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Proceedings of the East Africa Agricultural Research Networking Workshop

Held at the

International Laboratory for Research on Animal Diseases Center
Nairobi, Kenya

January 18–22, 1993

Organized by

Regional Economic Development Support Office / Eastern and Southern Africa
(REDSO/ESA)

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Division of Food, Agriculture, and Resources Analysis
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Bureau for Africa



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Foreword

The Africa Bureau of the U.S. Agency for International Development (USAID/AFR), through its Offices and bilateral Missions, is promoting a strategy for agricultural research in Africa aimed at expanding the use of profitable and sustainable agricultural technology. The increased use of agricultural technology is a necessary condition to achieve sustainable increases in agricultural productivity, which is necessary for economic growth in Africa.

In support of the Africa Bureau's Strategic Framework, AFR and the Research and Development Bureau (R&D) are undertaking a collaborative effort to fund, manage, and monitor USAID's support of selected agricultural research networks in Africa. The purposes for this collaborative undertaking are to increase the development, adaptation, and utilization of profitable and sustainable technology in Africa and to develop, test, and put in place mechanisms that will enable participating national agricultural research systems in Africa to progressively assume greater responsibility for management, funding, and monitoring of regional agricultural research networks. This collaborative undertaking will be complete only when the National Agricultural Research Systems (NARSs) can access expertise, services, commodities, and supplies from International Agricultural Research Centers (IARCs) and other sources to efficiently and effectively manage agricultural research networks and obtain funding for them.

This publication contains the proceedings of a joint meeting held in Nairobi, Kenya, in January 1993. The conference was attended by directors of NARSs for Burundi, Ethiopia, Kenya, Malawi, Rwanda, Tanzania, Uganda, and Zaire; coordinators of the regional research

networks; representatives of the Canadian International Development Agency (CIDA) and the Rockefeller Foundation; and officers from various USAID Offices, including representatives from the R&D Office of Agriculture; the AFR Office of Analysis, Research, and Technical Support (ARTS); the AFR Regional Economic Development Support Office for Eastern and Southern Africa (REDSO/ESA); and field Missions for Burundi, Kenya, and Uganda.

The conference was unique because it represented the first time that the NARS directors have met to consider their role in the management and implementation of the collaborative efforts as a whole. The meeting also represented a major step toward formulating a process and mechanism to empower national leaders to have greater responsibility for management of these activities. This document contains technical papers, reports by networks on strategic plans, and implementation actions that will be addressed over the next year. The document should be particularly useful for the participants at the conference. It should also serve as a useful reference for those individuals and groups that will be faced with and engage in regionalization of agricultural research efforts in Africa. Moreover, regionalization will be a major issue in the years ahead in Africa.

The process of transforming NARSs in Africa into more responsive, efficient, accountable, and well-managed institutions will take time and the combined efforts of national and international, bilateral, and multilateral groups. This meeting was a major first step in building collaboration among these various groups in the effort to build sustainable national research systems in a regional context. The key outcome that makes this an unusual meeting is the for-

mation of an East African Directors Committee to take on responsibility for management of regional research activities.

The conference was organized by REDSO/ESA in consultation with R&D's IARC unit; AFR/ARTS's Division of Food, Agriculture, and Resources Analysis (FARA); and regional research networks, including IARCs and NARSs. Special thanks go to Ralph Cummings, Jr., Hudson Masambu, and Carole Levin for their role in organizing the conference. Special thanks are also extended to the Director General of the International Laboratory for Re-

search on Animal Diseases (ILRAD) for graciously allowing the meeting to be held at ILRAD headquarters in Nairobi.

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Executive Summary

Summary of Proceedings of the Agricultural Research Networking Workshop

The Workshop on Agricultural Research Networking in Eastern and Southern Africa was held at the International Laboratory for Research on Animal Diseases (ILRAD) in Nairobi, Kenya, on January 18–22, 1993. Participating in the workshop were:

- National Agricultural Research System (NARS) directors from Kenya, Uganda, Rwanda, Burundi, Zaire, Ethiopia, Malawi, and Tanzania;
- International Agricultural Research Center (IARC) network coordinators and staff from the International Potato Center (CIP), International Center for Tropical Agriculture (CIAT), International Center for Research in Agroforestry (ICRAF), and International Institute for Tropical Agriculture (IITA);
- U.S. Agency for International Development (USAID) Mission staff from the Regional Economic Development Support Office / Eastern and Southern Africa (REDSO/ESA), Kenya, Uganda, and Burundi;
- USAID/Washington staff from the Division of Food, Agriculture, and Resources Analysis in the Africa Bureau's Office of Analysis, Research, and Technical Support (AFR/ARTS/FARA) and the International Agricultural Research Center in the Research and Development Bureau's Office of Agriculture (R&D/AGR/IARC); and
- other donors from the Canadian International Development Research Center (IDRC), Canadian International Development Agency (CIDA), World Bank, and Rockefeller Foundation.

A more detailed list of participants is attached as Annex 1.

The listed agenda was realized. Additional social events organized included receptions hosted by REDSO/ESA and ICRAF and a final dinner hosted by CIP. ILRAD provided the meeting facilities, CIP made the local arrangements, and REDSO/ESA and R&D/AGR/IARC convened and organized the meeting.

The most tangible results of the workshop were:

- Arrangements and procedures were clarified for the current one-year grants.
- Prospective proposals, procedures, and schedules were reviewed for the two-year grants to be submitted in the spring.

The workshop's major accomplishment, however, was the creation of a very positive environment in which the NARS directors in the region enthusiastically agreed to organize to take on regional leadership for agricultural research, including oversight of the respective networks.

Agreements were reached on the following specific points of interest and issues:

- The monitoring criteria, including agreed performance and impact indicators, were clarified with the networks.
- The time horizon for funding was specified as two additional years, with the possibility (although not probability) of additional funding based on performance and availability of funding. The two-year remaining authorization of the Policy, Analysis, Research, and Technical Support (PARTS) project and the rather restrictive language in the memorandum of understanding

(MOU) between AFR/ARTS and R&D/AGR will need to be revisited in order to extend funding.

- The level of funding was specified at \$450,000 per network per year, although the second year could be adjusted within the \$1.8 million total for the four networks by the Directors Committee (committee of NARS directors) based on transparent criteria.

The Research and Development Bureau's Office of Environment and Natural Resources (R&D/ENR) contribution to the Agroforestry Research Networks for Africa (AFRENA) must be clarified. REDSO/ESA has been informed that R&D/ENR has transferred its money for the current year (this information is not consistent with ICRAF understanding) and will contribute \$300,000 to \$500,000 yearly in FYs 1994 and 1995. REDSO/ESA is not clear about the status of the FY 1993 contribution. However, REDSO/ESA advised AFRENA to plan on the basis of \$300,000 each year in the upcoming two-year grant period.

- USAID Missions were encouraged to support country-level research related to network activities with bilateral funding. It was not considered to be practical—both because of timing and Mission program accountability—to expect that Missions would contribute directly to core network support.
- Program monitoring of USAID support for network activities will be carried out by REDSO/ESA and R&D/AGR/IARC (using consultants).
- Financial management of network activities supported by USAID will be carried out by R&D/AGR/IARC (Carole Levin will be the direct contact and will make up to

two visits per year to the region) supplemented by monitoring information from R&D/AGR/IARC consultants and REDSO/ESA (Hudson Masambu and Richard Pellek). A schedule will be worked out with network coordinators to minimize inconvenience and maximize effectiveness.

- The management structure of the networks will consist of:
 - ◆ The NARS directors of research will constitute a Directors Committee, which will have policy oversight for the four networks and other matters as appropriate. The Directors Committee will meet at least annually, probably in late January or early February of each year.
 - ◆ Each of the networks will constitute Steering Committees of technical participants, usually program leaders in the respective countries, to review and plan research, including allocating research tasks and budget, subject to review by the Directors Committee.
- R&D/AGR/IARC will consider requests from the Directors Committee for use of its consultants to provide advice and guidance on specific topics such as priority setting, financial management, monitoring, and evaluation techniques.
- Evaluations of the four networks will be scheduled to be completed by January 1995 to:
 - ◆ be reviewed and responded to by the Directors Committee meeting in late January or early February 1995, and
 - ◆ be completed in time for consideration for additional funding (approved proposals to be submitted to the Contracts Office by approximately May 1) in the following fiscal year.

Efforts will be made to consolidate the evaluation process so as to reduce the inefficiency of four separate evaluations. Ex-

ternal costs of the evaluation(s) will be met from the project funding withheld by R&D/AGR/IARC, although the networks are encouraged to include a budget item to cover their participation in the evaluation, if desired.

