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PROCEEDINGS OF THE
CRSP DIRECTORS AND PROGRAM
MANAGERS WORKSHOP
DECADE TWO PREPARATION

FINAL REPORT

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List of Acronyms and Abbreviations

| | |
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| ADOs | Agricultural Development Officers |
| AID/FM | Agency for International Development/ Office of Financial Management |
| BIFAD | Board for International Food and Agricultural Development |
| CDSS | Country Development Strategy Statement |
| CGIAR | Consultative Group on International Agricultural Research |
| CIAT | Centro Internacional de Agricultura Tropical |
| CIFRAI | Committee for International Fisheries Research and Assistance Institutions |
| CRSP | Collaborative Research Support Program |
| CIMMYT | Centro Internacional de Mejoramiento de Maiz y Trigo |
| EEP | External Evaluation Panel |
| IARC | International Agricultural Research Center |
| IFDC | International Fertilizer Development Center |
| IG | Inspector General |
| IITA | International Institute for Tropical Agriculture |
| JCARD | Joint Committee on Agricultural Research and Development |
| JRC | Joint Research Committee |
| LDCs | Lesser Developed Countries |
| ME | Management Entity |
| PI | Principal Investigator |

SPAAR Special Program for African Agricultural Research
S&T/AGR Bureau for Science & Technology/Office of Agriculture
TC Technical Committee
USAID US Agency for International Development
USDA US Department of Agriculture

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EXECUTIVE SUMMARY

The Office of Agriculture, Bureau for Science and Technology of the Agency for International Development sponsored a Collaborative Research Support Program (CRSP) Directors and Program Managers Workshop on July 13 and 14, 1987. The purpose of this Workshop was to provide a forum for discussion among AID staff and CRSP representatives from which important experiences could be shared and future guidance on the CRSP provided; to review several issues raised in the "Collaborative Research Support Program Review Study", prepared by Drs. Hogan, Robins and Rachie; and to focus attention on ways to maintain and improve CRSP effectiveness. Workshop participants discussed a variety of issues related to the CRSP, including:

- o Management and organizational considerations and comparisons;
- o CRSP-USAID relations and coordinating mechanisms;
- o Networking among CRSPs, between CRSPs, and other AID and US government projects;
- o Research verification and technology dissemination;
- o Financial management information systems;
- o Suggestions as to how AID's work can be done better; and
- o Mechanisms for dissemination of research results.

At the conclusion of the Workshop, several recommendations were developed and articulated by the Workshop participants. The most important recommendations are presented below.

- o Improve communications between CRSPs, USAID, International Agricultural Research Centers, and other AID- and US government-funded projects through vehicles such as CRSP newsletters.
- o Sponsor a workshop for the CRSPs, within 90 days, on financial reporting.
- o Develop policy statements that clarify the role and expectations of the CRSP.
- o Develop formally the concept of a "CRSP Council," comprised of Management Entities and other groups and individuals, that will meet regularly to discuss CRSP-related issues.

I. INTRODUCTION: THE PURPOSE AND OBJECTIVES OF THE CRSP DIRECTORS AND PROGRAM MANAGERS WORKSHOP

A. Purpose

The purposes of the CRSP Directors and Program Managers Workshop were three:

- o To provide a forum for discussion among AID staff and CRSP representatives from which important experiences could be shared and future guidance on the CRSP provided;
- o To review collaboratively several issues raised in the "Collaborative Research Support Program Review Study," prepared by Drs. Hogan, Robins and Rachie; and
- o To focus attention on ways to maintain and improve CRSP effectiveness.

Workshop participants focused on the impact of budgetary constraints on program effectiveness, and sought to find mechanisms for maintaining the integrity of the CRSP research effort within those constraints.

The Workshop was sponsored by the Agency for International Development, Bureau for Science and Technology, Office of Agriculture, and coordinated by Devres, Inc., an international development consulting firm. It was held on July 13 and 14, 1987, in Herndon, Virginia, and involved approximately 65 participants from USAID, BIFAD, CGIAR, JCARD, USDA, the private sector and the following CRSPs: Bean/Cowpea; Nutrition; Peanut; Pond Dynamics; Small Ruminants; Sorghum/Millet; Stock Assessment; and Tropical Soils.

B. Procedures

The Workshop was designed to provide an opportunity for an exchange of views among the participants, each of whom was invited for her/his particular involvement with and/or expertise on the CRSP (See Annex 1 for List of Participants). The development of a set of recommendations for the future of the CRSP was a central objective of the Workshop. The Workshop Agenda (See Annex 2) provided for three plenary and three small groups sessions to facilitate discussion on seven key topics. Four "breakout" work groups met simultaneously during the smaller sessions to discuss each topic. One group facilitator and one rapporteur were assigned to each group. Part II summarizes these small group and plenary discussions, highlighting the main points.

C. Scope

Seven one-page Background Papers were prepared especially for the Workshop, summarizing key topics of the Collaborative Research Support Program Review Study. These included:

- o Management and Organizational Considerations and Comparisons;
- o CRSP-USAID Relations and Coordinating Mechanisms;
- o CRSP-IARC Relations and Coordination;
- o Networking Among CRSPs, Between CRSPs and Other AID and US Government Projects;
- o Research Verification and Technology Dissemination;
- o Financial Management Information Systems and Cost Sharing Contributions;
- o Suggestions as to How AID's Work Can Be Done Better; and
- o Mechanisms for Dissemination of Research Results.

Workshop participants discussed these papers (with the exception of the Financial Management paper) in the four breakout group sessions, and the rapporteur for each group presented comments, conclusions, and recommendations during the closing plenary session.

By the end of the Workshop there was general satisfaction among Workshop participants with the frank discussion about the CRSPs as they move into their second decade. It became clear that a consensus among the participants with regard to certain issues would be difficult to achieve, particularly in the area of guidelines for financial reporting and budgeting. However, most agreed that greater communication between AID and the CRSPs, in the form of future Workshops on financial management systems, and ad hoc fora, would serve both parties well, and would go far in reducing tensions that inevitably arise.

II. PREPARING FOR CRSP'S SECOND DECADE: KEY ISSUES AND RECOMMENDATIONS

A. Introductory Statements

1. Dr. Nyle Brady, AID Science and Technology Bureau

Dr. Nyle Brady, AID's Senior Assistant Administrator of the Bureau for Science and Technology, presented the opening address to the Workshop. He stated that the Workshop was among the most important CRSP meetings since the commencement of the collaborative research support program, as it provided a forum for the expression of problems and opportunities for the CRSP. The CRSP is unique, Dr. Brady noted: of all the Title XII activities, it is the one in which universities really play a leading role. The CRSPs really are collaborative; universities have a strong voice and provide some funding as well. Finally, the findings from CRSP research--vaccines, new crop varieties, new fish culture, methods, etc.--are extremely valuable.

Several problems currently affect the CRSP and other foreign assistance programs. First, lesser developed countries (LDCs) have a tendency toward "aid fatigue"--despite billions of dollars given to Third World countries, some are worse off, and some others vote against US interests in the United Nations. Second, agricultural programs are the first ones to be cut from foreign aid budgets. US agricultural commodity organizations oppose foreign agricultural assistance, believing that it "works against US farmers." At the same time, funding for health care and nutrition is rising, thereby leading to higher populations. This, in turn, leads to an increased need for food production. Third, the amount of money the CRSPs receive is not automatically reflected in "concrete" accomplishments, because research results are apparent only after a long lead time. Fourth, AID itself, outside S&T/AGR, does not fully understand the CRSP. Fifth and finally, the Inspector General's (IG) review of the Small Ruminant CRSP criticized the S/R CRSP for not meeting the original targets created at the outset of the program.

Dr. Brady responded to the IG's review by noting that negativism toward the CRSP resulting in decreased funding may cause AID to lose the best scientists to other government agencies. The IG retorted that it was not trying to "browbeat" the CRSP but that problems exist that do need resolution--particularly with regard to CRSP relations with USAID Missions.

Dr. Brady concluded by stating that the purpose of the Workshop is to critically examine the CRSP and to create mechanisms that make it easier for outsiders to understand the program and then make use of CRSP research results.

2. Dr. Duane Acker, AID Directorate of Food and Agriculture

Dr. Duane Acker, AID's Director for Food and Agriculture, presented his views on forward funding and the focus of AID. Two years ago, all university agriculture programs lost 18 per cent of their funding, while IARCs (International Agricultural Research Centers) maintained full funding. For FY 87, AID pledged to be consistent between universities and IARCs. Due to lack of funds, AID was forced to reduce expenditures for US universities and IARCs by another 13 1/2 per cent. For FY 88, AID anticipates a straight-line budget for all the CRSPs, thus continuing pressure on an already strained budget. Despite these budget cuts, the CRSP program cannot be discontinued--too much depends on the results. Medium- and long-term agricultural problems require attention, but it is clear that less agricultural research will be done.

AID future funding must focus on increasing incomes of the poor majority and expanding the consumption and availability of food, while maintaining and enhancing the natural resource base. AID's task is enormous, as it seeks to manage the CRSPs, create sustainable programs and find funding at the same time.

3. Dr. Pat Barnes-McConnell, Bean/Cowpea CRSP

Dr. Pat Barnes-McConnell, Director of the Management Entity (ME) for the Bean/Cowpea CRSP, expressed hope that the Workshop would be a forum to discuss constraints and opportunities to the CRSP and to resolve some problems. The spirit of the CRSP was inspired by Hubert H. Humphrey--who felt that the partnership of universities and LDCs was a potentially powerful tool for sharing scientific expertise and research, insights and findings. Such collaborative efforts are fundamental for successful programs and for increased agricultural activity.

Networking among agricultural research entities is crucial to bringing national and international development programs together. To this end, the administrative capabilities of the CRSPs make agricultural research management work. Long-term research capability is the true strength of the CRSP, and this has unfortunately been curtailed by budget cuts, thus demoralizing the CRSPs. Dr. Barnes-McConnell concluded that the most important focus of the Workshop should be to improve CRSP/Mission relations and to resolve forward funding issues. (Dr. Barnes-McConnell has provided a full version of her presentation and comments in Annex 5.)

4. Mr. David Bathrick, AID Office of Agriculture

Mr. David Bathrick, Director of the Bureau for Science and Technology's Office of Agriculture, welcomed the large, diverse audience of both CRSP and AID participants. He noted that the Workshop Agenda tried to highlight themes of the Consultants' Report and that he expected the product of the Workshop to be a collaborative exercise which would produce a report providing recommendations, conclusions and an agenda for future CRSP activities.

B. Management and Organizational Considerations and Comparisons

1. Introduction

The Consultants' Report on CRSP management and organization noted that the standard organizational structure originally instituted by AID and BIFAD remains essentially intact. This structure includes four separate but interactive units: the Management Entity (ME), responsible for CRSP implementation; the Board of Directors, responsible for policies, plans and budgets; the Technical Committee (TC), responsible for scientific and programmatic issues; and the External Evaluation Panel (EEP), responsible for evaluation of plans, programs and prospects. Despite this structural stability, there is variation in the functional roles of these units among the CRSPs, and over the years adjustments or additional organizations were developed by specific CRSPs to address particular issues. The Workshop participants, with this background information in mind, surfaced and discussed a number of issues relevant to CRSP management and organization. The paragraphs that follow present highlights of this discussion.

2. Alternative approaches to reducing CRSP costs

Overall, the CRSP participants believed that the reductions in the budget for CRSP in general and the management entities in particular have gone about as far as they can go. The MEs remain functional, even with reduced budgets, but their workload has been increased by S&T requests for additional administrative reporting, by reductions in S&T staff and by the overall federal budget reduction process. Reduced funding means that research programs will be squeezed. Therefore, it was suggested that each CRSP make its own recommendations to AID and BIFAD as to how to eliminate costs while fulfilling functions in their own fashion. As a final point, it was observed that the ME is the prime contractor for a CRSP. Therefore, AID and BIFAD need to reinforce and support the ME when the "hard decisions" of funding and staff reductions are made in the absence of a consensus among participating institutions. AID and BIFAD need to recognize and be sensitive to the real costs associated with compliance with AID guidelines and policy.

3. Alternative management structures

The Workshop participants agreed that CRSP management structures are working. The decision-making process involves input at all levels and CRSPs have shown, in response to budget reductions, that they can "bite the bullet" by reducing or terminating projects, reducing the number of host country sites and/or implementing other changes.

The CRSPs, as pointed out in the Collaborative Research Support Program Review Study, do have some differences in management and organization; nevertheless they function, and they function well. These differences arose because the CRSPs started at different times without a uniform pattern of design and yet it appears that over the years these differences have narrowed.

Management requirements for each CRSP vary, depending on funding, research and objectives, and the nature of work. The flexibility inherent in the present CRSP guidelines permits adapting the management structure to the needs of CRSP and AID. It was recommended that AID not remove this flexibility from the guidelines: CRSPs could not function under more rigid guidelines. Diversity in CRSP management is a strength, not a weakness, and therefore uniformity should not be stressed.

A major contribution feeding into the management structures are the CRSP External Evaluation Panels (EEPs). The EEPs are designed to have some continuity as compared with an ad hoc evaluation panel or committee. One of the discussion groups discussed a possible lessening of the importance of the EEP reviews of the CRSP by S&T and BIFAD. This deemphasis has resulted in staff making evaluations without the benefit of site visits and the review process, although the CRSPs themselves have invested in EEP activity. The discussion group saw the EEP as vital to program evaluation and recommended that their use by S&T and BIFAD be reevaluated and reemphasized.

No consensus was reached on the role of the EEPs. One discussion group noted that, in general the EEPs can accomplish adequate reviews. However, they felt that it might be appropriate to use other peer review mechanisms at times. Another group, however, decided there was no need for a separate, additional entity for peer review.

The programmatic function of the Technical Committee (TC) is very important, but it remained unresolved as to whether the TC should be contracted or expanded. It was suggested by one discussion group that "Ecozonal Committees" might substitute for the TC. Another comment regarding the TCs pointed out the difficulty in getting them to take a global view. Where they are composed of Principal Investigators (PIs), the TCs tend to be "protective" of their own discipline/project.

In terms of budget reductions, one possible structural alternative would be to combine some TC and Board of Director functions. It was

cautioned, however, that this alternative could lead to problems and reduced management effectiveness.

No major changes were recommended in management structure. However, individual CRSPs should not be content with their present modus operandi. MEs should reexamine the role of the various components of the CRSP structure, learning from their own experiences and those of other CRSPs. In these difficult financial times, the MEs need to make tough decisions with regard to programs and personnel--at the same time AID must be even more supportive of the MEs.

Finally, one discussion group observed that it is important for the ME to develop the capability for strategic and global planning, which is often lacking. CRSPs must reach out to relevant international institutes or centers for input. The group agreed that global planning should be a high priority.

4. Alternative mechanisms for adhering to topics of developmental relevance

In assessing the requirement that CRSP research adhere to projects of "developmental relevance", one needs to review the original intent of Congress and refer to the original legislation in establishing the Title XII mandate--in view of the long-term goals and objectives--and evaluate developmental relevance in this context. It was suggested that a well-developed global plan with input from scientists from lesser-developed countries, USAID Missions and IARCs would be the most effective means for insuring developmental relevance.

