporting on measurable outcome and results indicators for ARD. These must be consistent with the national development strategy (such as the Poverty Reduction Strategy, and sectoral ARD strategies), should be set up at the start of any programme, and should use national M&E systems and be gender-specific.
11. Development indicators for ARD should highlight the role of smallholder agriculture contributing to equitable growth.

5. Mutual accountability: ‘Donors and partners are accountable for development results’

12. Join with partners to promote and to develop sector-level mutual accountability frameworks, which need to include roles for rural stakeholders (farmers, farmer organisations, CSOs and local governments).
13. Consider cross-cutting issues (particularly the roles of women in agriculture, and environmental or natural resource management issues) when drawing up mutual accountability.

GDPRD, 2009. Joint Donor Principles for Agriculture and Rural Development Programmes. Incentives for change. Secretariat of the Global Donor Platform for Rural Development, Federal Ministry for Economic Cooperation and Development (BMZ), Dahlmannstraße 4, 53113 Bonn, Germany. 5 pp.

http://www.donorplatform.org/component/option,com_docman/task,doc_view/gid,900/



10. CAADP Pillars: Summary

Pillar 1 – Land and water management

Aims to extend the area under sustainable land and water management (SLWM) throughout Sub-Saharan Africa.

Pillar 2 – Market access

Aims to increase market access through improved rural infrastructure and other trade-related interventions. Aims to translate agricultural growth to industrial and market growth.

Pillar 3 – Food supply and hunger

Aims to raising smallholder productivity and improving responses to food emergencies.

Pillar 4 – Agricultural research

Aims to improve agricultural research and systems to disseminate appropriate new technologies.

	Strategic priorities	Objectives of CAADP framework	Distinguishing features
Pillar 1	<ul style="list-style-type: none"> ▪ Scale-up and mainstream SLM and water strategies ▪ Improved soil fertility 	<ul style="list-style-type: none"> i) Sustainable land management ii) Agricultural water development iii) Land policy and administration iv) CAADP roundtable processes 	<ul style="list-style-type: none"> ▪ Implemented through TerrAfrica ▪ Much funding through Global Environment Facility (GEF) ▪ Pillar implemented under FSLWM (Framework for SLWM)
Pillar 2	<ul style="list-style-type: none"> ▪ Raise competitiveness (LA + Asia markets; biofuels; PPPs) ▪ Finance services ▪ ID value-chains ▪ Infrastructure ▪ Strengthen farmer orgs/trade associations 	<ul style="list-style-type: none"> i) improve infrastructure (connect farmer to market) v) trade policy and legal frameworks vi) build trade alliances 	<ul style="list-style-type: none"> ▪ Pillar implemented under FIMA (Framework for Improved Market Access)
Pillar 3	<ul style="list-style-type: none"> ▪ Target chronically food insecure ▪ Improve food crisis mgt 	<ul style="list-style-type: none"> i) Improve domestic production + marketing ii) facilitate regional trade in food staples iii) build household productivity and assets 	<ul style="list-style-type: none"> ▪ Pillar implemented under FAFS (Framework for African Food Security)
Pillar 4	<ul style="list-style-type: none"> ▪ Innovative systems approach to ag research (e.g. SSA Challenge Program – SSA CP) ▪ Building African Scientific and Institutional Capacities (BASIC) ▪ Disseminating New Agricultural Technologies in Africa (DONATA) [immediate uptake] ▪ Regional Agricultural Information and Learning Systems (RAILS) [bring global research to African scientists] 	<ul style="list-style-type: none"> i) build human and institutional capacity ii) empower farmers iii) strengthen agricultural support services 	<ul style="list-style-type: none"> ▪ Led by FARA ▪ Pillar implemented under FAAP (Frameowrk for African Agricultural Productivity)



11. Portfolio Listings

These listings are provided in a PDF file so they can be viewed independently of the Study report.

The listings are of all funding units (i.e. programmes and projects) either reported to or identified in the Study's mapping exercise in Tasks 3 and 4.

Programme/ Project Database Listing

(File name: EIARD CAADP4_PP Donor Listing_datestamp.pdf)

This listing is of all projects in the Study database sorted by Donor (green font) and, within Donor, by Coordinating Implementing Organisation (red font). Each entry is given in 'form view' to show the core information for a programme/project (i.e. funding information, ARD purpose and CAADP pillar linkages) and the (joint)Donors and Implementing Countries. The listing pages for a donor therefore provide information on that donor's portfolio.

There are duplicate entries in this listing because 25% of entries have multiple donors and an entry for each project occurs under each joint donor. However, multiple entries for minor joint donors (e.g. a university that contributes to only a few projects with its national ARD donor) have been suppressed in the listing to save space. These donors can be identified from the entry under the other joint-donor. The best examples for this are the many small university-based joint donors on projects in the DGDC, Belgium section.

The Reference Portfolio (pink font) is given for each entry. The reference portfolio is the portfolio in which the programme/ project was reported and is as a result of the triangulated data collection method of the study. This was used to help ensure a complete and accurate dataset. In many cases an entry for a donor's programme/ project was only identified through a record in a joint-donor's portfolio.

The Study aim was to rationalise programmes/ projects reported by more than one portfolio down to a single entry that was correct. Hopefully this would also provide the correct funding information disaggregated by donor. This was possible in many projects but not all. The latter remain in the listing and for many joint-donor projects the total funding is not known. In general the most accurate information is for entries in which the donor and reference portfolio are the same.

The easiest way to view the projects is to browse the file by Donor to get an overview of their portfolio. Donors are listed in alphabetic order and Coordinating Implementing Organisation alphabetically within donor.