- The grants will be audited yearly. The networks were advised to consult with the regional Inspector General (IG) office for advice on approval of auditors, scopes of work, and budgets. REDSO/ESA will obtain scopes of work and budgets from audits of the past grants. R&D will attempt to determine whether IG responsibility will reside in Nairobi or Washington.
- R&D/AGR/IARC has held back \$100,000 in FY 1993 and will hold back \$200,000 in each of FYs 1994 and 1995 to cover the costs of monitoring and management, including consultancies that may be requested by the Directors Committee and the final evaluation. R&D/AGR/IARC will investigate the possibility of covering Carole Levin's network-related management and monitoring responsibilities, including network-related travel, from the grant funds.
- The concept and purpose of the USAID Logical Framework Matrix, or logframe, was explained in detail. Individual assistance was provided to CIP and IITA, and guidance material was distributed to each of the networks.
- The networks were asked to provide the following reports in the next grant period:
 - ◆ Quarterly financial reports to R&D/AGR/IARC.
 - ◆ Semiannual progress reports—by April 1 and September 1 of respective years, so as to be able to provide input to Assessment of Program Impacts (API) reports—and an end-of-project report on agreed performance criteria and indicators of impact consistent with the logframe to R&D/AGR/IARC (five copies) and AFR/ARTS/FARA, REDSO/ESA, relevant Missions, and other donors.
- Individual sessions with each of the networks reviewed prospective project proposals for the next two years against a project proposal format (revised version attached as Annex 5) that explicitly covered the major items specified in the MOU between AFR/ARTS/FARA and R&D/AGR/IARC. The networks were requested to submit proposals no later than April 1, 1993 (with copy to R&D/AGR/IARC) to the interested parties in order to make the estimated May 1, 1993, Contract's Office submission deadline. R&D/AGR/IARC will deliver copies of the proposals to AFR/ARTS/FARA as required. Other copies will be mailed directly to interested parties. R&D/AGR/IARC will alert the other parties when it receives its copy. Comments from other parties, if offered, will be expected to be received by April 15.

Glossary of Acronyms and Abbreviations

AFR	Bureau for Africa
ARTS/FARA	Office of Analysis, Research, and Technical Support / Division of Food, Agriculture, and Resources Analysis (USAID)
AFRENA	Agroforestry Research Networks for Africa
ANR	agriculture and natural resources
API	Assessment of Program Impact
ARTI	Agricultural Research and Training Institute (Tanzania)
CIAT	International Center for Tropical Agriculture
CIDA	Canadian International Development Agency
CIMMYT	International Wheat and Maize Improvement Center
CIP	International Potato Center
COSCA	Collaborative Study of Cassava in Africa
DFA	Development Fund for Africa
DUNS	Dun and Bradstreet Universal Numbering System Number
EC	European Community
EEC	European Economic Community
ESARRN	East and Southern Africa Root Crops Research Network
EPR	end-of-project review
FSN	Foreign Service National
FY	fiscal year
GOB	Government of Burundi
GOR	Government of Rwanda
GOU	Government of Uganda
GOZ	Government of Zaire
IAR	Institute of Agricultural Research (Ethiopia)
IARC	International Agricultural Research Center
IDRC	International Development Research Center (Canadian)
ICIPE	International Center for Insect Physiology and Ecology
ICRAF	International Center for Research in Agroforestry
IITA	International Institute for Tropical Agriculture
IG	Inspector General (U.S. Government)
ILRAD	International Laboratory for Research on Animal Diseases
INERA	National Research Institute (Zaire)

IPM	integrated pest management
ISABU	National Institute for Agricultural Research (Burundi)
ISAR	National Institute for Agricultural Research (Rwanda)
KARI	Kenya Agricultural Research Institute
LOC	letter of credit
LOP	life of project
LTC	Land Tenure Center (University of Wisconsin)
M&E	monitoring and evaluation
MOU	memorandum of understanding
NARS	National Agricultural Research System
NGO	nongovernmental organization
PACD	project assistance completion date
PARTS	Policy Analysis, Research, and Technical Support Project (USAID)
PNAP	National Potato Program (Rwanda)
PSC	personnel services contract
PRAPAC	East and Central Africa Potato Improvement Program (Renamed PRAPACE in 1992)
PRAPACE	East and Central Africa Potato and Sweet Potato Improvement Program
R&D	Bureau for Research and Development (USAID)
AGR/IARC	Office of Agriculture / International Agricultural Research Division
ENR	Office of Environment and Natural Resources
REDSO/ESA	Regional Economic Development Support Office / Eastern and Southern Africa (USAID)
RFMC	Regional Financial Management Center (USAID)
SAADC	Southern Africa Assembly for Development Coordination
SAARFA	Strengthening African Agricultural Research and Faculties of Agriculture
SOW	scope of work
SPAAR	Special Program for African Agricultural Research
TA	technical assistance
TDT	Technology Development and Transfer
TIN	tax identification number
USAID	U.S. Agency for International Development
USAID/W	USAID / Washington, D.C., headquarters office
USDA	U.S. Department of Agriculture

Introduction

During the period 1982–1992, the Bureau for Africa of the U.S. Agency for International Development (USAID) worked to implement the Support to African Agricultural Research and Faculties of Agriculture Project (SAARFA) in sub-Saharan Africa. SAARFA is implemented in collaboration with the International Agricultural Research Centers (IARCs) and the National Agricultural Research Systems (NARSs). The goal of SAARFA is to contribute to increased food production as well as to increased agricultural productivity, thereby improving the incomes of the small-scale farmers in the region. The purpose of the project was to strengthen NARSs and to establish information exchange as well as collaborative agricultural research networks within the region. The SAARFA project had an initial project completion date of September 30, 1992, which was later extended to July 31, 1993.

In the East and Southern Africa region, the Regional Economic Development Support Office (REDSO/ESA) has been formally responsible for the following SAARFA subprojects:

- International Center for Tropical Agriculture (CIAT): East Africa Bean Research Network Project;
- International Center for Insect Physiology and Ecology (ICIPE): Bases of Plant Resistance to Insect Attack Project;
- International Wheat and Maize Improvement Center (CIMMYT): Farming Systems Research Project;
- International Potato Center (CIP): Potato Research Network in East and Central Africa Project;
- International Institute for Tropical Agriculture (IITA): East and Southern Africa Root Crops Research Network Project; and
- International Council for Research in Agroforestry (ICRAF): Agroforestry Research Networks for Africa Project (monitoring role).

Through the SAARFA project, a Foreign Service National personnel services contract (FSN/PSC) position was established in REDSO/ESA to facilitate the implementation of this project. REDSO was responsible for both technical and financial management of the grants. Following successful and positive end-of-project evaluations, four of these networking projects were recommended for further funding through the Policy Analysis, Research, and Technical Support (PARTS) project and are currently being implemented. These projects' distribution in the region is shown in Table 1. The management and monitoring of these four agricultural research networks formed the core of the discussions at the Workshop on Agricultural Research Networking.

Opening Session

The workshop was opened by Dr. A.R. Gray, Director General of the International Laboratory for Research on Animal Diseases (ILRAD). Participants were welcomed to visit the ILRAD facilities during the workshop. Dr. Gray was followed by Fred C. Fischer, Director of REDSO/ESA, who gave the introductory speech (included as Annex 2), and Dr. Ralph Cummings, from R&D/AGR/IARC in Washington, D.C., who gave a brief statement on the objectives of the workshop and an overview of the agenda.

Table 1. Current PARTS Subproject Sites and Centers

Organization (IARC)	World Headquarters	Regional Headquarters	Stations in ESA Region
CIAT	Cali, Columbia	Debre Zeit, Ethiopia; <i>moved to:</i> Dar Es Salaam, Tanzania	Kawanda Station, Kampala, Uganda Thika Station, Kenya
CIP	Lima, Peru	Nairobi, Kenya	Ruhengeri Station, Eastern Rwanda; Gisozi Station, Central Burundi; Mulungu Station, Eastern Zaire; Kalyengeri Station, Western Uganda
IITA	Ibadan, Nigeria	Lilongwe, Malawi	No project substations
ICRAF	Nairobi, Kenya	Nairobi, Kenya	Offices in Uganda, Rwanda, Burundi

Purpose of the Workshop

The workshop brought together all those involved in the networking activities in the region for the first time since the beginning of the networks. This workshop set out to accomplish the following:

- identify and establish the different roles of each party in the networking function;
- formulate and agree on the management strategy for all parties involved in these activities;
- establish sources and approximate levels of funding;
- formulate and agree on the implementation schedule; and
- formalize the increased role of the NARS.

USAID is committed to the networking function in African agricultural research and believes that this may be one way of dealing with the question of overall regional development. Hence, the high level of representation at the workshop. The group was expected to come

up with encouraging results during the week of joint discussions and provide some insights on the basic question regarding how donors and NARS wish to perceive and handle networks in the near future.

Workshop Agenda

REDSO/ESA—in collaboration with the Division of Food, Agriculture, and Resources Analysis in the Africa Bureau’s Office of Analysis, Research, and Technical Support (AFR/ARTS/FARA) and the International Agricultural Research Division in the Research and Development Bureau’s Office of Agriculture (R&D/AGR/IARC)—organized this meeting between key participants in the Regional Agricultural Research Network Projects implemented by the IARCs and NARSs within the region. The need for the meeting arose because of changes in both funding sources and management responsibilities within USAID regarding these agricultural research projects. The purpose of the meeting was to facilitate:

- an understanding of expectations and management procedures of the USAID/Washington (USAID/W) funding; and
- planning for future USAID/W support and REDSO's evolving role, including:
 - ◆ expectations and funding support from AFR/ARTS/FARA through R&D/AGR/IARC;
 - ◆ expectations and funding support from bilateral USAID Missions and other donors;
 - ◆ clarification of the management responsibilities among the IARCs, USAID, NARSs, and REDSO's monitoring role; and
 - ◆ guidelines to networks regarding content and timing of workplan and budget submissions.