5. Increased status for host country representatives within the CRSP organizational structure.

The Workshop participants all agreed on the need for increased participation of scientists from lesser-developed countries (LDCs) in the Technical Committee, despite difficulties in doing so effectively. In addition, participants expressed the need to involve host country personnel in leadership, EEP evaluations and technical research as much as possible. As host country collaborative research projects develop and trained personnel become available, increased responsibility should be turned over to the host country. This process should be evaluated on a case-by-case basis.

6. Other considerations

In addition to the central topics discussed above, the Workshop participants made the following observations and recommendations with regard to CRSP management and organization:

- o AID must strive to guarantee continuity of involvement with longer term funding horizons, as this is most vital to the future viability of the CRSPs. Collaborative research cannot be turned on and off "like a water faucet". Commitments are made to host countries, scientists, students, technicians, and laborers. Initially, CRSPs had five-year forward

funding; this time horizon was reduced to the present situation wherein CRSPs can only depend upon current year funding. This makes forward planning for research extremely difficult, and more importantly, this has led to a critical problem of being able to keep the best scientists in the program. CRSPs are losing the best scientists to other entities and as a result the CRSP as a whole will suffer;

- o AID should emphasize one basic element of the CRSP concept-- that there be a funding commitment long enough, two years or more into the future, that would allow for effective research planning;
- o CRSP needs to examine the problem of overburdened Principal Investigators (PI's) and disencumber them as much as possible from administrative details;
- o The success of CRSP depends in the final analysis on the relevance, the amount and the quality of collaborative research done and the contribution to CRSP goals;
- o Review of CRSP activities should address these questions: (1) Are we financing good science? (2) Is it developmentally relevant? and (3) Is it cost effective?;
- o The membership of Boards of Directors and Technical Committees should be limited to a workable size;
- o CRSP effectiveness depends on exploring "targets of opportunities";
- o Due to shortened planning horizons, CRSPs need to reexamine clear objectives spelled out in three years or five years at a given level and composition of activity, and at different levels of funding;
- o AID and BIFAD should streamline reporting requirements;
- o Expectations on the part of AID, CRSPs and host countries must be brought into line with reality;
- o AID, BIFAD and the CRSPs need to examine objectives, level and composition of the program. Programming must be realistic. Regardless of the type of decision, a collaborative mode should extend to all levels of decision making; and
- o The input of counterpart scientists in host countries is important and should be encouraged for CRSP programming as maturity levels increase. The expense is well-justified and this gesture is well-received by LDC counterparts.

C. CRSP-USAID Relations and Coordinating Mechanisms

1. Introduction

The Consultants' Report on CRSP-USAID relations pointed out principal problems that currently exist. First, mandates for USAIDs and CRSPs are often different, and sometimes conflicting. Second, Country Development Strategy Statements (CDSSs) and Action Plans, introduced after CRSPs were designed, have often sharpened differences in objectives. Third, a host country problem exists in that research results, through extension, are not reaching farmers promptly. Fourth, many USAIDs consider the CRSPs to be an excessive logistic burden on very thinly staffed Missions. Presented below are highlights of the Workshop participants' discussions on CRSP-USAID relations and coordinating mechanisms.

2. The path to mutually supportive objectives

The Workshop participants felt strongly that the problems in CRSP-USAID relations, as identified by the Consultants' Report, are significant and require increased attention on several levels. CRSP personnel must take the time to cultivate relationships with Mission personnel in those countries with CRSP sites so that mutual objectives may be better understood and pursued. The key to good relations is communications. Because USAID staff have heavy workloads, it is up to the CRSP personnel to make the extra effort to advise USAIDs on CRSP activities. Other opportunities to maintain communications should be explored such as Mission officers being briefed by MEs before assuming a new post, or CRSP scientists presenting seminars when visiting a Mission.

Another mechanism for pursuing mutually supportive objectives is provided by the CDSS. The CDSS is an important entry point for getting a CRSP research program established as part of the Mission program. The ME and CRSP personnel should take the initiative to make inputs into the CDSS.

3. Improvement of CRSP-USAID relations

CRSP operations and research direction are influenced by the attitudes and by the personalities of Mission Directors and Agricultural Development Officers (ADOs). Research objectives and performance have at times been modified and/or compromised to accommodate Mission needs. This is a cost of doing business in a country, because the Mission can limit CRSP performance by not approving travel. This can cause tensions. In addition, the CRSPs are often caught in the middle of a long-standing problem between S&T and Regional Bureaus. USAID's interaction with centrally-funded activities like CRSPs has a turbulent history.

Personnel changes, which occur frequently at Missions, are a source of communication breakdowns between USAIDs and CRSPs. Outgoing personnel often leave before replacements arrive and cannot adequately brief their successors. Once again, the CRSPs must go "more than half way" to preclude communications problems at these junctures.

One other area for improvement is that the CRSP may interact with two or more host country agencies having overlapping jurisdictions. This increases the chance of communications failure and subsequent conflict. CRSPs and USAIDs must work to communicate with all interested agencies and parties.

The CRSPs for their part, should publish a CRSP Newsletter as a communication service to AID. In addition, a "guidance statement" should be developed for traveling CRSP personnel, emphasizing protocol and contacts with Missions particularly with the ADO, and host country nationals.

For its part, AID top management needs to make a clear, strong statement (in the form of policy guidance) about the role and importance of CRSP objectives, and to establish the legitimacy of CRSP Programs as global programs.

4. Inclusion of global research in country-specific adaptive research and extension efforts

USAID Mission Directors expect positive contributions which have an effect not only in their country, but which also have regional and global impacts. CRSPs must have relevant research results to show and discuss, which can lead to improved understanding of regional agricultural issues and problems. The Missions could assist with regional activities by participating in regional conferences.

Strong linkages with National Research Leaders offer a way for CRSPs to gain credibility with Missions. That is, host country officials can be a positive influence in communicating with Missions.

5. Problems and solutions for logistical support at the Mission level

Missions' advice on how to deal with logistics is vital. CRSPs should have mutual understanding of logistical procedures.

6. Proper role of Mission and CRSP management in the management and financing of training

Training is an area in which Missions and CRSPs have common interests. CRSPs should seek to coordinate training efforts and should elicit logistical support, from the Missions. Another discussion group mentioned that CRSPs might offer to put on seminars for Mission and other staff to educate them on CRSP in general and on specific CRSP projects.

7. Funding and management of research projects important to Mission but beyond resources available to CRSP

Opportunities for Mission "buy-ins" are improving. This is positive, one group argued, because CRSPs have for need analyses of new technological contributions, and do not always have the staff resources required to perform such analyses. Another group noted that Mission "buy-ins" should not be used as a means of offsetting reduced CRSP funding. Yet a third group observed that Mission "buy-ins" offer a way to link CRSP objectives with Mission programs. Based on the above discussions, it appeared that no consensus among the working participants was reached on the issue of Mission "buy-ins".

8. Role of S&T/AGR in facilitating CRSP/Mission communications

S&T/AGR can help improve CRSP/Mission communications by putting out a brief report periodically of CRSP projects and results. In addition, S&T/AGR could circulate administrative procedures in regard to timing, organization, translation, networking, financing, of workshops.

9. Role of BIFAD in facilitating CRSP/Mission communications

It was suggested that BIFAD could also facilitate better relations by getting involved in disseminating procedural information to the Missions and in being a champion of the CRSP-through active campaigning for the Agriculture, Rural Development and Nutrition account.

D. CRSP-IARC Relations and Coordination

1. Introduction

The Consultants' Report on CRSP-IARC relations noted a wide range of patterns and arrangements between CRSPs and IARCs. Some CRSPs have very clear and strong institutional collaborative relationships, while other CRSPs are involved with IARCs on a personal basis (scientist-to-scientist). While the report claimed that all parties "agreed that collaboration was essential and should continue..." it was not clear how such collaboration should be fostered. The Workshop participants discussed this and other issues, the highlights of which are presented below.

2. Assessment of current degree of CRSP-IARC interaction

There was general agreement, based on personal experiences of Workshop participants, that relationships with the relevant IARCs were good, especially at the working level. As CRSPs have gained experience, relationships have improved. One major problem was noted, in the form of missed opportunities at the strategic planning level. The group saw too few opportunities for CRSPs to participate in CG and World Bank-sponsored planning activities, either on a global or regional basis (where relevant to a CRSP). CRSP leadership should take the initiative to collaborate with the appropriate international

institute or center in identifying research needs, constraints and opportunities on a global and regional basis, especially in Africa.

IARCs have been involved in some CRSPs from the program's inception. Some CRSPs, however, have no IARC's in their subject areas and thus have no interaction. Present funding levels limit opportunities for CRSP-IARC interaction.

Workshop participants believe that CRSP-IARC relations generally "work". Interaction should be encouraged and facilitated, but not "fixed". Collaboration can produce broader commodity coverage and scientific exchange, but it is not clear where the comparative advantage lies operationally for CRSPs or IARCs. One example noted was that IARCs would be better at developing germplasm banks, while CRSPs would have an advantage in long-term training.

The level of CRSP-IARC interaction varies within the CRSP. The Stock Assessment CRSP has had some contact with an international research ("IARC-like") organization. The Bean/Cowpea CRSP has active relationships with CIAT and IITA--these have been vital to the future of the CRSP. The Sorghum/Millet CRSP has had considerable joint work with ICRISAT, CIAT and CIMMYT. Working relationships with these IARCs have been excellent. Another excellent example of collaboration is the Peanut CRSP/ICRISAT interaction yielding workshops, newsletters, exchange of scientists, and membership on the CRSP Board of Directors.

3. Importance of linkages in an era of declining financial resources

There was considerable discussion about a CRSP having "a life of its own," in that it could pursue research opportunities and linkages outside of AIC. The group generally agreed that it would be desirable for CRSP to act as a consortium to seek and attract sources of support, including IARCs.

IARC representation on CRSP Boards of Directors and Technical Committees brings useful perspectives. Additionally, the group noted that IARC "outreach" activities can provide technology transfer functions not included in the CRSPs. In order to establish linkages and coordinate research in overlapping areas, and to prevent research redundancy, the group decided it would be advantageous to have CRSP researchers appointed to Technical Committees of IARCs, where mutually advantageous.

It was noted that as IARCs have budget constraints, they appear to be moving more toward specialization in germplasm, and that therefore, the potential for collaboration and complementarity has increased. Such collaborative efforts should be based on merit, individual mandates, and mutual interests and benefits.

The fourth group pointed out that special grants can establish links between CRSPs and IARCs, but that a funding mechanism is necessary to establish more permanent linkages. Such funding would encourage joint work. Further, the group felt it would be appropriate

for IARCs and CRSP Directors to discuss IARC-CRSP interactions at the Center's Week.

E. Networking Among CRSPs, Among CRSPs and Other AID and US Government Projects

1. Introduction

The Consultants' Report on CRSP networking discussed the potential for significant contributions to scientific achievement that is offered by collaborative linkages among CRSPs and between CRSPs and other centrally-funded projects. Such networking can take the form of information exchange, joint research endeavors, joint sponsorship of LDC participant training, shared participation in workshops and conferences, and coordinated research planning and agenda setting. At present, no systematic approach to networking opportunities exists although informal networking does occur. The Workshop participants discussed these and other issues; the following paragraphs summarize this discussion.

2. Joint research planning and agenda setting

There was little enthusiasm for formal joint planning. The group felt that informal coordination was already occurring. Individual CRSPs should seek out whatever international institution is appropriate--both CRSP and non-CRSP--to coordinate planning and the development of global plans.

Some participants felt that CRSPs working in the same countries or regions should network and discuss research activities. When working on closely-related problems, there may be opportunities to share resources, facilities and results. CRSPs should endeavor to know what other CRSPs are doing and take advantage of opportunities for scientific interaction.

It was also noted that CRSPs will collaborate and network when it is in their subject matter interest, e.g., the Tropical Soils CRSP and the Sorghum/Millet CRSP collaboration on acid soils. No mechanism is needed for networking; informal linkages are adequate. There is a strong rationale for sharing operational experiences, especially at the Management Entity level.

Finally, Workshop participants explored whether some CRSPs might work together more substantive research areas. The Bean/Cowpea CRSP, for example, saw the possibility for interaction with the Tropical Soils CRSP. The group felt the need for a technical basis of cooperation as opposed to an administrative one. There have been exploratory discussions in regard to a joint West Africa workshop involving the Sorghum/Millet CRSP, the Bean/Cowpea CRSP, the Peanut CRSP and Tropical Soils CRSPs, and possibly IFDC. Thus, there are opportunities for CRSP regional workshops when there are "research results" available.

3. Effect of joint research planning on field-level arrangements and activities

There was little discussion on the effect of joint research planning on field-level arrangements and activities. It was noted that some research can be at least partially shared between CRSPs. Good examples are research on breeding programs and agronomic practices.

4. Best S&T/AGR opportunities for cross-cutting, complimentary support

It was generally believed that few if any opportunities for "cross-cutting" complimentary support exist. One group suggested that AID and BIFAD create a fund for small grants for workshops, networking and other joint activities. AID/S&T should inform CRSPs about its other projects, which could lead to program linkages.

5. Mechanisms for exchange of information

There was considerable discussion on the ways in which CRSPs, AID and other US government agencies could share information. The idea of a "CRSP Secretariat" was raised, but no specific recommendation emerged. The "secretariat" could serve as a focal point for sharing information among CRSPs, developing newsletters and identifying opportunities for cross-CRSP collaboration and planning. It was also suggested that an S&T Newsletter for information on projects and field management might be useful.

Significant networking could result from CRSP newsletters, and/or technical reports. Further, CRSP scientists should continue to be encouraged to participate in international scientific meetings to present their findings and establish linkages with related research activities funded by other sources.

AID Project Managers are in a position to facilitate interchange among contractors. AID should develop a mechanism for exchanging databases, and for storing bases for future use. It was suggested that publishing data bases through the private sector relieves AID and the CRSPs of the expense of disseminating and storing data. It is easy to procrastinate in data processing when funds are limited. CRSPs should not cut corners here; it is false economy. In addition, AID/S&T could facilitate information exchange with projects such as tissue culture, and/or farming systems, that have some relationship to CRSP programs.

Another suggested mechanism for information sharing was the creation of administrative management fora, comparable to the IARC Center Directors' bi-annual meeting. Additionally, in-country CRSP programs should meet frequently to discuss their work and exchange information and ideas.

6. Current CRSP information meriting an exchange

The Bean/Cowpea CRSP has asked both the Tropical Soils CRSP and the Sorghum/Millet CRSP to put on a workshop for them on the soils

where beans and cowpeas are grown. As another example, the Peanut CRSP has \$20,000/yr for 3 years to promote cross/CRSP activities.

7. Other considerations

CRSPs have the expectation that BIFAD will influence priorities in budgets within AID on the CRSPs behalf. BIFAD needs to articulate the awareness that scientific potential of universities is being severely eroded by budget cuts.

There is a perception in AID/Washington that S&T/AGR has many technically sound projects when viewed individually, but these projects do not effectively complement each other for program impact in the field. This view is especially prevalent in the regional bureaus. This would suggest that S&T/AGR needs to educate AID more fully about its activities.