To facilitate effective participation and discussion, each network had available at the meeting the five-year proposals that were prepared and submitted to REDSO/ESA and USAID/W in anticipation of FY 1993 funding. The workplan for the current phase of the project, along with the umbrella five-year proposals, were reviewed and discussed in relation to further funding requirements. The review process covered the projected two-year funding time frame and focused on the following:

- each network's strategic plan for network development leading to increased management responsibility and funding by the NARS, increased NARS efficiency, and increased use of developed agricultural technology; and
- specific concerns of those USAID Missions that contribute financial support to the networks.

The following specific subjects were discussed:

- Network objectives and arrangements as seen by network coordinators and steering committees, USAIDs, AFR/ARTS/FARA, R&D/AGR/IARC, and REDSO/ESA. Following the successful implementation of the SAARFA project, there has been a need to discuss and agree with all parties concerned about the continuation of the networking projects. Specifically, there was a need to articulate and agree on the overall objectives of the networking concept, which will form the basis of the structure of future proposals as well as funding mechanisms and sources.
- The meetings of R&D/AGR/IARC, REDSO/ESA, AFR/ARTS/FARA, relevant USAID Missions and other donors reviewed network proposals and tabled network specific issues. In the plenary sessions, each network presented its strategic plan for increasing management and funding by the NARS, and the current status of implementing the strategy. The order of network presentations was: beans—CIAT; potatoes and sweet potatoes—CIP; agroforestry—ICRAF; and cassava—IITA.
- USAID Missions and other donors expecting to continue funding/working with the networks in the future also wanted to schedule separate meetings with the respective networks.

General Information

During the workshop, guidance was proffered the participants regarding type of networks, characteristics of good networks, and REDSO/ESA's role in agricultural research networking projects. Copies of this guidance are attached as Annexes 3, 4, and 5, respectively. In addition, copies of the preliminary draft of the "Strategic Framework for Agricultural Technology Development and Transfer in Sub-Saharan Africa" were provided to the participants.

AFR/ARTS/FARA Strategy for Agricultural Research in Africa

AFR/ARTS/FARA was represented at the workshop by Dr. Jeff Hill, who has been involved in the management of the SAARFA project since 1991. The purpose of the AFR/ARTS/FARA presentation was to provide certain background information on the following subjects:

- the Africa Bureau's investment in agricultural research;
- approaches to technology development and transfer being promoted by the Africa Bureau; and
- the Africa Bureau's approaches to progress monitoring and impact assessment.

DFA Funding

Funding from the Development Fund for Africa (DFA) is subject to congressional influence. Congress has stated its intention to make the Africa Bureau responsible for achieving broad-based and sustainable market-led growth in the region with available funds. To ensure that these objectives are being realized, Congress must also be briefed on the status of the DFA implementation through annual reports from the field that can be relied upon.

The distribution of DFA funds for both project and nonproject funds was illustrated by a pie chart (Figure 1). The percentages in the pie chart reflect the following three key aspects related to investing in agricultural research:

- increasing commitment to policy reform to improve the environment for investment in the agricultural sector and to improve the efficiency of agro-based services;
- increasing commitment for natural resources management that may lead to further devel-

opment and hence sustainability of the programs within the region; and

- increasing commitment to income-generating activities through increased investments in marketing and agro-business activities.

Strategic Framework for Agricultural Technology Development and Transfer

The purpose of the strategic framework is to guide the Africa Bureau and field Missions in supporting technology development and transfer. The framework promotes support for the development and use of profitable and sustainable technology that permits increased output of commodities, while maintaining the natural resources base. The framework promotes the development of a sustainable institutional framework, including both the private and public sectors, for utilization by the national technology systems.

The framework recommends many changes in the approach to technology development and transfer as practiced by many countries and technology systems, including a shift from supply-oriented development (focus on production) to demand-oriented development (focus on the demand for a commodity in domestic, regional and international markets).

The framework places emphasis on contributing to sustained economic growth and food security according to the following three main premises:

- technology alone cannot achieve sustainable increases in productivity;
- linkages between markets, technology, and the natural resources base must be reinforced to achieve sustainable produc-

- tivity; and
- technology is a potential contributor to economic growth.

The technology development and transfer process is influenced by policy, markets, and institutions that assist in creating an enabling environment for economic growth.

TDT Concepts

The main concepts within a technology development and transfer (TDT) process are characteristics of the approach recommended by the strategic framework. Each concept affects the performance and efficiency of technology systems and thereby influences the utilization and economic impact of agricultural technology. Six such concepts are highlighted below:

- demand-driven;
- sustainability;
- subsector (commodity systems development);
- comparative advantage;

- accountability; and
- collaboration.

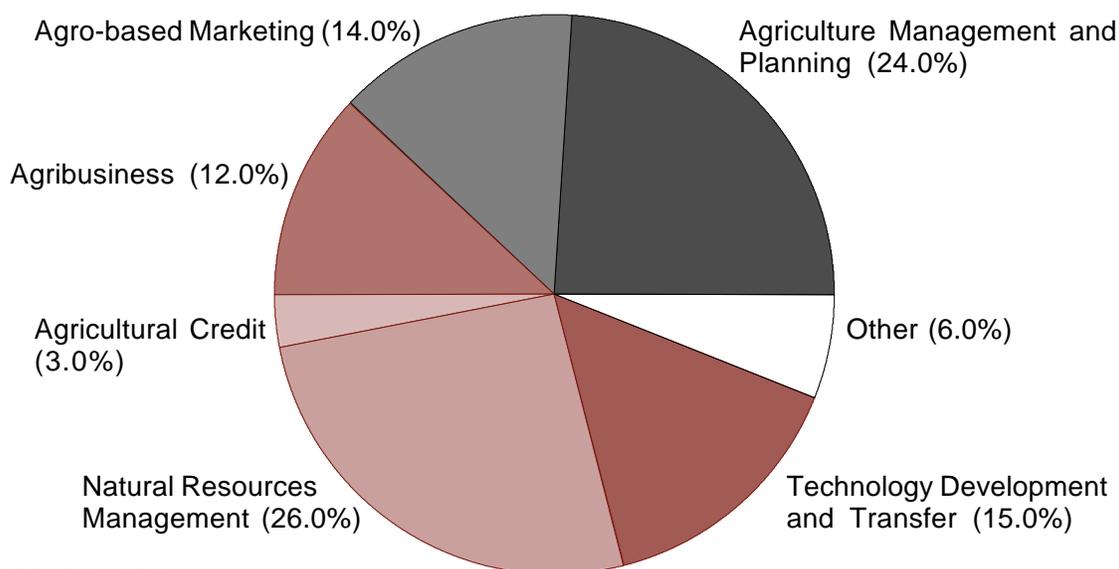
Demand-Driven TDT Concept

The demand-driven TDT concept places emphasis on the economic and market demand signals for a commodity, derived from an assessment of local, regional, and international markets and the economic environment of these markets. Adherence to this concept will lead to a balance between the demand for agricultural commodities and their supply. It will also provide opportunities for linking production and income generation. This link is essential for food security and economic growth. It emphasizes criteria in priority setting that promotes close links with markets, research, and the end user of technology.

Sustainable TDT Concept

A sustainable technology focuses on developing and transferring technologies that continue to contribute to economic growth over time

**Figure 1. DFA Percentage Allocations FYs 1990–93:
Agricultural and Natural Resources**



Source: DP ABS 4/27/92

without depleting the natural resources base, which, in turn, builds a sound financial base for technology development and transfer activities.

Subsector (Commodity Systems) Development Concept

Subsector (or commodity systems) development refers to viewing TDT within a broad system that includes policies, all phases of production, postharvest handling and marketing, and a series of logical steps to identify and resolve constraints. It recommends that research be applied to address production processing, storage, and utilization policy constraints needed to increase productivity and income.

Comparative Advantage Concept

The comparative advantage concept emphasizes the benefits from building on relative strength(s) that exist or may be developed. It has applications with regard to:

- criteria to select priorities for research;
- institutional capacity to develop, verify, or steward technology; and
- specialization in an eco-regional context.

Accountability Concept

Accountability refers to responsibility to ensure that the benefits of research justify the investments. The concept touches on:

- the way research links to its clients and users;
- the way resources are allocated within the research system;
- the responsibility for use of resources;
- the role and capacity of management and financial systems to support a new way of doing business; and
- relating promotion and incentives to performance.

Collaboration Concept

The collaboration concept refers to open discussion and cooperation to ensure that both public and private sectors participate and, in fact, that the strategic framework promotes the collaboration between the public and private sector groups. To achieve this, the concept promotes coordination efforts to help identify the strengths and interests of each group that will encourage specialization.

The strategic framework promotes eco-regional collaborative research efforts. It promotes these efforts to increase efficiencies in research and to ensure access to knowledge and technology that exists in the international community.

Progress Monitoring and Impact Assessment

USAID encourages progress monitoring and impact assessment to facilitate an understanding of the process underway. This understanding will facilitate management to increase the likelihood of achieving the desired impacts. Progress monitoring and impact assessment are ongoing activities.

The presentation on TDT was supported at the workshop by two presentations reporting on research impacts as listed below:

- A presentation by Daniel Karanja, covering “Economic and Institutional Analysis of Maize Research in Kenya.” This paper indicated that maize research investment in Kenya yielded a rate of return of over 60 percent over the past 30 years.
- A presentation by Jim Oemhke of Michigan State University, covering a wide range of studies on rates of return on African agricultural research investments.

Proceedings of the Specific Network Sessions

Future USAID Support to Networks

Future USAID support to networks was addressed at the workshop through a separate joint session for each of the networks attended by representatives of USAID, IARCs, and the NARSs participating in the research networks. Network-specific topics were discussed and agreed upon regarding future activities that could be considered for additional USAID financial support. Guidelines developed to facilitate preparation of network proposals were distributed and discussed (Annex 5). A review of the existing proposals was also carried out, and weaknesses in the proposals were pointed out during the discussions. Typical comments and criticisms regarding network proposals included the following:

- To execute a grant, USAID's contract office will need:
 - ◆ a scope of work, pulled out of work submitted by networks;
 - ◆ a budget, including an outline of how USAID funds will be used;
 - ◆ certifications, to be handled by IARC headquarters; and
 - ◆ biographical data sheets, to be signed by employee(s) and network coordinator; guidance on the completion of these forms will be made available from R&D.
- The current grants indicate that a yearly audit must be done. However, these grants do not include a line item for these audits in the budget. The R&D offices, in collaboration with other USAID/W offices, will sort this issue out.
- The proposal format was reviewed in detail, and the following were group comments and observations:
 - ◆ Proposals need to indicate the complete network budget and source of funds, with emphasis on relative contributions by USAID and the NARSs since management is to shift to the NARSs.
 - ◆ Logframes need to be rewritten with quantifiable indicators of achievement closely linked to the monitoring and evaluation plan.
 - ◆ The networks should be evaluated only once—by January 1995—to allow time for the review of results by the Directors Committee and submission of new proposals in time for USAID contracting deadlines.
- The following quarterly and yearly progress reports will be prepared by the grantees:
 - ◆ quarterly financial reports;
 - ◆ brief quarterly progress reports (for current grant only); and
 - ◆ semiannual progress reports due each March 15 and September 15 throughout the grant period.
- *Logical Framework*: Lengthy discussions ensued concerning what constitutes a logframe and how it should be prepared. AFR/ARTS/FARA will provide specific written suggestions and comments on how to improve the logframes in the five-year network proposals already prepared. In addition, R&D/AGR/IARC will send USAID materials that define logframes and their associated methodology to all the network coordinators. Brief summary materials were

handed out during the workshop to the network coordinators regarding how to develop and write a logframe. USAID noted that the logframe needs targets for increasing both productivity and institutional development.

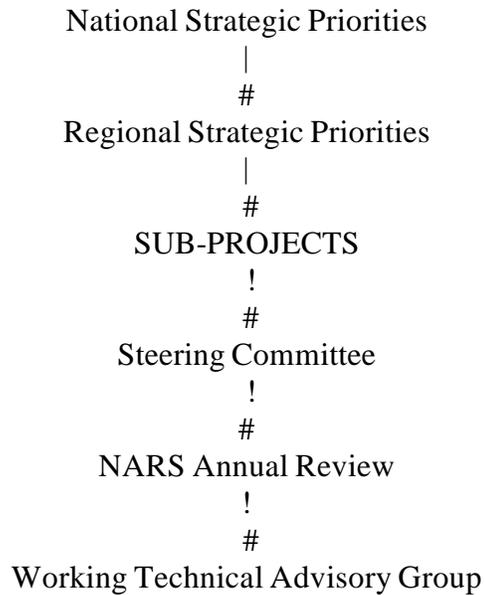
CIAT—Bean Research in Eastern Africa

The coordinator of the Bean Research in Eastern Africa project, Roger Kirkby, presented an introductory outline of the CIAT bean program in the region. He pointed out that beans are primarily a subsistence crop in eastern Africa with increasing cash crop potential. However, green bean production is rapidly outstripping demand. Demand for beans has increased by 72 percent in Africa, compared with 33 percent in Latin America.

The CIAT bean program started in Africa in 1986 on a pan-African basis with countries grouped into three subnetworks, each having its own decision-making structure. At present, these subnetworks include the Great Lakes Network, the East African Network, and the SAADC Network. Each subnetwork has a separate Steering Committee and a separate Directors Committee that assists in overseeing implementation.

Subprojects are normally funded for less than \$2,000 initially to see if they are feasible. Usually, they are expected to last for no more than five years and are designed to address a single research theme. Much of the bean diversity that is found in Latin America has been introduced into Africa through germplasm exchange via CIAT headquarters in Columbia.

The three subnetworks operate through regional research subprojects as follows:



Through organized location-specific surveys implemented by CIAT and the NARSs, key bean production constraints have been identified as follows:

- poor plant nutrition due to insufficient nitrogen and phosphorous;
- the availability of staking materials for the promotion of climbing bean technologies;
- poor yield potential due to genetic limitations;
- anthracnose as a major bean disease; and
- bean fly (not found outside Africa) as a major pest.

Training

Most of the technical personnel working on bean research in the NARSs has been provided bean research–related training through the network. CIAT has successfully transferred the network’s training responsibilities to the NARSs, and future training of technicians will be the responsibility of the NARSs.

Role of CIAT

As the role of the NARSs increases in the management of the networks, CIAT’s role also

is shifting to include the following major activities:

- assisting in research planning, at both the national and regional levels;
- facilitating and supporting information exchange and provide guidance about bean research; and
- carrying out research on specific strategic, and sensitive, subjects for the benefit of the whole region.

Impact

The following results were cited as evidence of network impacts achieved to date:

- The introduction of climbing beans into bush bean areas doubled bean yields without the use of additional fertilizer or other inputs.
- An estimated 50 percent of all Rwandan farmers have now adapted planting techniques for use of climbing (versus bush) beans, exhibiting a marked preference for a variety that was only released some four years ago.
- The use of new technologies has resulted in estimated increases in the value of regional bean production to \$10 million annually from crop harvest alone.

Dr. Cyrus Ndiritu, Director of the Kenyan NARS, the Kenya Agricultural Research Institute (KARI), pointed out that, besides the release of new bean varieties, the network has enabled Kenya to identify constraints and plan crop-specific research accordingly. In addition, the network has aided tremendously in KARI's institutional development to where Kenya now has a five-year master plan for bean research.

Specific Issues Raised

The NARS bean representatives at the session expressed concern about the equal division of

financial resources among the networks. Based on the different sizes and different levels of activities between the various networks, should the \$2 million-per-year USAID funding be divided equally among the networks as now occurs? There seems to be no immediate solution to this problem, since all networks have been advised to prepare their proposals according to this equal division guidance—that is, \$450,000 per year for each network. However, as management shifts from the IARCs/Coordinating Units to the NARSs, the Directors Committee is expected to have the opportunity to revisit this issue.

From the \$2 million-per-year USAID funding, R&D will retain \$200,000 for its management responsibilities. AFR/ARTS/FARA recommended that the networks submit supplementary proposals to obtain the services of the consultants hired by R&D to assist the NARS in selected areas of expertise.

Bean Network Strategic Plan

Kirkby presented a strategic plan to the workshop. The plan outlined future network activities, including the gradual shift/transfer of management responsibilities from the IARC to the Directors Committee of the NARSs.

CIP—Potato and Sweet Potato Research in Eastern Africa

Project Coordinator Dr. Marco Soto presented the history of the East and Central Africa Potato Improvement Program (PRAPAC) network, which began activities in 1982 with only Rwanda, Burundi, and Zaire as members. Financial support from USAID started in 1986 through the SAARFA project. In 1987, Uganda joined the network. The network became the East and Central Africa Potato and Sweet Potato Improvement Program (PRAPACE) in 1991, when sweet potatoes were included as a second crop and Kenya and Ethiopia joined.

The network is managed by two commit-

tees, the Directors Committee and the Executive Committee, with both managerial and technical backstopping responsibilities for the committees provided by CIP.

Directors Committee

The Directors Committee is composed of the six NARS directors chaired by an elected President on a rotational basis. The Project Coordinator is the secretary to this committee, and CIP is represented by its regional representative, Dr. Sylvester Nganga. This committee determines and directs policies that govern the network's activities. The committee also supervises the project coordination/implementation unit, including hiring of senior project personnel. This committee has its own terms of reference and bylaws that governs its operations.

Executive (Steering) Committee

The Steering Committee is composed of the heads/coordinators of potato and sweet potato programs of the member countries. The major function of this committee is to prepare national collaborative research plans for utilization by the scientists within the region for potato research. The committee also designs and implements training programs and technical assistance and monitoring plans. During its annual meetings, this committee reviews and agrees on the network's annual workplan.

CIP does not have exclusive policy or management responsibility for the network's operations but only maintains oversight responsibilities concerning project implementation. It also assists with donor relations, including channeling of funds to the NARS programs.

The overall goal of the network is to develop and introduce high-yielding, disease- and pest-resistant varieties, and suitable production technologies to the farmers of the region through strengthening of the NARSs. Key objectives of the network include:

- institutionally sustainable NARSs;
- genetically improved planting materials to farmers;
- improved pest control capacity;
- promotion and support of on-farm research; and
- established capacity to provide technical assistance to the farmers.