F. Research Verification and Technology Dissemination

1. Introduction

The Consultants' Report on CRSP research verification and technology information quoted the CRSP Guidelines in arguing that CRSPs should not undertake technology dissemination activities. Rather, the Congressional mandate authorizes the CRSPs to undertake "long-term collaborative university research". Furthermore, the report stated that CRSP research verification and extension is the obligation of host country programs, and cautioned CRSPs against broadening the scope of CRSP activities beyond collaborative research and dissemination of research results. The following paragraphs summarize the Workshop participants' discussion on this issue.

2. Valuable lessons learned in CRSP on-farm research

There are some lessons to be learned from CRSP on-farm research and verification activities. First, unless there is a mechanism to get information out to farmers, dissemination of research results simply will not occur. CRSPs provide base information to serve as a start-off point. For example, the Small Ruminant CRSP has developed a base for improving livestock in Peru.

Another lesson is that a CRSP research product (technology) that works in one region may not work in others. The Sorghum/Millet CRSP tested a hybrid sorghum that may work in some areas of Sudan but not in others.

CRSP research should be taken at least to the farm level, according to one discussion group. The Bean/Cowpea CRSP has verification trials out on 15 farms in Senegal. However, the plans beyond these 15 trial farms for reaching 15,000 farms involve extension, and the CRSPs do not have the mandate or the funds to do extension work.

Lesser-developed country farmers need to see benefit, (i.e., a considerable increase in yields and profits) before they will take the risk to make changes in farming practices. Market conditions must make change profitable. New crop varieties can be used to bring in new agronomic practices, but the results must be evident to the farmer.

3. CRSP guidelines and technology dissemination

The question as to how far CRSPs should go or what they should do in regard to technology transfer and extension has consistently plagued CRSP managers and has created more external criticisms than perhaps any other issue.

The original design and current guidelines of the CRSP are quite clear: The CRSP is a research enterprise, building knowledge and developing technology. The Joint Research Committee was fearful that an extension function would swamp the research effort so the guidelines went to some length to "protect" the CRSP from that danger.

Some USAID Missions expect CRSPs to extend technology to the farm or the applied stage and have criticized CRSPs for not doing more in technology transfer. This group felt that the original CRSP design is valid with respect to technology transfer. The forte of the CRSP is technology generation and knowledge building. The group believed that the CRSPs should move increasingly toward research rather than toward extension.

It was noted that technology dissemination is not included in the CRSP mandate, however, many Mission-supported projects do get down to this level. Therefore, one way for CRSPs to contribute to dissemination is to interact with Mission-supported projects.

Finally, it was felt that while AID does not and should not push the CRSPs to do extension work, the CRSPs could advise AID where there are research results available that can be extended or are ready for technology transfer.

4. Scientific networking and technology dissemination to targeted LDC groups

CRSPs have been effective in publishing scientific results in journals, but they do not always reach users in LDCs. Mechanisms for dissemination to targeted LDC groups were suggested as follows:

- o Manuals for farmers could be created as a CRSP "product";
- o An on-farm testing program, accomplished in cooperation with extension agents, farmers and researchers, is a proven method of testing new technologies, and could be employed more fully by CRSPs;

- o Testing programs at LDC research stations under CRSP supervision could enhance professional development of recent LDC graduates, while testing and demonstrating CRSP technology; and
- o Packaging technology information to suit particular cultures.

CRSPs target such host-country professional groups as national institutions (including research and extension organizations, universities and ministries), the private sector and other global and regional institutions. The best approach, the group felt, is to work closely with National Agricultural Research programs, and to conduct in-country workshops, produce and disseminate publications and reports and conduct training. This approach largely excludes the farmers, and may vary from the USAID Mission approach, which may emphasize extension of technology to farmers.

However, questions remain regarding the availability of information for the producer. The Small Ruminant CRSP, for example, was criticized by the Inspector General for not carrying out extension activities. The CRSPs thus need a statement clarifying their role. In addition, the group felt that if CRSPs get bogged down in extension, less research will be done. CRSPs do have a role to play in workshops, and on-farm verification, but the extension issue needs to be addressed.

5. CRSP/USAID communication for in-country technology dissemination

It was suggested that CRSPs should be alert to opportunities to move a new technology to field-testing and farm applications and to encourage and cooperate with the appropriate host-country organizations for doing so. For example, the CRSPs might suggest a workshop to involve research scientists, and extension staff to explore technology transfer opportunities. Such workshops may be more appropriate for funding by AID Missions than CRSP core funds, so it is important that CRSPs and USAIDs communicate on this point.

USAID Missions need to be involved in dissemination of CRSP information in LDCs. The view of AID/S&T is that CRSPs should at least get CRSP data into country information systems, to be available to producers in a given country.

Also, a CRSP-wide newsletter, circulated to host-country organizations, Missions and universities to report on findings, would be a valuable form of in-country technology dissemination. This newsletter could perhaps be targeted to a different CRSP each month. The key is to disseminate information to host-country professionals.

Finally, it was noted that Mission participation with funding for CRSP projects requires a long lead time--six months to a year.

6. Other considerations

IARCs have also struggled with how they should deal with or relate to technology transfer, and have also used the terms "upstream" vs. "downstream". In comparing the CRSP to IARCs, the group felt that the comparative advantage of the CRSP was clearly upstream from the IARCs. Thus, CRSPs concentrating on upstream activities and IARCs concentrating on downstream activities would seem to complement each other. One participant commented that "the IARCs and the CRSPs are one molecule thin," and thus must rely on developed country institutions for more applied research.

In the plenary session, there was no clear consensus on the issue of upstream vs. downstream activities. One participant felt that CRSPs should do both upstream and downstream work, thus improving AID/CRSP/IARC relations. Another participant felt that CRSPs ought to stay predominantly on the research side (upstream).

Other comments made were:

- o CRSPs should differentiate between "extendable technology" and extension, and should identify the former, but not do the latter;
- o Should CRSPs carry out "maintenance research" or leave it to others?;
- o When and under what conditions should CRSPs move from one country to another? When is it time to say the job is finished; and
- o Some countries in Africa have tended to be worse off, over time while others have been slightly better off. AID needs to recognize the complexity of the problems that exist in these nations, and give credit for the smallest achievements there. AID pressure on the CRSP to get "quick research" may result in research repetition or in less risky or less important research.

G. Financial Management Information Systems/Cost Sharing Contributions

1. Introduction

The Consultants' Report called for a continuing examination of financial management systems and for comparison of methods used by various CRSPs to determine whether systems can be improved, simplified or made more efficient. There was no breakout discussion session on this issue at the Workshop; a panel discussion on financial management was presented in plenary session, and open discussion on the issues raised followed. Presented below is a summary of this plenary discussion.

2. Significance of financial information systems

Financial information and proper application are of crucial importance to USAID and the CRSPs, particularly given the current tenuous budget situation. Problems with reporting and forward planning are encountered both by the CRSPs and by AID. The principal problem appears to be one of perception and understanding; financial systems that are clear to AID are not always clearly understood by CRSPs, and this has led to differences in program accounting.

For example, when asked to report on total monies expended, AID's figures did not reconcile with CRSP figures. When an attempt was made to reconcile the different figures, it was found that both sets of figures were equally right and wrong, because the premises on which they were based differed. In other words, financial reports vary depending on the accounting system used, and to date, there has been no classification or mutual understanding of the accounting system.

Mr. Sandy Owens, a panelist from AID/FM, stated that AID works on an accrual based financial management system. Expenditures are those actually reported to AID; those not reported are not considered expenditures. Accrued expenditures are goods and services received but not yet paid for, plus money that has been spent. Expenditures may also be estimated for expected payments for goods and services until actual receipts come in. There is a difference between a cash budget estimate and an accrual budget estimate. Mr. Owens reiterated that the basis of differences between AID and the CRSPs is one of communication and understanding: how can better, more timely and accurate figures be generated to resolve differences between AID and the CRSPs?

Dr. Charles McCants, a panelist from the Tropical Soils CRSP, noted first that one of the unique features of the CRSP is the management entity--an innovative management technique. The ME generally works well, and serves as a buffer for budget irregularities that inevitably arise. According to Dr. McCants, the key issues that surround AID/CRSP budget problems are: (1) the amount of money in the budget; (2) the duration of time for the money to be spent; and (3) of funding.

CRSP has a very small staff, without sufficient personnel to keep in-depth reporting records. Researchers must take up valuable time to keep expenditure records. In addition, universities are very sensitive to US audits and they are particular about exact reporting. As their accounting systems do not match AID's accounting system, CRSPs require sometimes as much as six months to prepare accurate budget reports.

As an example of problems that CRSPs have in complying with AID reporting requirements, Dr. McCants pointed out that reporting requirements for university business offices differ from AID requirements. AID works on an accrued expenditure system, but Dr. McCants believes the universities will not accept estimated accruals. The universities' budgets are based on funds obligated and encumbered but not yet spent. From a CRSP program management point of view the money is spent, but in AID's view the money was not spent and thus

cannot be reimbursed. Dr. McCants believes that the "encumbrance" concept needs to be factored into the budget. He made a plea for greater communication and guidance from AID so that CRSPs can respond in a timely fashion.

3. The problem of the "artificial" pipeline

The pipeline issue has probably caused the most tension between CRSPs and AID, primarily because it is not clearly understood. According to Mr. Owens, the pipeline is money obligated and not spent. This definition, however, is rarely seen the same way by AID and the CRSPs.

Mr. Gower, a panelist from AID/S&T's Program Office, saw the pipeline as any budget made up of cash on hand plus new money that comes in during the year. Dr. McCants stated that the pipeline concept was implemented in a different way than he was used to, and he felt that it is quite disruptive to the CRSPs. When money is obligated, he feels it must be obligated for a given time. However, he believes that AID is saying something else entirely, and that implicit obligations (those expected but not yet spent) have not been given due consideration in the pipeline system.

Another CRSP participant called for maintenance of a closeout account for overseas work. This means having money in the bank for fulfilling the obligations of a contract. This is not technically part of the pipeline but is essential for an emergency fund reserve.

Mr. Owens noted that when AID gives a grant to a CRSP, a letter of credit provides money in the bank for that CRSP. The CRSP does need to budget for closeout. AID needs to know from the CRSPs what the commitments are for which the CRSP requires money for closeout.

Mr. Gower noted that the biggest problem is the amount available to AID for CRSP grants. He believes that the pipeline will probably end in one year, because the accrual gap is closing. AID requires expenditure information as quickly as possible in order to assess the needs of CRSPs for future planning.

Mr. Owens reiterated that the definition of "accrual" needs to be understood clearly in order for CRSPs to comply with AID requirements. He suggested that AID host a one-day seminar to discuss the issue at greater length, in order for CRSPs to have a better understanding of the accounting system.

H. Suggestions as to How AID's Work Can Be Done Better

1. Introduction

The Consultants' Report commented that, in the ten years since the first CRSPs became operational, there have been numerous reviews and evaluations, principally concerned with CRSP performance. The Workshop participants were asked to examine and discuss AID's work

vis-a-vis the CRSPs, and to recommend ways in which AID can do a better job in promoting CRSP goals and objectives.

2. Administrative changes to assist CRSP efficiency and effectiveness

One participant reported the following from his small group discussion:

"By far the most important action AID could take to improve CRSP performance is to provide some degree of long-term stability in commitment to and budgetary support for research in general and the CRSP in particular. Uncertainty about month-to-month funding and downward appropriation trends destroy morale, cause good people to go elsewhere and make long-term planning impossible. In short--these conditions run counter to many well-known conditions for carrying out an effective research program and, if continued, will result in reduced payoff from the taxpayer's dollar.

Notwithstanding the many uncertainties the Agency faces with respect to appropriations and the numerous competing demands, earmarks and mortgages, it is clearly in the interest of US taxpayers and developing countries for AID to reaffirm the role and importance of research in Development Assistance and to establish a long-term strategy for supporting agricultural research.

A plan for strengthening agricultural research for developing countries should be developed in cooperation with the CRSP, IARCs and other components of the international science system. The plan should include budget targets, and should identify major actors, including CRSPs, and their mandates.

The existence of such an indicative plan, which was embraced by the top AID management, would go a very long way in articulating AID's intentions and providing CRSPs and other research performers with some degree of stability in the form of planned budget support."

Comments and recommendations on this issue from other groups included the following:

- o CRSP managers benefit from communications from the Agency regarding internal Agency proceedings, attitudes, problems, etc. CRSP managers would like to be in on the "talk around the coffee pot" rather than merely receiving formal communications. Some of this communication may be made by

more regular informal contact on substantive issues among AID CRSP managers.

- o AID should advise CRSPs of Agency/Bureau advance planning (e.g. SPAAR) so that CRSPs can include this information in planning CRSP research activities;
- o Delays in contracting have negatively impacted effectiveness of CRSPs. S&T/AGR should examine and develop alternative procedures to improve the funding process (in particular to extend grants rather than require new grants);
- o S&T/AGR should develop annual plans in cooperation with CRSPs in order to make the most effective use of resources;
- o A problem exists in that some AID procurement regulations conflict with host country import regulations. AID Handbooks have been translated into French and Spanish so that host country personnel can use them effectively. This practice should continue; and
- o AID and Congress must recognize that the AID operating budget is not adequate to meet personnel needs for project management, information dissemination, storage of data and other needs. The CRSP MEs have been called upon to handle requests, and administrative work that has been handled in the past by S&T. This has become increasingly onerous on the CRSPs with continuous budget cuts and the pressure for CRSP MEs to reduce their office budgets.

3. Changes in CRSP guidelines with respect to functions and responsibilities of CRSP structural components

It was recommended that some formal (i.e., CRSP Guideline) recognition be given to the concept (already in existence informally) of a CRSP Council, consisting of Management Entities and others invited by MEs, which could meet regularly, with or without AID representation, to discuss CRSP related issues. CRSPs and AID should work to more completely define procedures and membership. In addition, it was suggested that the ideas emanating from this Workshop be incorporated into the CRSP Guidelines.

4. USAID/CRSP linkages to improve CRSP performance

It was suggested that AID assist MEs in relating better to Regional Bureaus. The Agricultural Sector Council subcommittees might be used for quick response purposes; a "CRSP Secretariat" might also play such a role.

It was also noted that CRSPs need AID guidance on training within CRSPs. Graduate student involvement is important to research, but the relationship between research and training is unclear. This may be an appropriate place for "Mission buy-ins", and would indicate the need for stronger CRSP/USAID linkages. Training needs must be addressed by

policy--CRSPs cannot afford to initiate these activities. BIFAD could also be of service in developing and implementing policies, assuming a more proactive role in establishing and implementing policies that promote better understanding in the US of CRSP activities.

Where practicable, it is mutually beneficial to AID and the CRSPs to maintain a two-way exchange, e.g., CRSP feedback to such documents as "The Agricultural Focus."

Regarding the maintenance of linkages between CRSPs and USAID, it was noted that the turnover of AID personnel in the Missions and in Washington causes considerable problems in maintaining program continuity. This conflicts with long-term research programming of the CRSPs.

An example of good networking, was the CIFRAI Fisheries Program which has been an effort to network the S&T fisheries projects. The concept has been useful in terms of sharing information in regard to linkages and better understanding of programs. Linkages of CRSPs should be based on scientific interests. S&T and BIFAD have roles to play in this regard.

USAID should examine the linkage of the research done by the CRSPs and others to development. CRSPs for their part should do a better job of reporting their research accomplishments to S&T.

It was also suggested that S&T work in close collaboration with the CRSPs to link into creative ways of disseminating research results and progress to the USAID Missions and others.

On the technical side, AID needs to put more emphasis on getting Project Officers and ADOs out into the field to see research and other CRSP activities. Such field visits may help to bridge the technical research gap caused by reduced staff.

When invited to do so, the CRSPs, for their part, should explore the possibility of reporting at the ADOs regional meetings. It is important for AID/CRSPs to be able to relate "people" with projects.

5. AID financial management and CRSP performance

There is an urgent need for AID to clarify its policy regarding reporting of CRSP expenditures. One group recommended that within 90 days, a meeting be held for CRSP Directors, ME financial officers, AID project managers and contract officers to resolve existing problems and improve communications between AID and Management Entities. Another group agreed that AID and CRSP's need to work on definitions and procedures of financial reporting.

6. Formal peer review systems for review of research

No discussion group presented any suggestions or recommendations as to how AID can do a better job with formal peer review systems.

7. Other considerations

The following additional points were raised with regard to AID's work:

- o AID should stress and highlight the payoff to US agriculture from involvement in the international research network when supporting CRSP appropriations;
- o CRSPs should be well-informed about the structure and function of BIFAD and JCARD. It would be mutually beneficial for BIFAD to provide more information to the CRSPs on BIFAD activities;
- o AID should make better use of CRSPs in developing long-range research strategies; and
- o AID should assist CRSPs in getting their research projects listed in national and international library systems.

I. Mechanisms for Dissemination of Research Results

1. Introduction

The Consultants' report documented the dramatic increase in the volume of useful research results from the CRSPs, and concluded that mechanisms for disseminating these results to potential users is an important issue. While information dissemination is systematic in developed countries, many potential users in developing countries do not have adequate access to primary scientific literature, and thus, special procedures may be required to deliver research results to these users, who include researchers, policy and planning administrators and country organizations with appropriate input into national extension systems. The following paragraphs summarize the workshop participants' discussions on these mechanisms.

2. Workshops

Workshops are useful tools for disseminating information, not just for technology dissemination, but for research results as well. In-country workshops involving scientists, extension staff, policy and planning administrators, AID staff and possibly IARC representatives could be held for the particular purpose of discussing research results. Such efforts would require increased AID funding.

3. Publications

CRSPs should be encouraged to publish and disseminate research results widely, particularly in the countries in which CRSPs are active. BIFAD, through JCARD, should explore ways in which to improve dissemination of AID-project-generated information to scientific and other communities, in order to move CRSP activities to a higher priority in the Agency and in US policy.

CRSPs generally do an excellent job of communicating with the scientific community. The biggest challenge, however, is to develop materials that may be useful for extension. One group suggested that the Management Entities develop a publication plan, which would include an assessment of the audiences that need to be reached and an indication of which entity should handle the publications. Policymakers and planners should not be overlooked as an audience. As an example, the Tropical Soils CRSP has information on tropical forest development that could be fed into policy decisions. It was suggested that a "CRSP Secretariat" could play a useful role in the publications and communications area.

4. Newsletters

The challenge for AID and the CRSPs is broader than just scientific reporting. S&T should circulate a general newsletter to Missions and potential US and host country users, reporting on related advances in research and other activities. CRSPs should also put out their own newsletter.

5. Adequacy of dissemination within the US

It is crucial to strengthen the efforts of each state to educate Congress on the importance of agricultural research. If we do not make an effective education effort, the US scientific community will suffer, to the detriment of the US and to other nations. BIFAD should act much more aggressively in the US as an advocate of Title XII activities, and should disseminate information on CRSP activities to other scientific entities as well. The CRSPs have been evaluated and judged effective; now it is important that this message be spread.

6. Additional mechanisms

It is important to maintain a "critical mass" in the Management Entities to operate effectively. Care should be taken that the research capability of the CRSPs not be eroded; once lost, it will be impossible to rebuild.

One participant (from the USDA) encouraged collaboration of international research between US scientists, LDCs, CRSPs and USDA, and felt that an effort should be made to disseminate information to researchers about other, complimentary collaborative research efforts. USDA may be able to provide some resources for such efforts.

III. WORKSHOP CONCLUSIONS AND RECOMMENDATIONS

A. Introduction

At the close of the two-day Workshop, it was clear that a series of conclusions, recommendations and future study agenda had been discussed and presented. Dr. James Lannon, on behalf of the CRSP Directors, stated that there was a good feeling about dialogue at the Workshop, which was a very positive result. One true reward for him has been to see the CRSP blossom and he would like AID to continue to recognize the importance of the relationship of CRSP staff to the vitality and morale of the program. The players are the real heroes, and CRSP members should be involved in the decision making process.

Dr. Brady noted that progress was made at the Workshop. No one tried to hide the fact that problems exist. The lack of unanimity of opinion meant that flexibility exists. He applauded efforts to try to network where appropriate. He concurred with Dr. Lannon that collaboration is crucial, but "when the chips are down," it is the individual components of the CRSP that do the work. Universities and state governments do have requirements, rules and regulations, as does AID. The CRSPs therefore must comply with universities and state legislatures. He admonished the CRSPs to follow guidelines of AID and local regulators, both federal and state. In addition, he felt that CRSPs should minimize ancillary activities and should concentrate on the most important CRSP functions. AID, for its part, should revise CRSP Guidelines to make it easier for CRSPs and AID to communicate. S&T requires the help and understanding of the CRSPs, because it too faces considerable budget pressure from other federal entities.

B. Specific Conclusions, Recommendations and Suggested Amendments to CRSP Guidelines

1. Management and organizational considerations

a. Conclusions

- o Viable collaborative research activities will be impossible to sustain with further cost reductions; and
- o The management structure of the CRSP essentially works well and does not need to be changed or re-defined. The flexibility of the CRSP structure is a strength, not a weakness.

b. Recommendations

- o Ensure adherence to developmental relevance through global planning by CRSP, USAID, IARCs and LDCs;
- o Encourage involvement of host-country participation in collaborative research activities;

- o Give increased attention to preservation of data collected by CRSPs;
 - o Create long-term funding horizons for the CRSP; and
 - o Streamline reporting requirements (a task for AID and BIFAD).
2. CRSP-USAID relations and coordinating mechanisms
- a. Conclusions
- o Personnel changes at Missions cause communications breakdowns; CRSPs need to forestall such breakdowns;
 - o A CRSP newsletter could keep Missions informed; and
 - o CRSP and Missions have common interests in the area of training.
- b. Recommendations
- o Give increased attention to CRSP/Mission relations;
 - o Create a CRSP newsletter to keep Missions informed;
 - o CRSPs take responsibility for initiating and maintaining good communications with USAIDs; and
 - o AID/S&T strengthen policy about role and importance of CRSP.
3. CRSP-IARC relations and coordination
- a. Conclusions
- o CRSP-IARC relations are generally good; and
 - o It is desirable and necessary to have IARC representation on CRSP Boards of Directors, and CRSP representation on IARC technical committees.
- b. Recommendation
- o Create a funding mechanism to establish more permanent linkages.

4. Networking among CRSPs, between CRSPs and other AID and US government projects
 - a. Conclusions
 - o No formal inter-CRSP joint planning mechanism is necessary;
 - o Few opportunities for cross-cutting support exist; and
 - o A "CRSP Secretariat" would be a focal point for networking and communications.
 - b. Recommendation
 - o BIFAD take on more active role in support of the CRSPs, by, for example, acting as a CRSP secretariat (serving as a proactive clearing house for the CRSPs, the major Title XII program), or promoting understanding in US of CRSP activities.
5. Research verification and technology dissemination
 - a. Conclusions
 - o CRSP research results need to reach farmers in LDCs, but CRSPs may not be the proper conduit;
 - o CRSPs must interact with Missions if they want to be involved with dissemination of information; and
 - o CRSP publications and newsletters are good mechanisms for in-country dissemination.
 - b. Recommendations
 - o Do not alter the CRSP mandate on research (rather than extension);
 - o Decide whether to target LDC farmers or professionals; and
 - o AID clarify CRSPs' role in extension through a policy statement.
6. Financial management information systems
 - a. Conclusion
 - o The pipeline system is not clearly understood by CRSPs, thus causing tension.
 - b. Recommendations
 - o AID clarify its position on financial reporting; and

- o AID clarify policy with regard to reporting of CRSP expenditures. Within 90 days, AID should hold a workshop on this matter for CRSP managers.

7. How AID's work can be done better

- o AID give the CRSP a morale boost by giving a solid long-term commitment to the CRSPs by creating a global plan for agricultural research;
- o Cut administrative duties of the CRSPs to a minimum;
- o Revise CRSP Guidelines to include a "CRSP Council" concept; and
- o CRSP/USAID work together to maintain linkages.

8. Mechanisms for dissemination of research results

a. Conclusion

- o Workshops, publications and newsletters are all useful mechanisms for dissemination but require additional funding for implementation.

b. Recommendation

- o BIFAD take on a role as CRSP champion in the US.

C. Future Study Agenda Topics

- o CRSP Expenditure Reporting; and
- o Mechanisms for more successful dissemination of research results to LDC users.

ANNEX 1

List of Participants

CRSP WORKSHOP PARTICIPANTS
July 13 and 14, 1987

CRSPs

Bean/Cowpea CRSP

Dr. Pat Barnes-McConnell - Program Director, Michigan State University.
Dr. Clarence Gray - Chair of the External Evaluation Panel. Professor, International Extension and International Studies, Virginia Polytechnic Institute and State University and Formerly of the Rockefeller Foundation.
Dr. Tony Hall - Chair of the Technical Committee and Principal Investigator of our University of California/Riverside-Senegal project. Professor, Plant Physiology, University of California/Riverside.
Dr. Ed Oyer - Secretary of the Board of Directors representing the Chair. Director, International Agriculture Development, Cornell University.

Small Ruminant CRSP

Dr. A. F. Alexander - Chairman of the Board of Directors, DVM. Professor, Diagnostic Laboratory, Colorado State University.
Dr. J. C. DeMartini - Chairman of the Technical Committee, DVM. Professor, Pathology, Colorado State University.
Dr. Gerald Marr - Dean Graduate Division, University of California/Davis. University of California's Permanent Representative on Board of Directors.
Dr. Art Pope - Former Chairman of the External Evaluation Panel. Professor, Animal Nutrition and Sheep Science, University of Wisconsin, Madison, WI.
Dr. David Robertshaw - Director of Management Entity, University of California/Davis.
Dr. Ned Raun - Board of Directors, Winrock

Sorghum/Millet CRSP

Dr. Lynn Gourley - Chairman of Technical Committee. Professor, Agronomy and Plant Breeding, Mississippi State University.
Dr. Glen Johnson - External Evaluation Panel member. Professor Production Economics and Farm Management, Michigan State University.
Dr. Woods Thomas - Chairman of the Board of Directors, Associate Dean of Agriculture and Director of International Programs in Agriculture, Purdue University.
Dr. Glen Vollmar - Director of Management Entity, Dean of International Programs, University of Nebraska.

Peanut CRSP

Dr. Billy Caldwell - Secretary of the Board of Directors, North Carolina State University.
Dr. Kenneth H. Garren - (Retired) USDA/ARS, Suffolk, Va.
Dr. Tommy Nakayama - Program Director, University of Georgia.
Dr. Bharat Singh - Secretary of Technical Committee, Alabama A&M University.

Pond Dynamics CRSP

Dr. Homer Buck - External Evaluation Panel, University of Southern Illinois.
Dr. James Diana - Principal Investigator, University of Michigan.
Dr. Howard Horton - Manager, Oregon State University.
Dr. James Lannan - Former Manager, Oregon State University.
Dr. Donovan Moss - Board of Directors, Auburn University.

Stock Assessment

Dr. Gerald Donovan - Board of Directors,, University of Rhode Island.
Dr. Vincent Gallucci - Principal Investigator, University of Washington.
Dr. John Rowntree - Manager, University of Maryland.

Nutrition

Dr. Hugh Horan, University of California-Berklely

Soils Management (Tropical Soils CRSP)

Dr. Charles B. McCants, Management Entity, North Carolina State University
Dr. E. C. A. Runge, Chairman of the Board of Directors, Texas A&M
Dr. Pedro A. Sanchez, Principal Investigator North Carolina State University

Other Participants

Consultants

Ed Hogan
Jack Robins

CGIAR

Don Plunknett

AID/S&T

Nyle Brady
Brad Langmaid
S&T/FA - Duane Acker
Bill Furtick
Ralph Cummings
S&T/AGR - David Bathrick
Harvey Hortik
Loren Schulze
Tej pal Gill
Dick Neal
John Malcolm
Ken Osborn
Phil Church
Betty Roche
Dana Dalrymple
S&T/N - Sam Kahn
S&T/PO - Gerald Gower
S&T/RD - John Grayzel
S&T/RUR - Gary Bittner

AID/Regional Bureau Representatives

LAC/DR - Steve Wingert
 Jaime Correa
AFR/TR - Cal Martin
 Ans Burgett
ANE/TR - Malcolm Purvis
USAID/Indonesia - Richard Cobb

AID/PPC

Arnold Baker
Don McLelland
Martin Dagata

AID/Contracts

Jay Bergman

AID/FM

Sandy Owens

BIFAD

Fred Johnson
John Stovall

JCARD

Jim Henson

ANNEX 2

Workshop Agenda

CRSP Directors and Program Managers Workshop
DECADE TWO PREPARATION

July 13 - 14
Ramada Renaissance Hotel
Location: Dulles International Airport

July 12 p.m. - Check in time

July 13

- 8:00-8:10 - Welcome - Dr. Nyle Brady
Senior Assistant Administrator
Bureau for Science and Technology
- 8:10-8:25 - Workshop Orientation - Dr. Duane Acker
A.I.D. Agency Director
for Food and Agriculture
- 8:25-8:40 - CRSP - Dr. Pat Barnes-McConnell
Director Management Entity
Bean/Cowpea CRSP
- 8:40-8:50 - Workshop Operational Matters - Mr. David Bathrick
Director
Office of Agriculture

Coffee Break

Three to four work groups will meet simultaneously for each to discuss the below listed themes. One group facilitator and one rapporteur will be assigned to each group.

- 9:15-10:45 - Management and organizational considerations and comparisons
- 10:45-11:30 - CRSP-USAID relations and mechanisms
- Lunch and informal discussion
- 1:30-2:15 - CRSP-LARC relations and coordination
- 2:15-3:15 - Networking among CRSP and between CRSPs and other S&T projects
- 3:15-3:30 - Coffee Break
- 3:30-4:30 - Research verification and technology dissemination activities
- 4:30-5:00 - Rapporteur prepare notes in final form
- 5:00 - Social Hour
- 6:00 - Dinner

July 14

8:00-8:30 - Financial management information system

Panel discussion led by Messers Gerald Gower, Director of S&T Program Office, Sandy Owens, Assistant Controller of Financial Management Office, and Charles McCants, Director Management Entity, Tropical Soils CRSP, to review financial information, related to pipeline and other financial management issues

8:30-9:00 - Cost sharing contributions. Please provide best figures to indicate the degree of total university support provided to support CRSP program

Divide again into same working groups as Monday

9:00-10:00 - Suggestions to "How can A.I.D.s work be done better?"