Key constraints that have been identified through surveys by both the NARSs and the network as limiting the production of both potatoes and sweet potatoes are as follows:

- use of poor- or low-yield potential varieties;
- diseases—late blight, bacterial wilt and viral diseases, and sweet potato virus;
- nematodes and other pests, such as tuber moth and sweet potato weevil;
- lack of effective seed development programs;
- postharvest losses; and
- lack of quality planting material (and its production).

Since 1986, breeding programs within the region released the following numbers of new varieties to regional farmers: Burundi, 10; Rwanda, 14; Uganda, 4; and Zaire, 2.

The basic seed production programs have increased their activities as indicated in their production levels listed below:

	1980	1992 (in metric tons)
Rwanda	23	662
Burundi	15	337
Zaire	15	30

Areas under new potato varieties have increased over time as follows:

	1981	1991 (in hectares)
Rwanda	77	35,000
Burundi	50	13,000
Zaire	50	5,511

Over the project period, a substantial number of technical personnel have been trained in potato research and production technology: Burundi, 79; Rwanda, 63; Zaire, 57; and Uganda, 63.

Other major achievements of the network include:

- a system of seed production has been developed in Burundi to control bacterial wilt;
- 75 percent of potato varieties grown in Burundi are now PRAPAC varieties; and
- a new diffuse-light storage method has been adopted for use in Burundi.

The network plans to approach sweet potato research differently than that used for potatoes, since sweet potatoes are more of a subsistence crop.

Specific Issues Raised

During the discussions, it was observed that PRAPACE is the only network with a functional training center, and the Directors Committee was advised to promote joint planning for its utilization. The participation of the Directors Committee in the policy and management of the network has been accepted as a significant positive development that provides an excellent model for the other networks on the successful achievement of the projects' management/NARS strengthening objectives.

Potato and Sweet Potato Network Strategic Plan

Soto presented a strategic plan to the workshop. The plan outlined future network activities, including the gradual shift/transfer of management responsibilities from the IARC to the Directors Committee of the NARSs.

Soto further reviewed the network's organizational structure. During Phase I, CIP and Soto were responsible for network financial management. During this second phase, the

Directors Committee will take over full financial management responsibilities. Within the next five years, the network—that is, the Directors Committee—will be managing all potato research activities without CIP coordination support, provided NARSs' financial positions continue to improve. The same process as for potatoes is envisaged for sweet potato development—that is, up to 8 to 10 years for crop research management responsibility to be assumed by the NARSs. During the next two years, CIP and the NARSs plan to:

- produce potato germplasm with resistance to nematodes;
- work with seed companies in seed potato multiplication; and
- assist in the diffusion of new cultivars.

IITA—Root Crops Research in Eastern and Southern Africa

In 1985, the heads of the root crops programs in the Eastern and Southern Africa region held their first informal meeting in Kampala, Uganda. As a result of this meeting, a formal network was formed in 1987, with financial support from USAID and the Canadian International Development Research Center (IDRC) and technical backstopping from IITA. The major purpose of the network was to strengthen the NARSs' ability to identify research priorities and constraints and to establish the capacity to plan and implement research aimed at alleviating those constraints.

During the initial stages of the network, many participating countries did not have national research funds allocated to cassava or root crops research in general. The network has, therefore, had a beneficial impact on national government policies, since now national research resources are allocated to these crops. Persistent droughts have also forced governments to place greater emphasis on root and tuber crop research policies and programs.

By way of example, Dr. Markis N. Alvarez,

the Project Coordinator, explained at the workshop that in 1985, when IITA entered Malawi, the institute was told that cassava was not important to the country. Immediately thereafter, the cassava mealybug and drought severely constrained national cassava production, causing the country to assign top priority to cassava research. Now cassava is considered the second most important food crop in Malawi, regularly included in the national research plans.

Initially, the network placed emphasis on breeding. Now that the NARSs have sufficiently developed this capacity with established breeding programs, the network's focus is shifting to postharvest technologies and socioeconomic concerns.

Many improved cassava varieties have been developed, but limited seed and planting material multiplication facilities have restricted their dissemination. However, due to drought, governments and nongovernmental organizations (NGOs) now appear to be more willing to address this constraint.

The network collaborates with some 100 individuals and 25 institutions in the region and beyond. Network member countries include: Tanzania/Zanzibar, Rwanda, Uganda, Kenya, Burundi, Malawi, Zambia, and Mozambique.

The network is managed by a Steering Committee, with the support of the Project Coordinator. Its Directors Committee is not yet fully functional, although it has been formed. The Steering Committee is composed of heads/coordinators of cassava programs of the member countries. The major function of this committee is to prepare national collaborative research plans that will be utilized by the scientists within the region to conduct cassava research. They also develop and implement training programs and technical assistance plans. During their annual meetings, this committee reviews and agrees on the network's annual workplan.

Impact

Tangible network impact is evident in the following areas:

- biological control of cassava mealybug with parasitoids; and
- processing technology—for example, cassava chipping and drying equipment developed by IITA has been introduced to several NARSs for on-farm testing, Malawi is sending personnel to IITA for training to enable them to manufacture this processing equipment themselves, and the Zambia NARS has produced several popular cassava products.

IITA has played a backstopping role for the network through:

- development of tissue culture techniques;
- development of postharvest prototype equipment;
- integrated pest management (IPM) rearing of parasitoids for the cassava mealybug; and
- establishment of an IITA substation in Uganda to do mid-altitude breeding of moderate cassava mosaic virus-resistant varieties. USAID pointed out that the proposal should address the network's use of this facility.

Specific Issues Raised

The revised proposal should address the following issues:

- The purpose and objectives of the network need to be revised.
- The relationship between the activities in Uganda and the cassava network need to be clearly defined, with reconciliation of any duplication in administrative and coordination costs.
- IITA should take steps to establish a man-

agement structure for the network per the agreements reached in the NARS Directors and Network Coordinators meeting.

- IITA should clarify what countries are members of the network and how resources are being used for/in the member countries.
- The results from the Collaborative Study of Cassava in Africa (COSCA) should be presented, accompanied by an explanation of how they have been or will be used with priority setting.
- Clarification is needed on what technologies are in the pipeline to justify investment in cassava research.

USAID also noted that there is no MOU between IITA and the member countries, nor are there established criteria for membership in the network. USAID suggested that criteria should be developed and included in the revised proposal.

Cassava Research Network Strategic Plan

Dr. Alvarez presented a strategic plan to the workshop that outlined future network activities, including the planned shift/transfer of management responsibilities from the IARC to the Directors Committee of the NARS. Dr. Alvarez further reviewed the network's organization, which is similar to CIAT and CIP. Key network priorities include:

- broadening of the genetic base;
- continuation of work on IPM, especially cassava mealybug and green mite;
- improvement of cassava processing technology; and
- facilitation of technology transfer.

ICRAF—Agroforestry Research in Eastern Africa

Agroforestry Research Networks for Africa (AFRENA) works with Uganda, Kenya, Rwanda, and Burundi. Its goal is to develop

appropriate agroforestry technology and associated institutional capacity to plan and conduct research.

Since agroforestry is a relatively newer field, ICRAF and the NARSs initiated regional activities by conducting macrodiagnostic studies to assess the crops grown and ecosystems of the highlands (1,000 to 3,000 meters above sea level) in the participating countries.

Highlands are experiencing tremendous population pressure, which is the driving force of agriculture. The ensuing heavy cultivation has resulted in a decline in soil fertility, acid soils, increased soil erosion, shortage of fuelwood, and shortage of fodder (for the growing dairy industry). These negative conditions imply a high potential for agroforestry in the region, including fruit and timber production. The diagnostic studies mentioned earlier led to the identification of zonal research constraints in soil fertility and conservation, fodder production, and wood and fruit production.

AFRENA conducted research to broaden the species base. This research was conducted through literature reviews, ethno-botanical reviews/surveys, species screening trials, technology screening trials, and on-farm evaluations. These activities were followed by on-station trials of potential species, studies of existing agroforestry technologies, and process-oriented research trying to understand why certain ecosystem components interact the way they do.

Once ICRAF and the NARSs know what works and what doesn't work, the following activities will be initiated:

- on-station and on-farm research;
- identification of biophysical and socioeconomic constraints to adoption; and
- impact assessment at different levels.

In these three research thrusts, ICRAF and the NARSs are looking at different technologies, such as alley cropping, upperstory and understory combination, grass and shrubs on

banks and boundaries, fodder banks, and upperstory trees in banana plots.

Findings to Date

- Alley cropping has great soil conservation potential through the development of micro-terraces and the production of mulching materials. However, this system does not maintain high yields without additional inputs over time (although they remain higher than the control plots without hedges).
- Grass shrubs with crop rotations of wheat and beans produce good fodder production, although, in some cases, crop yields do decrease. Hence, one must consider the trade-offs between fodder production and crop yields.
- Upperstory trees with understory crops have been studied from the perspective of trees that do not compete with crops, and trees that grow fastest yet compete most with crops. In addition, suitable types of trees for the production of poles for climbing beans also are being explored.
- Many new technologies and species have been introduced and are in high demand by the farmers. There is, however, a shortage of seed materials.