10:00-11:00 - CRSP reporting mechanisms to the scientific community

11:00-12:00 -- Review topics not fully developed earlier. (Assuming time was not adequate for complete discussions of some of the above points, additional time is provided). Rapporteur prepare notes in final form and present.

12:00-1:00 - Lunch

1:00-3:00 - Plenary session to discuss specific conclusions, recommendations and suggested amendments if any, to CRSP Guidelines.

3:00-3:30 - Discuss future study agenda items for understanding better CRSP programs and for improving performance

ANNEX 3

Discussion Topics

Management and Organizational Considerations and Comparisons

Summary of Consultants' Report:

At the initiation of the CRSP program, AID and BIFAD prepared a fairly complex managerial structure which incorporated many resources internal and external to the participating institutions. Four distinct units were instituted which include the Management Entity (ME) (CRSP implementation), the Board of Directors (policies, plans and budgets), the Technical Committee (TC) (scientific and programmatic issues), and the External Evaluation Panel (EEP) (evaluation of plans, programs and prospects). The standard organizational structure has remained intact since creation of the CRSPs. There is, however, a great deal of variability in the roles carried out by these management elements and on occasion specific adjustments to this model or additional organizations were developed by specific CRSPs to address particular issues as they arose. The consultants concluded that "... by and large the issues identified in A.I.D.'s CRSP Guidelines do get addressed within the management system in a generally satisfactory manner. Operationally, the management structure functions reasonably well, though not always by the books. In one CRSP it may be the EEP and in another the TC which address scientific issues, but it does get done."

Issues for Discussion:

- 1) Are there alternative approaches already taken by specific CRSPs to reduce costs particularly at the Management Entity level, which might be applicable to other CRSPs?
- 2) Given the positive "institutionalization" process now observed throughout most of the CRSPs, are there some alternate management structures which now should be considered? For example, should the TC be strengthened at the expense of other elements?
- 3) During a period when specific attention to research prioritization has to be of even higher concern, is it appropriate to consider other mechanisms to help assure that development relevance matters receive the highest priority in research agenda preparation and budgetary allocation?
- 4) Since host country capabilities have greatly improved, is it appropriate to delegate greater status to host country representatives within CRSP organizational structure?

CRSP-USAID Relations and Coordinating Mechanisms

Summary of Consultants' Reports:

- o Mandates for USAIDs and CRSPs are different, sometimes even conflicting.
- o CDSS and Action Plan introduced after CRSPs were designed have often sharpened differences in objectives.
- o Extension of significant research results is not reaching farmers in host countries promptly.
- o USAIDs consider that CRSPs are an excessive logistic burden on very thinly staffed Missions.

Issues for Discussion:

1. How can the fundamental objectives of Mission programs and CRSPs become mutually supporting without ignoring the legislative mandate of the CRSP and the program definitions of the USAIDs?
2. Would a reinstatement of Agency policy help to reduce the understandable tension caused by divergent objectives?
3. How can Missions work with CRSPs to capture the results of global research for inclusion in country specific adaptive research and extension efforts?
4. What is the specific logistic support which is causing Missions problems and what are the alternatives for relieving the burden?
5. What is the proper role of Mission and CRSP management in training:
 - a. Defining fields of training?
 - b. Selecting individuals to be trained?
 - c. Reporting progress and utilization of trainees while in training and upon completion of the training?
6. What has been the most effective means of funding and managing activities required to meet Mission objectives which are not in the CRSP mandate or which require resources beyond those available to the CRSP?
7. How can S&T/AGR and BIFAD assist both USAIDs and CRSP management to communicate more effectively?

CRSP-IARC Relations and Coordination

Summary of Consultant's Report:

Of the four CRSP projects covered in the report, two have had clear collaborative relationships (sorghum/millet and beans/cowpeas). The extent of relations for the other two (small ruminants and tropical soils) is less certain and is probably more at the individual scientist level. Of the four CRSPs not covered in the report, two (peanuts and stock assessment) have developed ties with a center; the other two (pond dynamics and nutrition) have not had a counterpart center. Thus there has been a wide range of patterns and arrangements. Those that have existed appear to have worked out rather well (aside from an initial adjustment period in the case of the bean/cowpeas CRSP). These arrangements, however, do not seem to have gone as far as joint research, in part due to CRSP funding limitations (p. 16).

In concluding, the report states that all parties:

agreed that collaboration was essential and should continue. What is needed is development of a modus operandi which will foster increased collaboration (p. 16).

The report suggests that one possible initiative is the inclusion of an IARC representative on one or more of the CRSP management units (Board, TC and/or EEP). It noted that some CRSPs follow this practice now. Several advantages of such an arrangement are spelled out; on the other hand the possible cost problem is also noted. While this would seem a logical step for the larger projects where there is considerable interaction and possibly a formal agreement, it may be more questionable in some other cases where there is much less interaction, and/or relatively little need for more.

Further interaction may be possible in the future. For example, ILCA's new strategy and long-term plan gives high priority at the species level to cattle, sheep, and goats; the latter two should fit in well with the small ruminants CRSP. IBSRAM is just getting its three regional soil management networks (of which two are in Africa) underway, which may offer increased opportunity for interaction with the tropical soils CRSP.

Issues for Discussion:

1. How do the CRSP managers assess the current degree of interaction with the IARCs? Is it adequate? Is more needed? What type? Are there special problems limiting further interaction that could be solved with appropriate action? How do the CRSP managers feel about the proposal noted above?
2. Should financial resources decline, how would the importance of linkages with an IARC change? Would they be of a higher or lower priority? Are there some activities, networking for example, which could be more efficiently or effectively done by the center? Would the centers want to or be able to take these on at a time when they have budget constraints of their own?

Networking among CRSP's and
between CRSP's and other ST/AGR Projects

Summary of Consultants' Report:

- o Collaborative linkages among the CRSP's and between the CRSP's and other AID centrally funded (ST/AGR) projects offer potential for significant contributions to scientific achievement. Increased research effectiveness is possible in terms of quality, timing and geographic spread of research results.
- o Collaborative linkages or "networking" can take the form of:
 - exchange of information and publications;
 - jointly funded and conducted research endeavors;
 - joint sponsorship of LDC participant training;
 - shared participation in research workshops/conferences;
 - coordinated research planning and agenda setting.
- o There is at present no systematic approach to this type of networking among the CRSP's. Nor are CRSP activities coordinated systematically with other ST/AGR research initiatives at other than the budget and programmatic levels.
- o AID should take the lead in working with the CRSP ME's in establishing a system for information exchange among the CRSP's.

Issues for Discussion:

1. What is implied in the suggestion that there be joint research planning and agenda setting among the CRSP's? Is it feasible?
2. Would attempts at joint research planning further complicate arrangements at the field level ie. with USAID missions and host country research entities? What role would they play?
3. Which ST/AGR projects offer the best opportunities for cost-cutting, complementary support?
4. For the systematic exchange of information among the CRSP's, would a centralized "clearing house" be a feasible mechanism? A quarterly newsletter? If so, where should it be housed? ST/AGR? BIFAD? Among the CRSP ME's on a rotating basis?
5. What do the CRSP's now have in the way of information that would be of sufficient value to merit setting up a system of exchange?

Research Verification and Technology Dissemination

Summary of the Consultants' Report

- o The legislation in the Foreign Assistance Act authorized the CRSPs to undertake "long-term collaborative university research." Technology dissemination activities were not included in their mandate.
- o The verification and extension of appropriate CRSP research is the obligation of the developing country national programs
- o Examples of CRSP dissemination technology include, exchange of information and materials at the scientist level; workshops and publication of workshop results; training; and the publication of results in scientific journals.
- o Given the current budgetary situation, the CRSPs are cautioned against broadening the scope of CRSP activities beyond collaborative research and the dissemination of research results.

Issues for Discussion:

1. What lessons have been learned by one CRSP in on-farm research verification and technology dissemination that could be of value to other CRSPs? Site specific examples.
2. The report suggests that guidance on the matter of technology dissemination may be included in the CRSP Guidelines. Should the CRSP Guidelines include such information? What might be included? How can the CRSP Guidelines be amended to include the information relative to technology dissemination?
3. How can the scientist-to-scientist contact, workshops, publications related to workshops, and the scientific journal articles be of more value in technology dissemination to the target groups within the less developed countries?
4. Can the CRSPs and USAIDs improve communications so that the CRSP technology fits better into country needs related to technical assistance and institutional development?

Financial Management Information Systems/
Cost Sharing Contributions

Summary of Consultants' Report:

- o The need exists for continuing examination of financial management systems and for comparison of methods used by various CRSP's to determine whether systems can be improved, simplified or made more efficient.
- o Matching funds requirement is 25% of direct costs excluding ME costs, funds committed under a formal CRSP-host country agreement to procure goods and services, and training costs. Appears that matching funds provided by universities for most CRSPs exceed this level, ranging from 24 to 37%. Matching funds also exceed overhead costs.

Issues for Discussion:

1. Discuss the significance of financial information systems, particularly in terms of the current budget situation. What problems do the ME's encounter with A.I.D.'s financial management system? What do the ME's perceive as areas for change/modification in financial management in terms of AID's requirements, the CRSP structure, or their own practices?
2. How can A.I.D. and the CRSPs address the problem of the "artificial" pipelines which are reflected in official Agency financial management records and reports? Discuss the implications for the budget allocation process of 12-24 month pipelines in A.I.D.'s controller reports. How are accrued expenditures reported by the ME's, what schedules are followed for submission of no-pay vouchers to A.I.D., and what, if any, long-term commitments are carried by the CRSPs?
3. What other cost-sharing mechanisms might be explored to attract additional financial resources to the CRSPs? How can cost-sharing be structured to be as "user friendly" as possible while still meeting procurement regulations, financial accountability requirements, and the CRSP guidelines?

Suggestions As To How AID Can Improve CRSP Performance

Summary of Consultants' Report

The oldest CRSPs have been operational for approximately ten years. During that period of time, numerous reviews and evaluations have been conducted on the CRSPs by the External Evaluation Panel (EEP), Inspector General (IG), AID (Triennial and Management Reviews) and most recently the joint S&T/PPC review headed-up by Dr. Ed Hogan. These reviews have recommended that changes be made primarily by the CRSPs. Have these recommendations been realistic and useful? What actions can the Agency take to assist the CRSPs in attaining the mutually agreed upon goals and objectives?

Issues for Discussion:

1. What administrative changes by AID would assist the CRSPs in accomplishing their mission more efficiently and effectively.
2. Should changes be made in the CRSP Guidelines, specifically with respect to the functions and responsibilities of the Management Entity (ME), Technical Committee (TC), Board of Directors (BOD) and the EEP?
3. Would improved USAID/CRSP linkages improve the performance of the CRSPs? If so, what actions need to be taken by each party?
4. What financial management changes by AID would allow for more efficient and effective operations by the CRSPs?
5. Would a more formal Peer Review System for reviewing research improve the overall performance of the CRSPs? If so, how could this be implemented with a minimum of cost?

Mechanisms for Dissemination
of Research Results to the Scientific Community

Summary of Consultant's Report:

As CRSP's mature, the volume of useful research results has increased dramatically and the issue of how these results are made available to potential users has become increasingly important. It is clear that information dissemination is an integral part of education, networking and of the collaborative research itself. Farm level extension is not the role of the CRSP's, nevertheless, it is recognized that many scientists in developing countries do not have adequate access to the primary scientific literature, and therefore, that special procedures may be required to "deliver" research results to potential users. These users should include researchers, policy and planning administrators and country organizations with appropriate input into national extension systems.

Issues for Discussion:

1. Workshops have been shown to be an effective mechanism for disseminating research results; however, they are expensive in terms of cost per participant.
2. Is publication of workshop proceedings an effective and efficient mechanism?
3. Can progress be made through networks with newsletters for dissemination of research results, Perhaps jointly with IARCs?
4. In view of the dual purposes of the CRSP's, ie. providing research results of interest to both LDCs and to the U.S. agricultural sector, it seems is dissemination of research results within the U.S. presently adequate?
5. It may be useful to consider the appropriate role of the following additional mechanisms, and how they can be utilized in mutually supporting ways:

Workshops, workshop proceedings (including translation requirements);

Scientific meetings, journals, primary scientific literature;

LDC national scientific journals;

FAO or other donor publications;

Videotape, motion pictures, other audiovisual mechanisms;

Popular or semi-technical articles in magazines or trade publications;

Contributions series published by the CRSP.

ANNEX 4

USAID Mission Commentary

AGENCY FOR INTERNATIONAL DEVELOPMENT
USAID / HONDURAS

May 21, 1987

Mr. David D. Bathrick
Director
Office of Agriculture
Bureau for Science and Technology
Agency for International Development
Washington, D.C. 20523

Dear Mr. Bathrick:

Those staff members involved in providing liaison with the Bean/Cowpea and INTSORMIL CRSP activities in Honduras have reviewed the report by Drs. Hogan, Rachie, and Robins which you forwarded on May 1. In general, we find the report complete and accurate, although in the specific case of Honduras, we feel these two CRSP projects have been relatively more effective, particularly in the areas of relationships with local institutions and the USAID, than the general analysis would imply.

Although there have been isolated cases of difficulties at the technical and administrative levels between the INTSORMIL CRSP and the Ministry of Natural Resources, we believe that the impact of this research activity has been very positive, and would like to give credit to CRSP personnel for their attempts to collaborate both with other USAID activities and other public and private entities in Honduras. This CRSP is now well established at the Panamerican Agricultural School, with collaborative arrangements in place with the Ministry and FHIA.

I might mention also that two other CRSP activities (Integrated Pest Management and Pond Dynamics) are also operating smoothly and providing badly needed research support for local agencies. We believe this Mission has supported all local CRSP activities in an effective manner by providing liaison, limited logistic support, local currency counterpart financing, and USAID staff participation in evaluation and oversight. We view these activities as an important element in AID's agricultural presence in Honduras.

Sincerely,



Richard J. Peters
Chief
Agricultural and Rural
Development Office

U. S. AID MISSION TO DOMINICAN REPUBLIC

AMERICAN EMBASSY, P. O. Box 22201
SANTO DOMINGO, DOMINICAN REPUBLIC

FOR U. S. CORRESPONDENTS:
U. S. AID MISSION
APO MIAMI 34041-0008

May 22, 1987

Mr. David D. Bathrick
Director, Office of Agriculture
Bureau for Science and Technology
Agency for International Development
Washington, D.C. 20523

Dear Mr. Bathrick:

As requested in your letter dated May 1, 1987, the Agriculture Division reviewed the CRSP Study Report and has the following comments.