Specific Issues Raised

- Kwesi Atta Krah, ICRAF candidate to assume the AFRENA Coordinator position, was introduced at the workshop.
- Several countries fit the highlands criteria (e.g., Ethiopia and Uganda), but, at the moment, because of funding constraints only four countries are involved in the network.
- MOUs are signed between a country and AFRENA, through ICRAF, before funds are allocated to the member NARS.
- The network will develop a regional Technical Committee (which the other networks refer to as a steering committee). This com-

mittee will be a part of the Directors Committee.

- There was discussion regarding how the network can assess impact on income when agroforestry is not like commodity research. It was pointed out that, instead, the network should indicate the linkages between agroforestry and increased incomes. Also, AFRENA could point out how agroforestry techniques prevent future income losses (e.g., through soil conservation).

In terms of the proposal, the following suggestions were made:

- include monitoring and evaluation in the logframe;
- elaborate on the objectives and how they are linked; and
- explain if and how the NARSs will be involved in seed production and/or the network's linkages to institutions that will be doing the seed multiplication.

ICRAF noted that the network's budget does not allow for a seed multiplication thrust. However, USAID noted that this might be an activity of interest to the bilateral missions.

- The subject of collaboration between the Land Tenure Center (LTC, at the University of Wisconsin) and AFRENA was raised. While there is no current collaboration between the two organizations, the LTC's findings should provide valuable information to AFRENA in its development and implementation of regional agroforestry technologies.
- There was disagreement on whether R&D/ENR was planning on contributing \$300,000 to the current grant or if this money was for the next grant. R&D/AGR/IARC will clarify this matter, including future R&D/ENR contributions to the network for 1994 and 1995.
- The discussion also clarified the audit re-

quirements of the grant. Both the current grant and the next grant will require an audit. REDSO/ESA stated that there is a Regional Inspector General's Office in Nairobi; it will need to review the scope of work for an audit. The IG office can also assist the network in identifying a firm that can do the audit in accordance with standard U.S. Government provisions.

AFRENA Strategic Plan

The coordinator, Dr. Dirk Hoekstra, presented a strategic plan to the workshop that outlined future network activities, including the planned shift/transfer of management responsibilities from the IARC to the Directors Committee of the NARSs.

Group Sessions

Certain workshop sessions were divided into two groups—Group A, composed of USAID and other donors' representatives; Group B, composed of NARS directors, International Center representatives, and Steering Committee Chairmen for the networks. During subsequent plenary sessions, both groups presented their respective findings and recommendations regarding the following topics of discussion:

- *Network Objectives:* USAID, IARC, and NARS.
- *Network Activities:* USAID, IARC, and NARS.
- *Project Management:* USAID, IARC and NARS.
- *Project Monitoring and Impact Assessment:* USAID and IARC.
- *Funding Sources and Channels:* AFR, R&D, USAID Missions, and IARC.
- *Different Roles of Offices:* USAID/W, REDSO, IARC, and NARS.
- *Donor Involvement in Management and Monitoring.*
- *Other Donor Funding:* CIDA, IDRC, and Swiss Development Corporation.

Key Concerns of Group B

- *Funding Period:* Two, or even four, years is too short a period to plan and execute effective and productive research. The NARSs requested the latitude to make long-term research plans, despite the fact that funding may be provided only over the short term.
 - *Funding Levels:* Concern was expressed over the reduction in network funding—that is, compared with USAID funding levels in 1991 and 1992. It was observed that this will, of necessity, result in a corresponding reduction in network activities to a level that only covers administrative costs (with very little left for technology development).
 - *Network Management:* Feedback was requested from Group B regarding the idea of having a joint Directors Committee meeting for all four networks. The directors favor of joint Directors Committee for the four networks, and it was suggested that this be included in the proposal. The NARS Directors present pointed out that the first meeting of the joint Directors Committee will not occur until probably January 1994 because other meetings and activities have already been scheduled for 1993. It was observed that, with NARS assuming greater responsibility for network management, a mechanism needs to be put in place to enable the NARS to develop the capacity to manage the financial aspects of network operations. This will replace IARC's and, hence, result in savings of foreign exchange.
- *Impact Assessment:* The group was not comfortable with reporting impact for a grant of only two years duration. Group members would prefer to report on progress made towards the achievement of network objectives. The group also requested assistance in developing appropriate criteria for monitoring network impacts.

Group Discussion

- USAID pointed out that most of the networks were started in 1984–85. Thus, network impact assessment should cover this entire 8+-year period.
- One of the networks asked AFR/ARTS/FARA whether it will be supporting the networks for the next 10 years. USAID pointed out that it is supportive of the networks, but future support will depend on progress being achieved towards developing a sustainable institutional framework (as well as the availability of funds).
- ICRAF emphasized the need to be better informed of USAID internal planning and review procedures so that grantees could better access potential bilateral funding sources. USAID responded by outlining/ explaining that certain Missions have agriculture in their strategy statement, whereas others do not. All Missions prepare 5 to 7 year strategic plans. Mission activities are evaluated on these strategy statements on a yearly basis. It was proposed that each NARS, where possible, approach the bilateral Missions to seek funding for research opportunities in accordance with this strategic planning cycle.
- There was also some discussion regarding the utilization of the \$160,000 remaining for audits under the SAARFA project. It was suggested that some of these funds could go to the NARSs to improve their financial management/control capabilities. It was further suggested that perhaps the next round of proposals include a small fraction of funds for NARS training in USAID financial management procedures.

Final Wrap-Up Session

The objective of the meeting was to jointly determine how the networks would proceed with regards to USAID and the NARS. USAID circulated a document describing the role of REDSO and pointed out that it was sympathetic to the NARS directors' concerns about changes in management. To deal with these concerns, USAID will try to keep the lines of communication open through the widespread circulation of proposals and reports.

In addition, the following points were noted:

- REDSO will continue to exercise its field monitoring function and will help facilitate communication between the networks and Washington, as required.
- The networks need to better represent/market their services and capabilities to the Missions—for example, specific activities that are of national interest and bilateral benefit.
- The Africa Bureau has strongly emphasized the need for network sustainability. Hence, there is need to find ways and means to make the networks technically, institutionally, and financially sustainable. In this interest, the NARS should assume increasing responsibility for the direction and management of the networks. The IARCs have played an important catalytic role, and it is now time for the NARSs to take over.
- USAID pointed out that the important part of the network proposal is the logframe, since it represents the logic of the proposal and the means by which the network will be held accountable for its activities.
- The Africa Bureau has also indicated special interest in field-level impact. Demonstration of such people-level impacts will be very important for any future funding support that might be available at the conclusion of this three-year total period.
- USAID noted that the current network funding was evenly divided. However, in future, USAID would welcome proposals for reallocation of this funding based on criteria developed by the joint Directors Committee. Such a reallocation could be considered during the second year of the two-year grants.
- USAID also reviewed the need for annual audits for the upcoming grants and noted that appropriate arrangements will need to be made to properly complete them.
- R&D suggested that a repeat meeting of this nature should be scheduled around the time of the first meeting of the joint Directors Committee, including all interested donors to the extent possible.

Annex 1

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Annex 2

Introductory Address

Fred C. Fischer, Director, REDSO/ESA

During the past 10 years, USAID through the Africa Bureau has been supporting the International Agricultural Research Centers (IARCs) to initiate and implement agricultural research networking projects in Africa in collaboration with the National Agricultural Research Systems (NARSs). This effort was funded out of the Support to African Agricultural Research and Faculties of Agriculture Project (SAARFA) as an umbrella project. The SAARFA project had a project completion date of September 30, 1992, although it has been extended to July 31st 1993. This did not result in the extension of the subprojects. In the East and Southern Africa region, REDSO/ESA was responsible for the following projects:

- International Center for Tropical Agriculture (CIAT): East Africa Bean Research Network Project;
- International Center for Insect Physiology and Ecology (ICIPE): Bases of Plant Resistance to Insect Attack Project;
- International Wheat and Maize Improvement Center (CIMMYT): Farming Systems Research Project;
- International Potato Center (CIP): Potato Research Network in East and Central Africa Project;
- International Institute for Tropical Agriculture (IITA): East and Southern Africa Root Crops Research Network Project; and
- International Council for Research in Agroforestry (ICRAF): Agroforestry Research Networks for Africa Project.

Following successful mid-term and end-of-project evaluations, four networking subprojects were identified as having merit for further sup-

port. These were the:

- East Africa Bean Research Network Project;
- Potato Research Network in East and Central Africa Project;
- East and Southern Africa Root Crops Research Network Project; and
- Agroforestry Research Networks for Africa Project.

Two offices in USAID/Washington—namely, AFR/ARTS/FARA and R&D/AGR/IARC—collaborated and identified sources of funds to support these four activities. These funds have been passed over to the IARCs, and your respective grants extended for a period of one more year—that is, until October 1993. We believe that this one-year extension will provide a working window of time to work out the most acceptable ways and means of implementing these activities. At this juncture, perhaps, I could provide you with some background information:

Funding

Funds for the extension were made available by the AFR/ARTS/FARA office. These funds were then transferred to the R&D/AGR/IARC office through a memorandum of understanding. This office then signed grant agreements with the four IARCs represented here today to continue with their activities based on proposals that were, I believe, jointly prepared by National Agricultural Research Systems and the IARCs. These grants were only for a year, as earlier stated. You may note that in the original SAARFA project, funds went directly from AFR/ARTS/FARA to the IARCs and were paid

out of the REDSO/ESA offices to the centers. Also, some bilateral Missions contributed funds to these activities by supporting the national programs in their specific commodity research. We still do hope that this bilateral support will still be forthcoming.