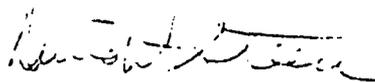
The Bean/Cowpea CRSP project in the Dominican Republic has kept the Mission informed of their activities through periodic visits of staff as well as reports and publications. Recently, representatives of the project discussed with Mission staff the possibility of obtaining PL-480 funding for continued field work. We expect to receive a proposal for consideration in the near future. The proposal will be for a program to increase the supply of new bean varieties and develop control methods for diseases.

As stated in the evaluation report, a major concern to AID is whether the CRSP is undertaking research in areas critical to the development process within the food and agriculture sector. Although research on beans addresses constraints to increasing the food supply and consumption of an important staple crop for the poor in the Dominican Republic, the Mission's strategy focuses on increasing non-traditional export crops.

As pointed out in this review, the proposed changes have monetary costs and due to budget limitations the potential benefits should be carefully evaluated. As cited in the summary, more U.S. growers associations and other entities that benefit from CRSP programs should be encouraged to increase their support. In the case of the Dominican Republic, the CRSP project has proposed to place all of their researchers on the Secretariat of Agriculture payroll to ensure continuation of their research.

Hopefully, with AID's continued support combined with that of other entities that benefit from CRSP programs, the successes documented by this review will be able to continue.

Sincerely,



Dwight Steen
Agriculture/Rural Development Officer

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Department of State

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7. THE REVIEW TEAM SHOULD BE COMPLEMENTED ON A FINE JOB. WE APPRECIATE IT. STRCEB

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FOR BATHRICK, C&T/AG

C.C. 12356: N/A
SUBJECT MOGAN REPORT

Mr. Bathrick

1. THE REPORT'S FINDINGS THAT CRSPs ARE FOCUSED ON AREAS WHICH HAVE GENERALLY RECEIVED LESS THAN ADEQUATE ATTENTION IS CORRECT. IT IS IMPORTANT TO UNDERSTAND THE REASONS WHY THIS IS SO. CLEARLY A PRACTICAL REASON IS TIED UP WITH RELATIVE IMPORTANCE OF SOME CRSP TOPICAL AREAS AND OTHER EFFORTS GOING ON IN THE WORLD. THAT IS NOT TO SAY ACCOMPLISHMENT OF CRSP OBJECTIVES WOULD NOT BE GOOD. WHETHER THE ISSUE IS LARGER AND IT RELATED TO RETURN AT THE MARGIN, TO INCREASINGLY SCARCE AID RESOURCES. AS VERA RUTMAN SAID QUOTE THERE ARE MANY INTERESTING THINGS TO DO SOME OF WHICH ARE IMPORTANT UNQUOTE.

2. WOULD AGREE STRONGLY WITH MOGAN REPORT ON PAGE V THAT CRSP CAN NOT BE ALL THINGS TO ALL PEOPLE. WE AGREE THAT KEEPING CRSP ACTIVITIES FOCUSED ON COLLABORATIVE RESEARCH IS WHERE, AT THE MARGIN, THE PAY OFF ARE.

3. WOULD AGREE WITH REPORTS POSITIVE VIEW OF TROPISOILS ON PAGE 8. WE THINK TROPISOILS REPRESENTS AN EXCELLENT EFFORT AND AN EXAMPLE WHERE A CENTRALLY FUNDED PROJECT HAS A COMPARATIVE ADVANTAGE.

4. THE REPORT'S CONCLUSIONS WITH RESPECT TO NO. 2 PAGE 27, IS PARTICULARLY SOUND. BELIEVE THAT RECOMMENDATION ESSENTIALLY ADDRESSED THE ISSUE RAISED IN PARA 1 OF THIS CABLE, THAT IS DEVELOPMENTAL RELEVANCE.

5. DO NOT BELIEVE CONCLUSION ON PAGE 20 NUMBER 5 HAS SUFFICIENT BASIS. AID SUPPORT FOR CRSP MUST BE IN THE CONTEXT OF OUR TOTAL PROGRAM AND THE CHOICES OPEN TO AID. THERE IS NO DOUBT THE CONTINUED COST REDUCING TECHNOLOGICAL INNOVATIONS WILL ALL CONTINUE TO DRIVE AGRICULTURAL DEVELOPMENT. THEREFORE, AID C SUPPORT FOR RESEARCH IS SOUND. BUT HOW WE DO SO CAN BE ANSWERED IN A NUMBER OF WAYS. CRSPs ARE ONLY ONE OF MANY CHOICES. WE WOULD SUBMIT CHANNELING AID RESOURCES VIA TARCS IS AN IMPORTANT, PERHAPS EVEN MORE COST EFFECTIVE, ALTERNATIVE IN A STRATEGIC SENSE AS BUDGET LEVELS DROP AN EVEN MORE IMPORTANT ISSUE FOR AID WITH RESPECT TO CHOICES.

6. WE WONDER AT THE BREAKDOWN OF EXPENDITURES IN LDCs OR FOR LDC STUDENT TRAINING. HOW DOES THIS COMPARE WITH EXPENDITURE ON US STAFF, AND WITHIN U.S. EXPENDITURES. WE COULD NOT GET A SENSE OF GEOGRAPHY WITH RESPECT TO WHERE, TO WHO AND FOR WHAT CRSP EXPENDITURES WERE MADE.

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Mr. Bathrick

AIDAC

E.O. 12356: N/A

SUBJECT: CRSP COMMENTS.

REF: STATE 183463

THE CRSP REVIEW DOCUMENTS AS WELL AS BATHRICK LETTER ARE WITH THE MISSION'S RESEARCH TECHNICAL ADVISOR, SANATH K. REDDY, WHO LEFT FOR THE STATES ON JUNE 13TH. UNFORTUNATELY COMMENTS WERE NOT PREPARED BY THE MISSION PRIOR TO HIS DEPARTURE. HOWEVER, MR. REDDY WAS SCHEDULED FOR A FEW DAYS CONSULTATION IN AID/W S&T BUREAU. IF YOU WISH FURTHER MISSION COMMENTS ON REF. BY OFFICIAL CABLE THEY WILL BE SUBMITTED IMMEDIATELY UPON MR. REDDY'S RETURN, JULY 6TH.
RYAN

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FOR: D. BATHRICK ST/AC

E.O. 12056: N/A

TAGS:

SUBJECT: COMMENTS TO CRSP REVIEW

REFS: (A) STATE 163463, (B) LETTER BATHRICK TO BALIS MAY 1, 1987

1. YOUR LETTER ARRIVED JUNE 9, 1987 AND IT WAS ACCUSED NO ANSWER WAS RECEIVED AS DUE DATE FOR COMMENTS OF MAY 23 HAD PASSED

2. HOGAN AND TEAM ARE TO BE CONGRATULATED FOR THE FINE JOB OF ANALYSIS AND REPORTING IN THE CRSP REVIEW STUDY. THIS REPORT IS CONSISTENT WITH MY UNDERSTANDING OF PROGRAM DATING FROM MEMBERSHIP IN THE JOINT RESEARCH COMMITTEE WHEN THE CRSP WAS ESTABLISHED AND CONTINUING TO THE PRESENT WHICH INCLUDES EXPERIENCE WITH SEVERAL CRSP ACTIVITIES IN TWO COUNTRIES. I BELIEVE HOGAN REPORT IS A SOLID REFERENCE FOR ANYONE INTERESTED IN THIS PROGRAM.

3. WOULD LIKE TO UNDERLINE THREE POINTS THAT HAVE BEEN NOTED AND PERIT FURTHER ATTENTION IN PLANNING FOR THE FUTURE. THE AREAS ARE:

- A. PROBLEM IDENTIFICATION, PLANNING AND APPROVAL
- B. USAID INVOLVEMENT IN THE FUNDING AND OVERSIGHT OF THE PROGRAM, AND
- C. INTEGRATION OF NETWORK CONCEPTS.

4. PROBLEM IDENTIFICATION, PLANNING AND APPROVAL. SEVERAL FACETS OF THIS TOPIC ARE TREATED IN THE HOGAN REPORT WHERE IT IS NOTED THAT THE FUTURE LIMITATIONS ON RESOURCES REQUIRE THAT THE CRSP MUST BECOME SOMEWHAT MORE LIMITED IN SCOPE. IT IS ALSO NOTED THAT THE SCIENTISTS ARE CONTINUALLY IDENTIFYING ADDITIONAL PROBLEMS. THE REPORT DOES NOT MENTION THAT THE CRSP STAFF ARE LOOKING TO MISSIONS TO PROVIDE THE NEEDED RESOURCES AS SOMETHING OF A NO STRINGS BUY-IN. MISSION FUNDS MAY NOT BE AS SEVERELY REDUCED AS SET FUNDING BUT THE PRESSURE IS PERHAPS GREATER TO DIRECT THESE RESOURCES FOR NEAR TERM IMPACT. THIS PRODUCES SERIOUS TENSION BETWEEN SOME MISSION AND CRSP STAFF WHICH SHOW UP DURING FRUSTRATING ATTEMPTS TO IDENTIFY LINES OF RESEARCH AND ESTABLISH BUDGETS. IF THE CRSP IS TO USE MISSION MONEY IT WILL BE NECESSARY TO OPERATE WITHIN THE CODES FOR THE RESPECTIVE COUNTRY. IT DOES NOT SEEM TO BE PRACTICAL TO ATTEMPT TO GO THIS ROUTE EXCEPT IN EXCEPTIONAL CIRCUMSTANCES. THE CRSP SHOULD BE DESIGNED TO TAKE ADVANTAGE OF ITS INSTITUTIONAL STRENGTH IN LINKING BASIC RESEARCH WITH AND NOT COMPROMISE ITS IDENTITY TO TAP INTO THE BILATERAL FUNDS.

5. USAID INVOLVEMENT IN THE CRSP. IT'S A FACT OF LIFE

THAT THE STAFF OF A MISSIONS CHANGE FREQUENTLY. THE COUNTRY DEVELOPMENT STRATEGY CHANGE, AND THE POLITICAL ENVIRONMENT CHANGES (PAGE 17). THE CRSP MUST BE DESIGNED FOR THIS; TAKING ADVANTAGE OF MISSION SUPPORT WHERE IT IS AVAILABLE, BUT ABLE TO FUNCTION WHEN MISSION SUPPORT IS AT A MINIMUM. MISTAKES HAVE BEEN MADE BY BOTH MISSION AND CRSP STAFF BY ASSUMING WHAT CAN OR SHOULD BE DONE. THE COMMENTS ON TERRITORIAL ISSUES (PAGE 18) RIGHTLY EMPHATICALLY CONTINUING COMMUNICATION WHICH IS ESSENTIAL BUT MONEY INVOLVEMENT MEANS SOME FORM OF ADMINISTRATIVE INVOLVEMENT AND THAT POINT IS CONSPICUOUS BY ITS ABSENCE IN THE DISCUSSION OF THIS ISSUE.

ONE APPROACH MAY BE TO IDENTIFY LINES OF RESEARCH THAT CAN BE ADVANCED FROM THE CRSP TO THE COUNTRY PROGRAM. IN THE FIRST STAGES AFTER GRADUATION, THE CRSP RESEARCH STAFF MAY CONTINUE TO BE INVOLVED AS TECHNICAL CONSULTANTS BUT THE PRIMARY RESPONSIBILITY FOR FUNDING AND OVERSIGHT SHIFTS FROM THE CRSP/ST PROGRAM TO THE MISSION PROGRAM. THE CRSP MAY PROVIDE SOME FORM OF CONTINUING PROFESSIONAL NETWORK FOR PROFESSIONAL EXCHANGE, BUT ITS INVOLVEMENT IN THE COUNTRY INVESTIGATION WOULD BE DELIBERATELY PHASED TO A LOWER PROFILE WITH REDUCED COST. THIS APPROACH WILL REQUIRE SOME ADVANCED PLANNING WITH THE MISSION IN ORDER TO STRENGTHEN LOCAL STAFF THROUGH PARTICIPANT TRAINING AND/OR ENSURE THAT INSTITUTIONAL RESOURCES ARE PROVIDED THROUGH A SUITABLE BILATERAL PROJECT AT THE APPROPRIATE TIME FOR GRADUATION. THE APPROACH HAS THE POTENTIAL TO INCREASE THE RESOURCE FLOW TO PROMISING LINES OF RESEARCH AND SUPPORT THE EVOLUTION AND APPLICATION OF THAT RESEARCH BY BROADER INTEGRATION IN THE COUNTRY PROGRAM.

6. FUTURE LINKS TO NETWORKS AND RETURNED PARTICIPANTS. THE EXPERIENCE OF THE CRSP DEMONSTRATES THAT THERE ARE MANY BENEFITS FROM BROAD-BASED RESEARCH NETWORKS WITH THE PARTICIPATION OF U.S. AND LOC SCIENTISTS INCLUDING RETURNED PARTICIPANTS. THE QUESTIONS ARE, HOWEVER, HOW MANY NETWORKS ARE NEEDED AND WHAT IS THE RIGHT KIND OF RESEARCH LINKAGES. IN THE INITIAL STAGES, THE CRSP RESEARCH PROGRAM WAS LARGELY U.S. PLANNED, BUT THE LOC INPUT WAS INCREASED WITH THE IMPROVEMENT IN CAPABILITY IN THESE PROGRAMS RESULTING FROM THE CONTINUED TRAINING AND WORK EXPERIENCE OF LOC STAFF. THESE YOUNG SCIENTISTS CAN BENEFIT FOR MORE OPPORTUNITIES FOR PEER INTERACTION DURING THEIR PROFESSIONAL GROWTH. THE CRSP MAY AVE TREMENDOUS POTENTIAL TO SATISFY THIS NEED BY ORGANIZING PERIODIC TECHNICAL MEETINGS AND PROFESSIONAL CONFERENCES WHERE BOTH US AND LOC SCIENTISTS PRESENT AND DEFEND THEIR WORK. HOWEVER CARE IS NEEDED. NETWORKING IS A BUZZ WORD AND WE ARE OVER-EXTENDING SOME STRONG TALENT BY INVOLVING THEM IN TOO MANY MEETINGS. UNLESS THEY HAVE TIME FOR CONTINUING SOLID WORK THEIR CAREERS WILL BE LIMITED. MORE BALANCE IS NEEDED BETWEEN THE CRSP, IARC, NATIONAL PROGRAMS, IAC, ETC. AND THE BODY OF NEW TALENT THAT IS TAKING UP THEIR CAREER IN RESEARCH.