Project Management

The original SAARFA grants were managed out of REDSO/ESA, and we are indeed pleased that our involvement has been positive. You may note that REDSO/ESA, therefore, had the management role as well as the money for these activities. However, under the current arrangement, both the management and the money will be the responsibility of R&D/AGR/IARC. Based on our long-term association with all the parties involved, we believe that we in REDSO/ESA still need to be involved with this activities in a monitoring role. This has been discussed at length with USAID/W and the IARCs involved.

Purpose of the Workshop

Apparently, this workshop has brought together all of those involved in the networking activities in the region for the first time since its inception. During this workshop, we hope to

accomplish the following:

- a. identify and establish our different roles in the networking function;
- b. formulate and agree on the management strategy for all parties involved in these activities;
- c. establish sources and approximate levels of funding;
- d. formulate and agree on the implementation schedule; and
- e. formalize the increased role of the NARSS.

We do believe that we will come up with encouraging results during this one week of joint discussions; that we will solve the basic question regarding how we wish to see and handle networks in the near future. Apparently, USAID is committed to the networking function in African agricultural research and believes that this may be one way of dealing with the question of overall regional development. Hence, the high level of representation you may witness here today. While you are here in Nairobi, I will be with you through representation at all times and feel free to interact with us at any time. It is my hope that through this meeting we will be able to do networking amongst ourselves for the benefit of the formal networks.

Annex 3

Types of Networks

At least three different types of networks have been identified to clarify review and analysis:

1. *Information Exchange Networks*: Organize and facilitate the exchange of ideas, methodologies, and may report on results of research underway (for example, professional societies with journals).
2. *Scientific Consultation Networks*: Involve country-by-country or participant-by-participant focus on common priority research areas initiated and implemented independently by the participating institutions. Hold

regular meetings and provide other means to exchange information, as in the information networks above. (Note: This category is admittedly a bit ambiguous -- it really range between types 1 and 3 which are more clearly identifiable.)

3. *Collaborative Research Networks*: Involve joint intercountry planning, implementing, and monitoring of research on problems of mutual concern to countries within a region. These networks include information, technical collaboration, and training.

Annex 4

Characteristics of Good Networks

In the East and Southern Africa region, USAID supported the SAARFA project, which initiated and promoted the collaborative type of research networks on specific commodities. Four of these networks are being continued under the PARTS project. Some of their major characteristics are as follows:

1. *Important objective:* The network should be developed around subjects that the national research systems perceive to be important—for example, increasing production. Projected impact and achievements over a specified time span provide a basis for accountability.
2. *Well-defined common theme or strategy:* A clear and well-defined theme or strategy that relates the different activities/components to achieve the objectives is necessary to harmonize research. Research activities should normally be within the support capabilities of the members resources.
3. *Existing or potential source(s) of technology/ideas:* There must be some source or sources of improved technology to drive progress. Collaborative research networks are envisioned to be more than periodic meetings of scientists.
4. *Harmonizing organization:* A coordinating organization is needed to facilitate inter-country activities, provide technical backstopping, and arrange monitoring tours. A coordinating institution is essential to ensure a smoothly functioning network. However, the staff—whether from a national, regional, or international organization—must be small and lean so as to operate efficiently.
5. *Steering committee:* A committee composed of participating scientists from the national agricultural systems should be in place to provide technical leadership and policy direction to the network.
6. *Regular meetings of participating scientists:* Periodic meetings are needed to:
 - a. identify goals to be achieved;
 - b. identify technical problems related to the commodity or problem and place them in priority order;
 - c. review results of previous research;
 - d. identify specific topics to be studied in all countries and other activities to be undertaken by only one or two countries or an IARC on a regular basis; and
 - e. decide who will take the lead and which research institution will participate in developing each activity.
7. *Information exchange system:* Information needs to be exchanged through a regularly published newsletter and reproduction of research reports that are of interest to network member scientists.
8. *Free exchange of results and methodologies:* This exchange should include plant/animal materials, ideas, and people among member states and scientists.
9. *Education and training opportunities:* Included in these opportunities should be regular workshops and monitoring tours of scientists to facilitate exchange of research

results and discussion of research methodologies to promote more effective research.

10. *Financial reporting*: This reporting needs to include in-country implementation of

planned research provided by the respective National Agricultural Research Systems. Donors may partially fund the harmonizer/coordinator and some other aspects of network coordination.

Annex 5

USAID Format for Network Proposals

The following USAID guidelines are for preparing network proposals for funding through the PARTS project.

1. *Importance of Commodity or Topic:* Analysis demonstrating the importance/comparative advantage of the commodity or subject matter for the ecoregion.
2. *Why and How Research Can Make a Contribution:* Analysis of the technical opportunities, or likelihood of breakthrough emerging from research that may exist:
 - a. Technical opportunities, and
 - b. Institutional opportunities.
3. *Objectives of Network:* Objectives to be achieved against which accountability will be monitored and evaluated, including potential impact at farm levels. Networks should:
 - a. Treat research themes that have the potential for improving the production, processing, marketing, and/or policy framework of commodities leading to significant impact on income from production and value-added activities;
 - b. have elements and conditions to facilitate spillover of benefits without untimely delays among participating countries;
 - c. be designed to increase the productivity of national programs rather than substitute for them;
 - d. provide for equitable national participation and commitment to priority setting by all member countries;
 - e. have adequate national or bilateral level support to fund local costs of country specific activities; and
- f. foster techniques that facilitate the dissemination of knowledge such as on-farm research coordinated with public and private extension.
4. *Plan of Work:* An action plan, including participation and management responsibilities of and funding by participating NARS as lead and/or associated centers as appropriate:
 - a. technical;
 - b. institutional, with emphasis on role of NARS in leadership and management; and
 - c. technology transfer..
5. *Budgets:* Including contributions by the participating NARSs:
 - a. NARS component;
 - b. bilateral component; and
 - c. USAID component.A plan of work and budget should include phased action plans covering technical, management, and financial participation leading to eventual NARS leadership and management (progressively larger shares) of networks; and targets for technology development/adaption and productivity changes (after sufficient time) as a result of network activities.
6. *Plan for Monitoring and Evaluation:* Including indicators for performance and impact. Plan should include plans for monitoring and evaluation by networks and USAID. Monitoring and evaluation should address:
 - a. Phased action plan (as described above

- under 5. *Budgets*);
 - b. involvement of NARS directors and scientists in the management of financial administration of network activities;
 - c. integration and conformance of networking activities with national research priorities, programs and budget outlays;
 - d. ability of NARSs to access and obtain the best and most appropriate scientific expertise required to identify and effectively solve physical, biological and socioeconomic constraints to sustainable agricultural systems; and
 - e. the capacity of the participating NARS in the commodity system or subject matter to be addressed, in line with the SPAAR initiatives for revitalizing national research systems.
7. *Logframe*: Covering duration of the activity.
8. *Plan for Quarterly and Yearly Progress Reports*:
- a. Financial reports should be submitted quarterly to R&D/AGR/IARC.
 - b. Progress reports that report on agreed performance criteria and indicators of impact consistent with the logframe should be submitted semiannually (on March 15 and September 15 of each respective year). An end-of-project report should be submitted at the termination of the grant period to AFR/ARTS/FARA, R&D/AGR/IARC, and REDSO/ESA, interested USAID Missions, and other interested donors.
- ◆ *In turn*:
- a. R&D will submit consultant's reports as completed to AFR/ARTS/FARA, REDSO/ESA, interested Missions, other interested donors, and the concerned network.
 - b. REDSO/ESA will submit monitoring reports as completed to R&D/AGR/IARC, AFR/ARTS/FARA, interested Missions, other interested donors, and the concerned network.
9. *Certifications, Assurances, and Other Statements*: The information for these papers will most likely be provided by headquarters; listed employees must sign biographical forms. Carole Levin, of R&D/AGR/IARC, will send copies both to the networks and to the headquarters. Please allow time for all these forms to be completed correctly. They are essential for the contracting process and must be delivered to the contracting office on their due date.
- a. Assurance of compliance with laws and regulations covering nondiscrimination in federally assisted programs.
 - b. Certification regarding drug-free workplace requirement.
 - c. Certification regarding debarment, suspension, and other responsibility matters.
 - d. Certification regarding lobbying.
 - e. Certification regarding research involving human subjects.
 - f. Certification regarding care of laboratory animals.
 - g. Certification regarding family planning activities.
 - h. Authorized individuals.
 - i. Taxpayer identification number (TIN).
 - j. Duns number.
 - k. Letter of credit (LOC) number.
 - l. Procurement information:
 - Applicability
 - Amount of Procurement
 - Nonexpendable equipment
 - Source, Origin and Componentary of goods
 - Restricted goods
 - Supplier nationality
 - Proposed disposition
 - m. Past performance references.
 - n. Type of organization.
 - o. Agreement on grant terms and conditions.