7. USAID APPRECIATES OPPORTUNITY TO CONTRIBUTE TO THE CONTINUED EVOLUTION OF THIS USEFUL DEVELOPMENT RESOURCE. FRECHETTE

Mr. Bathrick

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E. O. 12356: N/A
SUBJECT: COMMENTS ON CRSP REVIEW

REFS: (A) LETTER OF 5/1/87 FROM BATHRICK TO AOC'S,
(B) STATE 183463

Mr. Bathrick

1. SUMMARY: USAID HAS REVIEWED THE "COLLABORATIVE RESEARCH SUPPORT PROGRAM REVIEW STUDY" BY HOGAN, RACHIE AND ROBINS. WE ALSO HAVE RECENTLY PARTICIPATED IN A REVIEW (JUNE 1987) OF THE SR-CRSP IN MOROCCO WITH DR. ROBERTSHAW AND ALEXANDER AND THE PARTICIPATING MOROCCAN SCIENTISTS AT THE INSTITUT AGRONOMIQUE ET VETERINAIRE HASSAN II (IAV-HASSAN II). USAID SUPPORTS THE CRSP CONCEPT IN GENERAL. MORE SPECIFICALLY, THE SR-CRSP PROGRAM IN MOROCCO HAS PRODUCED USEFUL RESEARCH AND HAS COMPLEMENTED OUR INSTITUTION BUILDING PROJECT AT IAV HASSAN II. HOWEVER, WE OFFER THE FOLLOWING OBSERVATIONS AND COMMENTS WHICH ARE DRAWN PRIMARILY FROM OUR EXPERIENCE TO DATE WITH THE SR-CRSP, THE ONLY CRSP OPERATING IN MOROCCO. WE BELIEVE THESE COMMENTS ESSENTIALLY AGREE WITH CONCLUSIONS OF THE HOGAN REPORT. END SUMMARY.

2. USEFUL COLLABORATIVE RESEARCH HAS BEEN CONDUCTED BY THE SR-CRSP IN MOROCCO. ON THE MOROCCAN SIDE, THIS HAS BEEN POSSIBLE, IN PART, BECAUSE OF THE HIGH QUALITY OF MOROCCAN SCIENTISTS AT IAV HASSAN II WHO HAVE PARTICIPATED IN THE CRSP PROGRAM. IT IS ALSO DUE TO THE INSTITUTIONAL BACKSTOP WHICH THE INSTITUTE, WITH USAID SUPPORT, HAS BEEN ABLE TO PROVIDE. IN GENERAL, WE BELIEVE THE HOST COUNTRY INSTITUTIONAL BACKSTOP CAPABILITY IS A REQUISITE TO THE RESEARCH MANDATE OF THE SR-CRSP. USAID HAS SUPPORTED THE SR-CRSP IN MOROCCO ON THIS BASIS.

3. ALTHOUGH THE IAV-HASSAN II HAS PROVIDED THE IMPORTANT INSTITUTIONAL BACKSTOP FOR THE SR-CRSP IN MOROCCO AS DESCRIBED IN PAR 2, USAID BELIEVES THAT THE INSTITUTE, WITH ENCOURAGEMENT FROM THE MANAGEMENT ENTITY, SHOULD ENSURE THAT THE SR-CRSP IS LINKED STRONGLY TO THE LIVESTOCK STRATEGY OF THE GOVERNMENT OF MOROCCO AND USAID AGRICULTURE DEVELOPMENT STRATEGY. THE PRINCIPAL LINKAGES WERE IDENTIFIED DURING DISCUSSIONS IN JUNE WITH DR. ROBERTSHAW AND ALEXANDER. FIRST, THE SR-CRSP RESEARCH ACTIVITIES NEED TO BE MORE CLOSELY COORDINATED WITH THE LIVESTOCK DEPARTMENT OF THE MINISTRY OF AGRICULTURE AND AGRARIAN REFORM (MARA), PLAN ROUTENIER. THIS SHOULD HELP TO GIVE THE CRSP A STRONGER, DEVELOPMENT ORIENTED FOCUS, INCLUDING TECHNOLOGY DISSEMINATION, IN SUPPORT OF THE MARA NATIONAL STRATEGY IN SHEEP PRODUCTION. SECOND, THERE ARE OPPORTUNITIES FOR THE SR-CRSP TO

COMPLEMENT THE FORAGE AND LIVESTOCK RESEARCH PROGRAM BEING IMPLEMENTED BY INSTITUT NATIONAL DE RECHERCHE AGRONOMIQUE (INRA) AND THE USAID SUPPORTED DRYLAND AGRICULTURE RESEARCH PROJECT LOCATED AT SETTAT. WE SUGGEST THAT THE PARTICIPATING MOROCCAN RESEARCHERS AT IAV-HASSAN II, WITH ENCOURAGEMENT FROM THE U.S. PRINCIPAL INVESTIGATORS INVOLVED IN THE SR-CRSP, CAN EFFECTIVELY MAKE THESE LINKAGES.

4. IT IS CLEAR THAT THE CRSP'S ARE DESIGNED TO UNDERTAKE COLLABORATIVE RESEARCH ONLY. IT IS ALSO CLEAR THAT RESEARCH FINDINGS NEED TO BE EXTENDED TO APPROPRIATE CLIENTS. HOWEVER, THE CRSP MANAGEMENT ENTITY IS NOT USUALLY IN A STRATEGIC POSITION TO DIRECT TECHNOLOGY DISSEMINATION IN THE HOST COUNTRY. FOR THE MOST PART, TECHNOLOGY DISSEMINATION IS DEPENDENT ON THE ABILITY AND WILLINGNESS OF PARTICIPATING HOST COUNTRY SCIENTISTS TO MAKE THE LINK TO THE TECHNOLOGY TRANSFER SYSTEM. IN THE U.S. THIS DOES NOT APPEAR TO BE A PROBLEM BECAUSE OF THE LAND GRANT MODEL FOR RESEARCH, EXTENSION AND TEACHING. IN MOROCCO, AND MOST HOST COUNTRIES, THE LINKAGE BETWEEN RESEARCH AND EXTENSION IS NOT AS WELL DEFINED. THUS, FOR TECHNOLOGY DISSEMINATION TO SUCCEED, IT IS CRUCIAL THAT THE PARTICIPATING HOST COUNTRY RESEARCH SCIENTISTS MAKE THIS LINK IN SOME WAY. THE CRSP MANAGEMENT ENTITY AND USAID MISSIONS CAN EXERT STRONG ENCOURAGEMENT BUT, UNLESS THE INSTITUTIONAL LINKAGES BETWEEN RESEARCH AND EXTENSION ARE ACTUALLY MADE WITHIN THE HOST COUNTRY BY THE PARTICIPATING RESEARCHERS, IT WILL BE DIFFICULT FOR TECHNOLOGY DISSEMINATION TO OCCUR AS EXPECTED. ADDITIONALLY, IT IS GENERALLY AGREED THAT EFFECTIVE RESEARCH REQUIRES THAT RESEARCHERS RECEIVE FEEDBACK FROM EXTENSION AGENTS AND FARMERS. THUS, THE LINK TO EXTENSION AGENCIES IS DOUBTLESS IMPORTANT.

5. IN OUR VIEW, MANAGEMENT OF THE CRSP'S IN THE PAST APPEARS TO HAVE BEEN somewhat TOP-HEAVY. HOWEVER, USAID COMMENDS THE EFFORTS MADE BY DR. ROBERTSHAW DURING THE PAST YEAR TO REDUCE COSTS BY STREAMLINING THE MANAGEMENT OF THE SR-CRSP. IN ADDITION, DR. ROBERTSHAW HAS BEEN VERY RESPONSIVE TO USAID CONCERNS. WE BELIEVE CONTINUED MANAGEMENT IMPROVEMENTS CAN INCREASE THE EFFICIENCY OF THE LIMITED FUNDING AVAILABLE TO CRSP'S.

6. THE TIGHT BUDGET SITUATION, THAT IS ALREADY AFFECTING THE CRSP'S IS EXPECTED TO AFFECT USAID PROGRAMS IN THE FUTURE AS WELL. THUS, USAID IS NOT OPTIMISTIC ABOUT OUR ABILITY TO SUPPORT THE SR-CRSP IN MOROCCO BY UTILIZING BILATERAL PROJECT FUNDS AS WE DID DURING FY 1987.

7. FINALLY, USAID BELIEVES THAT THE FUTURE OF THE CRSP'S MUST DEAL WITH TWO ESSENTIAL ISSUES. FIRST, MAXIMUM EFFECTIVENESS OF THE CRSP'S WILL DEPEND ON THEIR ABILITY TO CLOSELY LINK AND COMPLEMENT BOTH MISSION AND HOST COUNTRY STRATEGIES. WITH SEVERE FUNDING CONSTRAINTS AHEAD OF US, IT WILL BE ESSENTIAL TO EXAMINE THIS ISSUE CAREFULLY. SECOND, USAID AGREES WITH THE HOGAN REPORT CONCLUSION THAT IF FUNDING LEVELS CONTINUE TO DIMINISH, IT WILL LIKELY REQUIRE EITHER THE ELIMINATION OF PROGRAM COMPONENTS, REDUCTION OF RESEARCH ACTIVITIES ACROSS THE BOARD OR CHANGES IN PROGRAM STRUCTURE. WE SUGGEST THAT REDUCTION OF RESEARCH ACTIVITIES ACROSS THE BOARD IS NOT A VIABLE OPTION AT LEAST FOR MOROCCO. THE PROGRAM IS ALREADY OPERATING AT THE

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MINIMUM LEVEL OF EFFORT REQUIRED TO MAKE IT WORTH
WHILE. THUS, IT WOULD BE USEFUL FOR USAID TO KNOW
NOW THE MANAGEMENT ENTITY OF THE CRSP'S, AS WELL AS
ST/AG, PROPOSE TO HANDLE THIS ISSUE IN THE FUTURE.
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ALWAYS TAKEN AN ACTIVE INTEREST IN CRSP IMPLEMENTATION AND HAS WRITTEN SEVERAL LENGTHY CABLES SUPPORTING CRSP BUDGETS AND OBJECTIVES. IN ADDITION THE MISSION HAS ORGANIZED INTERNAL SEMI-ANNUAL REVIEWS OF BOTH CRSP PROGRAMS.

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MISSION NOTES THAT THE REVIEW TEAM QUITE ACCURATELY POINTS OUT THAT THE ROLE OF THE CRSP IS "LONG-TERM COLLABORATIVE UNIVERSITY RESEARCH" BUT THAT THE CRSP ALSO "SHOULD RECOGNIZE THAT IT IS IMPORTANT THAT RESEARCH RESULTS DO GET INTO A SYSTEM WHICH WILL DELIVER THEM TO FARMERS". MISSION FEELS THAT THE BEST WAY TO DO THIS IS TO INTEGRATE THE CRSP PROGRAM INTO THE PROGRAMS OF LOCAL INSTITUTIONS WHICH ARE RESPONSIBLE FOR AGRICULTURAL RESEARCH AND EXTENSION. AS MENTIONED ABOVE, THE SOIL MANAGEMENT CRSP COLLABORATES VERY CLOSELY AND ACTUALLY SHARES FACILITIES WITH INIPAS'S SELVA PROGRAM WHILE THE SMALL RUMINANT CRSP IS PART OF INIPAS'S NATIONAL LIVESTOCK PROGRAM AND ALSO COLLABORATES WITH SEVERAL NATIONAL AND REGIONAL UNIVERSITIES WHICH ARE PART OF PERU'S AGRICULTURAL RESEARCH AND EXTENSION SYSTEM. WE ALSO FEEL THAT THE CRSP AND AID HAVE A RESPONSIBILITY TO EVALUATE WHETHER IN FACT RESEARCH RESULTS ARE BEING ACCEPTED BY FARMERS AND ARE RESULTING IN INCREASED PRODUCTIVITY.

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E.O. 12356: N/A
SUBJECT: COLLABORATIVE RESEARCH SUPPORT PROGRAM (CRSP)
REVIEW STUDY

M.M. Bottrick

SUMMARY:

1. MISSION CONSENSUS IS THAT SUBJECT REVIEW IS A WELL-DOCUMENTED OVERALL ASSESSMENT OF THE VERY IMPORTANT FOUR OLDEST CRSP PROGRAMS. HOWEVER, MISSION WOULD HAVE APPRECIATED A MORE DETAILED REVIEW OF SPECIFIC SMALL RUMINANT AND SOIL MANAGEMENT CRSP ACTIVITIES IN PERU IDENTIFYING PROBLEM AREAS AND RECOMMENDATIONS FOR IMPROVEMENT. SPECIFIC COMMENTS ON AREAS OF CONCERN OR INTEREST TO MISSION FOLLOW.

2. AID MANAGEMENT EFFECTIVENESS.

MISSION CONCURS WITH REVIEW TEAM ASSESSMENT THAT "THE SYSTEM CURRENTLY BEING EMPLOYED BY AID IN PROVIDING OVERSIGHT AND GUIDANCE TO THE CRSP IS WORKING REASONABLY WELL" WITH THE EXCEPTION OF THE ANNUAL BUDGETING PROCESS. BUDGET CUTS SUCH AS THOSE WHICH OCCURRED EARLY IN THIS FISCAL YEAR, WHILE PERHAPS IMPOSSIBLE TO PREDICT EARLY ON, SHOULD BE PROGRAMMED AS QUICKLY AS POSSIBLE WITH NO ADDITIONAL CUTS MID-YEAR. IN ADDITION, MISSIONS SHOULD BE ADVISED BY CABLE AS EARLY AS POSSIBLE OF SUCH CUTS SO THAT ALTERNATIVE FUNDING MECHANISMS CAN BE IDENTIFIED TO MAINTAIN OR GRADUALLY PHASE OUT SOME PROGRAM ACTIVITIES. WE ARE STILL TRYING TO FIND RESOURCES TO MAKE UP FOR THE SERIOUS CUTS MADE IN THE SOIL MANAGEMENT CRSP EARLY THIS YEAR.

3. CRSP-USAID LINKAGES.

REPORT CONCLUDED THAT COLLABORATIVE LINKAGES WITH FIELD MISSIONS HAVE BEEN UNEVEN, BUT DOES NOT IDENTIFY WHERE LINKAGES HAVE BEEN GOOD OR SPECIFICALLY HOW LINKAGES CAN BE IMPROVED. USAID/PERU HAS INCLUDED, AT LEAST FOR THE LAST FOUR YEARS, BOTH THE SOIL MANAGEMENT AND SMALL RUMINANT CRSPS AS INTEGRAL PARTS OF ITS DEVELOPMENT STRATEGY. A RESULT HAS BEEN THAT THE SOIL MANAGEMENT CRSP HAS PROVIDED THE BASIC FOUNDATION FOR THE CREATION OF A SELVA PROGRAM IN THE NATIONAL AGRICULTURAL RESEARCH AND EXTENSION INSTITUTE (INIPAS) THROUGH RESOURCES FROM THE USAID BILATERAL PROJECT, AGRICULTURAL RESEARCH EXTENSION AND EDUCATION. LIKEWISE, THE SMALL RUMINANT CRSP HAS PROVIDED THE BASIS FOR INIPAS'S NATIONAL LIVESTOCK PROGRAM. THE MISSION ALSO HAS PROGRAMMED SCARCE PL-400 GENERATED LOCAL CURRENCY AS COUNTERPART FOR THE CRSPS. IN FACT, IT IS LIKELY THAT THE PERU FY87 BUDGET FOR ONE OF THE CRSPS WILL BE ULTIMATELY 35 AID FUNDS AND 65 PL-400 COUNTERPART FUNDS. THE MISSION HAS

5. LONG TERM TRAINING.

CRSP LONG TERM TRAINING HAS BEEN COVERED IN THE STUDY, BUT NOT AS AN AREA OF POTENTIAL CONFLICT BETWEEN THE CRSP AND THE USAID MISSION. OUR EXPERIENCE IS THAT WE ARE NOT INFORMED WHEN CRSP PARTICIPANTS ARE SELECTED AND SENT FOR LONG-TERM TRAINING. WE FREQUENTLY HEAR OF THE TRAINING ONLY WHEN WE ARE NOTIFIED THAT A CANDIDATE, OF

WHOM WE HAVE NO KNOWLEDGE, HAS COMPLETED DEGREE REQUIREMENTS AND WILL BE RETURNING TO PERU. IN ADDITION, WE DOUBT THE REVIEW STATEMENT THAT CRSP PARTICIPANTS GENERALLY DO NOT RECEIVE THE SAME PERQUISITES AS REGULAR AID PARTICIPANTS. WE ASK TO BE INFORMED OF PARTICIPANT PROGRAMS AND WHEN THESE PROGRAMS ARE SCHEDULED TO BEGIN AND WHEN THEY WILL END.