- p. Indirect costs.
- q. Contractor Employee Biographical Data Sheet (one for each employee signed).

Annex 6

Memorandum of Understanding

Between the Africa Bureau, the Research and Development Bureau, and REDSO/ESA to Support Agricultural Research Networking Projects in East and Southern Africa

Introduction

During the past 10 years, USAID, through the Africa Bureau, has been supporting six International Agricultural Research Centers (IARCs) to initiate and implement Agricultural Research Networking Projects in East and Southern Africa in collaboration with the National Agricultural Research Systems (NARSs), such as the Kenya Agricultural Research Institute (KARI), the National Agricultural Research Organization (NARO) in Uganda, etc. These efforts were funded out of the Support to African Agricultural Research and Faculties of Agriculture Project (SAARFA). This project had a completion date of September 30, 1992, which has since been extended to July 31, 1993. In the East and Southern Africa region, REDSO/ESA was formally responsible for the management of the following projects:

- International Center for Tropical Agriculture (CIAT): East Africa Bean Research Network Project
- International Center for Insect Physiology and Ecology (ICIPE): Bases of Plant Resistance to Insect Attack Project
- International Wheat and Maize Improvement Center (CIMMYT): Farming Systems Research Project
- International Potato Center (CIP): Potato Research Network Project in East and Central Africa
- International Institute of Tropical Agriculture (IITA): East and Southern Africa Root Crops Research Network Project
- International Council for Research in Agro-

forestry (ICRAF): Agroforestry Research Networks for Africa Project (monitoring role only)

REDSO/ESA involvement in these networking projects started in 1984 when the Africa Bureau decided that REDSO/ESA was in a better position and location to provide management support to these regional activities. The ICRAF project has, however, been managed out of R&D offices in Washington, D.C.

Purpose

The purpose of this memo is to clarify the role of REDSO/ESA in overseeing continuing USAID assistance for these Agricultural Research Networking Projects and its relationship with other USAID offices—namely, R&D/AGR/IARC and AFR/ARTS/FARA—so that USAID interacts and relates to the networks in a coordinated manner.

Background

REDSO/ESA involvement in these networking projects started in 1984 when the Africa Bureau decided that REDSO/ESA was in a better position and location to provide management support to these regional activities. The ICRAF project has, however, been managed out of R&D offices in Washington, D.C.

As stated in the mid-term evaluation report of the umbrella SAARFA project, over time, REDSO/ESA accepted this responsibility and established an office and functional arrangements that resulted in the successful manage-

ment of these regional networking projects. With the exception of ICIPE, the end-of-project evaluations indicated that the projects were generally successfully managed and implemented over the past eight years. The final evaluation of the ICIPE grant noted that there were some serious deficiencies in the performance and oversight of that activity.

The end-of-project evaluations for the grants to CIP, CIAT, IITA, and ICRAF indicated that the expected project outputs were achieved. Based on these positive results, the Africa Bureau decided to continue to build on the achievements of these network activities. The Bureau also felt that these activities were sufficiently supportive of its analytical agenda to be funded through the Policy, Analysis, Research, and Technical Support (PARTS) Project. The Bureau further decided that funding and management of these follow-on activities should no longer be the responsibility of REDSO/ESA to allow the more limited REDSO/ESA manpower to be more effectively focused on field monitoring activities. Accordingly, the management function for the PARTS project support for these activities was transferred to R&D/AGR/IARC in Washington. A total of \$2 million was provided to R&D/AGR through an OYB transfer to provide one-year grants to the four implementing IARCs. These grants will be extended for two additional years in September 1993.

This new arrangement has been formalized through a Memorandum of Understanding (MOU) between AFR/ARTS and R&D/AGR, and grants have been made by R&D to four IARCs—namely CIAT, CIP, IITA, and ICRAF—to continue the work initiated under the SAARFA Project. Management responsibilities have shifted from REDSO/ESA to R&D/AGR/IARC. The MOU further specified that REDSO/ESA, because of its advantageous field-based location, would undertake a monitoring and information exchange function. This monitoring function was not defined in the MOU between the Africa Bureau and the Research and Development Bureau. This memorandum

provides that definition.

In summary, the primary change in the REDSO/ESA role is that it will no longer have responsibility for financial and technical grant management, including approving grant proposals and managing grant funds. Instead, REDSO/ESA monitoring of network performance and, most importantly, the monitoring of network impact will be somewhat enhanced and expanded under the terms of this revised arrangement. The detailed revised REDSO/ESA scope of responsibilities is described below.

REDSO/ESA Monitoring Role

As basic functions, REDSO/ESA will (a) monitor the networks; (b) facilitate contact with other donors, especially USAID missions; (c) assess progress over time by the NARS in assuming a greater role in network management and funding; and (d) facilitate monitoring of impact. These functions will be carried out in close collaboration with R&D/AGR/IARC and AFR/ARTS/FARA as well as the network organizations including IARCs, NARSs, and Coordinating Units, the latter generally consisting of a small, regionally based cadre of IARC-affiliated professional and administrative staff focusing on furthering the research and networking objectives of the specific commodity/group in question. In order to effectively execute this function, REDSO/ESA will assume the following responsibilities:

- REDSO/ESA shall review project proposals originating from the Coordinating Units. The documents shall contain both the research strategy and the management strategy statements. The REDSO comments on each proposal shall be submitted to the Coordinating Units, IARC headquarters, AFR/ARTS/FARA, and R&D/AGR/IARC offices. R&D/AGR/IARC shall send copies of the four signed grant agreements resulting from the project proposals to REDSO/ESA for use in the monitoring function.

- REDSO will attend the planning meetings of all four networks in an observer capacity. REDSO has learned over time that these meetings provide an effective forum for implementation of the management strategy as well as the research strategy. A report on the proceedings of these meetings will be produced and shared with AFR/ARTS/FARA and R&D/AGR/IARC.
- REDSO shall participate in major or annual workshops organized by each of the networks in observer capacity. The workshops provide a forum for the review of scientific work done over time. REDSO will identify, arrange, and facilitate in collaboration with Coordinating Units consultative meetings between donors, IARCs, and the NARSs within the region, and shall assist in identifying funding sources in support of scientific efforts being undertaken with a regional focus.
- REDSO shall organize and conduct routine visits to project sites and keep abreast of project developments. During such visits, interaction of the networks with USAID Missions will be encouraged. Trip reports for the visits will be forwarded to AFR/ARTS/FARA and R&D/AGR/IARC with copies to the Coordination Unit.

R&D/AGR/IARC will send participants to the planning meetings, major or annual workshops and the routine visits to project sites, if feasible. When possible, joint visits between REDSO and R&D/AGR/IARC teams will be encouraged for purposes of coordination. The networks will be requested to maintain a joint calendar to facilitate this coordination.
- REDSO shall receive copies of the periodic progress reports from the Coordinating Units. REDSO will review these reports in view of its knowledge of project activities. Comments will be forwarded to AFR/ARTS/FARA and R&D/AGR/IARC and the Coordinating Units.
- REDSO shall identify and monitor the management function of the Coordinating Units and facilitate the transition toward increased NARS project management. REDSO shall periodically assess and describe the manpower strength of the participating NARS, a focal point for the initial SAARFA grants. REDSO shall assess and document the ability of the NARS to effectively manage the networks over time and recommend measures that will improve this function. REDSO shall also monitor the financial resources that are allocated to the NARS for research purposes and, more specifically, to the networking projects. Where need arises, guidance will be provided by REDSO as to how more funds could be solicited for support of networking activities.
- REDSO shall monitor the implementation of the networking concept in the region. This will require keeping abreast of networking fora and mechanisms, which in turn will require REDSO to maintain a record of networking activities and to participate in selected fora.
- REDSO shall monitor the flow of technology into the region from the Consultative Group for International Agricultural Research (CGIAR) system. REDSO, working closely with the Coordinating Units, shall also monitor the flow of technology within the region amongst the NARSs. This activity will contribute towards documenting progress of formal and informal regional networking mechanisms. A data base and an information system of such technology flow shall be set up within REDSO offices and shared with USAID/Washington offices.

- REDSO/ESA, in collaboration with USAID/ Washington and the relevant IARC, shall review and agree on specific intermediate impact indicators listed in the grant agreement's logical framework for each project. A monitoring plan for specific indicators, including resource allocation to support it, will then be agreed upon consistent with the grant. Specifically designed special studies will also be agreed upon and implemented by REDSO where necessary to assist in documenting the impact of some of the introduced as well as shared technologies on the farming communities. Diffusion and adoption rates for some of the technologies will be monitored through special studies as agreed upon between REDSO/ESA, AFR/ARTS/FARA, and R&D/AGR/IARC.
- REDSO will participate in the end-of-project evaluation through the contribution of one REDSO person to the evaluation team. The scope of work for the evaluation team will, however, be prepared by R&D/AGR/IARC in collaboration with AFR/ARTS/FARA, and negotiated with the IARC and network Coordinating Units as well as the interested USAID missions. The R&D/AGR/IARC will manage the end of project evaluation in collaboration with REDSO/ESA and AFR/ARTS/FARA.
- REDSO shall carry out other monitoring assignments as may be agreed upon by the USAID/Washington offices and REDSO/ESA.