6. EFFICIENCY OF OPERATION.

MISSION AGREED THAT CRSPS ARE PROBABLY NO COST EFFECTIVE AS ANY MECHANISM FOR CONDUCTING AGRICULTURAL RESEARCH. THE REVIEW QUITE RIGHTLY POINTS OUT THAT ONE OF THE REASONS FOR THIS IS THE USE OF GRADUATE STUDENTS SUPERVISED BY SENIOR SCIENTISTS TO CONDUCT MUCH OF THE RESEARCH.

MISSION RECOGNIZES THAT ONE OF THE CRSP OBJECTIVES IS TO STRENGTHEN THE CAPACITIES OF U.S. UNIVERSITIES. HOWEVER, WE ALSO THINK THAT OFTEN A DISPROPORTIONATE AMOUNT OF CRSP RESOURCES IS SPENT ON-CAMPUS.

REGARDING MOST COUNTRY CONTRIBUTIONS, OUR EXPERIENCE OVER THE LAST FEW YEARS IS THAT CASH COUNTERPART HAS AVERAGED BETWEEN 30 AND 40 PERCENT OF THE TOTAL CRSP BUDGET AND NOT THE 10 TO 20 PERCENT ARRIVED AT BY THE REVIEW TEAM. IN ADDITION THERE IS ALSO A SUBSTANTIAL IN-KIND CONTRIBUTION. THE EFFICIENCY OF OPERATION OF THE SOIL MANAGEMENT CRSP IN PERU IS MAXIMIZED FURTHER BY THE SWARING OF ADMINISTRATIVE SUPPORT PROVIDED WITH AID FUNDS THROUGH OUR FREE PROJECT. WATSON

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E.O. 12356: N/A
SUBJECT: CRSP REVIEW

Mr Bathrick

REF: (A) STATE 183463. (E) 05/01/87 BATHRICK LETTER TO
ADDS RE: HOGAN REPORT

1. REF B. LETTER AND REPORT RECEIVED AND LOGGED IN BY
MISSION 5/26/87 FOUR DAYS AFTER 5/22/87 DEADLINE FOR
COMMENTS MENTIONED IN REF. B LETTER. MISSION REGRETS
THAT SGT DOES NOT ALWAYS ACCOUNT FOR MAIL TIME AND
DELAYS AS WELL AS MISSION WORKLOAD AND O
HER PRIORITIES
WHEN ASSIGNING DEADLINES.

2. MISSION CONSIDERS CRSP PROGRAMS VALUABLE COMPLEMENT
TO OTHER USAID PROJECTS. WE ARE REVIEWING DOCUMENT AND
PLAN TO CABLE COMMENTS NOT LATER THAN 6/23/87. WATSON

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U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

USAID/Philippines
APO San Francisco 96528

16 JUN 1987

Director David D. Bathrick
Office of Agriculture
Bureau for Science & Technology
Agency for International Development
Washington, D.C. 20523

Dear Director Bathrick:

This letter is in response to your letter of May 1, 1987 (received May 15) requesting I review and comment on the report of the "Collaborative Research Support Program Review Study." Dr. David Cummins has reviewed the report and provided the major inputs for this response. Only one of the four subject CRSP's (Sorghum and Millet) were active in the Philippines, but other CRSP's were or are active here. My comments will tend to be general and not necessarily related directly to the Sorghum and Millet CRSP.

Collaboration was discussed from several aspects, since the CRSP are by design collaborative in nature. In general, good relationships exist among CRSP universities, between CRSP universities and host country institutions, and between CRSP and IARC's. Less favorable and highly variable linkages on collaboration exist between CRSP and USAID Missions. CRSP are important to Missions because they bring scientific expertise to bear on problems that affect host country development. A number of issues are responsible for the high variability noted in CRSP Mission linkages.

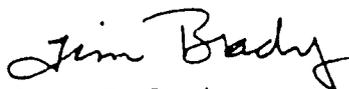
1. Time available for Mission staff to interact with CRSP is a factor. Budget reductions have affected Missions as well as CRSP. A particular CRSP may contribute to only a small portion of the overall Mission portfolio. Mission staff often do not have the time to devote to centrally funded projects, because of demands from the bilateral Mission projects. Most Mission staff have become generalists as staff numbers are reduced, so they should not be expected to deal with technical aspects of all the CRSP. Time constraints and disciplinary background of Mission staff should not always be interpreted as a lack of concern of the Mission for CRSP research.
2. The perception that some Missions are biased against research should be viewed from a number of perspectives. It could be on occasion largely a personal bias, but more likely a true perception of the contribution of research to the development process. Mission projects tend to be short to medium term and focused on efforts with potential for more immediate impact on the clientele, and might include adaptive or demonstrative research rather than longer term research. The CRSP research, by design, focuses on more basic, long-term issues. The difference in short to medium and long-term focus could lead to the

conclusion that CRSP research is not relevant to Mission goals. CRSP research programs have been developed primarily in cooperation with the host country research establishments. In most developing countries there is not a good system for technology flow from research to the end-user and problem identification back to the researcher, which adds to the problem of relevance of basic research. CRSP planning should incorporate more effort to involve the end user in the research planning process to make sure that the research, although long-term, is relevant to local problems.

3. Competition for control of resources is likely to grow with decreasing budgets. Unless there is a major change in AID structure, both centrally funded and Mission-funded programs will continue. Given the reduced funds we will have to make these efforts as mutually beneficial as possible and especially keep CRSP focused on priority problems in the host countries.
4. Good communications are important for success of any endeavor. Frequent and short communications should be provided to the Mission by the U.S. CRSP participants and the host country counterparts. These could identify concerns as well as emphasize successes. More effort should be made by CRSP to identify for the Missions new technology that could be important to other Mission efforts. Voluminous annual reports are often passed over by Mission staff because of time constraints. CRSP should keep Missions informed on the adaptation of research findings in solving country problems. Everyone likes success stories. More effort should be made to develop a system to disseminate information on a regional basis to increase benefit to non-CRSP countries. The good relationships with IARC's could be utilized in this networking process in areas of mutual interest. Cost-efficiency questions on CRSP are in part, a matter of communication. Good communications will minimize the ownership problem when everyone is aware that they are mutually contributing to the development process. CRSP communication with Missions is especially important in maintaining continuity as a Mission's staff transfer and are replaced by new people.

Overall the CRSP are an effective means of generating technology necessary for development. I hope these comments will help in your understanding and enhancing the role of CRSP's in development programs.

Sincerely,



James R. Brady
Chief, Office of Rural and
Agricultural Development

cc: Dr. Malcolm Purvis, ANE/TR/AED

ANNEX 5

Commentary by Dr. Pat Barnes-McConnell

ASSESSING PROGRESS IN THE AID/CRSP PARTNERSHIP
Remarks to AID/CRSP Workshop-7/13/87
Pat Barnes-McConnell, Program Director
Bean/Cowpea CRSP - Michigan State University

I have been asked to speak to three issues:

- A. How the CRSPs see themselves.
- B. A general CRSP response to the Hogan Report.
- C. What the CRSPs would like to see accomplished during this workshop.

Before beginning, I'd like to thank the organizers for convening this workshop and providing the opportunity for us to generate creative responses to the severe challenges which face us. The likelihood that progress can be made is highlighted by the existence of a forum such as this, where we can share the perspectives and the constraints faced by each of our organizations in carrying out our functions. It is no news to anyone here that complicated bureaucracies such as AID and the University system have intrinsic constraints within which its employees must work. Hopefully, by the end of the day tomorrow, as we search for creative solutions to common problems, we will have shared an understanding of these constraints and sorted out where organizational adjustments are possible.

- A. Now let me turn to a vision of the CRSPs. When Hubert Humphrey was sold on the idea of bringing into a partnership the US Land-Grant system, AID and LDCs, it was an exciting notion that caught the attention of many in the development community. AID, with funds for US development efforts, was losing much of its scientific and technical staff. The US Land-Grant system while rich in scientific and technical staff and physical infrastructure important for the conduct of research, was facing limited availability of funds for participation in development. LDCs were short on staff, physical infrastructure and financial resources but had the greatest need for development and the greatest

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potential for contributing commodities markets and natural resources needed by the US. In addition, as the baby boomers moved through the educational system, many universities saw LDCs as the source of new student populations.

Clearly, the partnership, potentially, is extremely powerful but only to the extent that all partners recognize the significance of each of the others as important to their own self interests. From the perspective of the CRSPs, the participating US institutions bring a share of problems, but we also contribute:

1. Millions of dollars worth of research and teaching facilities, software and hardware, the product of long-term investments by other agencies of the Federal government, the states and private sources.
2. Many of the worlds leading scientists, in the array of social and biological disciplines needed to address the troublesome constraints to the availability of food.
3. Established, functioning networks of such scientists convened on the basis of disciplines and commodities.

Why are these networks so important? I know that some people, who don't understand the essential interactive nature of science, see our researchers traveling and think immediately of universities' boondoggling. The significance of scientists from many disciplines constantly sharing their insights and findings is often not appreciated. Yet, such networking is both required for researchers to stay on the cutting edge of their respective science and fundamental for the success of their programs.

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For example, as we work on developing useful responses to drought problems, some researchers have been working on rapidly growing root systems which can follow a receding soil water level; some are concerned with plant architecture and the role of the plant canopy and leaf orientation in moisture retention or plant transpiration rates; some are concerned with soil profiles and the water-retaining capacity of certain soils; some are concerned primarily with crop management including rotation patterns and plant spacing. Such plant physiologists, soil scientists, agronomists, geneticists, etc., must be able to bring their respective understandings together in order for US and HC crop improvement programs to have major impacts. No one line of research is sufficient nor will one solution work everywhere. This is why the CRSPs as mechanisms which bring scientists together on an international scale are so important. This is why successful CRSP/IARC relationships slowly are evolving. And for the scientists, unlike prior individual contracting arrangements, the CRSPs enable them to work effectively in international development while at the same time strengthening their own US programs. Now, as stated by the Hogan Report, we have reached the stage where inter-CRSP, as well as intra-CRSP, cooperation is essential.

4. Finally, the CRSPs bring extensive administrative backup, for both programmatic and financial management. While this last point is not glamorous, it is what allows us to provide a timely response to AID for the many administrative responses needed. Not all of us from among the scientists, administrators, or public officials here or abroad, are equally skilled at making the research network work. The CRSP MOs exist to improve that capacity.

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Thus, in this partnership, the CRSPs are the voice of US agricultural knowledge and technology and they reflect the basic problem-solving orientation and service commitment of the Land-Grant community. In the few years we have been in existence we have not even begun to exploit the power of this resource.

B. Now, I turn briefly to the Hogan Report. This is a very positive and constructive document. There are of course some shortcomings on which we could dwell, but this would be counter-productive. Instead, I'd like to point specifically to two major areas raised in the report which are of particular importance to the CRSPs.

1. CRSP/Mission relations - Needing attention here are such issues as:

a. Mission education regarding the nationalism vs regionalism perspective. While USAID tends to center its concerns and decisions on the needs of the Host Country in which they are located, a regional/global perspective is required of the CRSPs. Additionally, for the CRSPs there is the expectation that CRSP-funded research will contribute to US agriculture. Many CRSP/USAID conflicts are generated by a misunderstanding of this difference in focus. Appreciation of and respect for these differences would open up the possibilities for a more meaningful interaction among CRSP research, national research, and national extension.

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- b. While there are many pressures, both carrots and sticks, on CRSPs to cooperate with the Missions, there appear to be few such incentives or pressures motivating Missions to cooperate with the CRSPs. While, fortunately, there are many instances where amicable and mutually reinforcing relationships exist, generally this is a result of personalities rather than two-way organizational encouragement. This is a complex issue but one which I think can be resolved.
2. The most important area raised in the Hogan Report is that of the level of funding and the financial planning horizon. From this report as well as the reports from our various EEPs, it is clear that the real strength of the CRSPs is their ability to carry out long-term research which has potential for improving and stabilizing Third World and American agriculture. The investment made in the CRSP management structure was to reinforce this ability to function over the long term. Now, multiple, precipitous, and severe funding reductions have brought about abrupt and unanticipated curtailment of scheduled activities. There is a threatened loss of confidence in the CRSPs which, in the face of conflicting professional demands, could seriously undermine the level of commitment required to make these complex programs work. It is important to get the CRSPs back on track, commensurate with the Guidelines, so that project leaders can make three-year plans assured of being able to follow them.
- C. Finally, the critical workshop accomplishment. In line with the issues raised, what I feel must emerge from this workshop is a workable implementation strategy, to which we are all committed, for (1) improving CRSP/Mission

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relations and (2) getting us back on a forward-funding level of sufficient magnitude to allow the CRSPs to plan and implement long-term goals. There are others of course, but from discussions at the recent AUSUDIAP meeting in Rhode Island held with colleagues from the other CRSPs, these appear to be the most critical.

I'd like to close with a quote from one of our PIs, a USDA scientist assigned to one of our participating universities. His letter was written in response to the Hogan Report.

"(The authors) do not seem to be aware that the Bean/Cowpea CRSP (projects) have had a major impact on all US bean improvement activities both public and private. CRSP members are involved in activities of the Bean Improvement Cooperative, the Phaseolus Crop Advisory Committee of the USDA Agricultural Research Service, the National Dry Bean Council, and the western regional bean project W-150, 'Genetic Improvement of Beans for Yield, Pest Resistance and Food Value.' Much of the ongoing work reported at the meetings of these organizations is directly or indirectly supported by the Bean/Cowpea CRSP projects. Furthermore, CRSP publications and meetings have been a great boost to more effective working linkages between the US research institutions whether or not they are directly involved in the CRSP projects. For instance, the widespread sharing (with both public and private institutions) of useful new germplasm for higher biological N₂ fixation (Bliss/Univ. Wisconsin), serodiagnostic identification of strains of BCMV from around the US and the world (Mink/Washington State), and dry bean breeding lines with upright plant habit from Michigan State (Adams-Kelly) and Univ. Nebraska (Coyne). These examples and many more contributions from several interdisciplinary

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fronts are laying the groundwork for unprecedented advances in bean improvements within the next decade or two in the US, much of which may not have come about without the powerful influence (financially and organizationally) of the Bean/Cowpea CRSP."

We clearly have a very important job cut out for ourselves, one that conceivably will take well beyond these two days to accomplish but one that is worth our most sincere and dedicated efforts.

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