

PD-1555 435

Official File Copy
Amendment Number

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT DATA SHEET		1. TRANSACTION CODE <input type="checkbox"/> A = Add <input type="checkbox"/> C = Change <input type="checkbox"/> D = Delete	DOCUMENT CODE 3
2. COUNTRY/ENTITY Africa Regional		3. PROJECT NUMBER [698-0435.06]	
4. BUREAU/OFFICE Africa [06]		5. PROJECT TITLE (maximum 40 characters) [Southern Afr. Ag. Research Mgt. Training]	
6. PROJECT ASSISTANCE COMPLETION DATE (PACD) MM DD YY [08][28][90]		7. ESTIMATED DATE OF OBLIGATION (Under 'B' below, enter 1, 2, 3, or 4) A. Initial FY [86] B. Quarter [4] C. Final FY [86]	

8. COSTS (\$000 OR EQUIVALENT \$1 =)						
A. FUNDING SOURCE	FIRST FY 87			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total	150	-	150	700	-	700
(Grant)	(150)	(-)	(150)	(700)	(-)	(700)
(Loan)	(-)	(-)	(-)	(-)	(-)	(-)
Other U.S.						
1.						
2.						
Host Country - SACCAR	-	73	73	-	292	292
Other Donor(s), incl. ISNAR	299	-	299	1,261	-	1,261
TOTALS	449	73	522	1,961	292	2,253

9. SCHEDULE OF AID FUNDING (\$000)									
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) ARDN	111	080		-		\$700		\$700	
(2)									
(3)									
(4)									
TOTALS									

10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)	720	-							
11. SECONDARY PURPOSE CODE									
12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)	A. Code	R/AG							
	B. Amount	700							

13. PROJECT PURPOSE (maximum 480 characters)

The purpose of the project is to strengthen the capacity of agricultural research managers in Southern Africa to organize and manage research activities which effectively and efficiently address the region's food problems.

14. SCHEDULED EVALUATIONS	Interim	MM YY	MM YY	Final	MM YY	MM YY	15. SOURCE/ORIGIN OF GOODS AND SERVICES	SADCC Member Countries
		11 86					<input type="checkbox"/> 000 <input checked="" type="checkbox"/> 941 <input checked="" type="checkbox"/> Local <input type="checkbox"/> Other (Specify)	

16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a _____ page PP Amendment.)

17. APPROVED BY	Signature					18. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION
	Title	John E. Roberts Acting Mission Director				
	Date Signed	MM DD YY				
		08 28 86				

ACTION MEMORANDUM FOR THE ACTING DIRECTOR, USAID/BOTSWANA

From: William S. Elliott, Project Development Officer WSE 8/28/86

Subject: Project Authorization - Southern African
Agricultural Research Management Training Project,
698-0435.06

I. Problem: Your approval is required for a grant of \$700,000 from the Foreign Assistance Act (FAA), Section 103, to the Government of Botswana (GOB) for the Southern African Agricultural Research Management Training Project. It is planned that the total amount of the grant will be obligated in FY1986. The project will be implemented over a four-year period.

II. Discussion: The purpose of the project is to strengthen the capacity of agricultural research managers in Southern Africa to organize and manage research activities which effectively and efficiently address the region's food problems. The project consists of a training program which will be developed and managed by International Service for National Agricultural Research (ISNAR) in collaboration with the Southern African Centre for Cooperation in Agricultural Research (SACCAR). AID funds will be used to support the project's coordinator and ISNAR training staff.

This activity is a sub-project under the Strengthening African Agricultural Research (SAAR) Project, 698-0435. The SAAR project has been designated as the primary vehicle through which the U.S. can respond and fulfill its responsibilities to the Cooperation for Development in Africa (CDA) Agricultural Research Initiative. SAAR was first authorized on August 24, 1982 and has been amended several times since with the addition of funds for sub-projects. The latest PACD of a sub-project automatically becomes the PACD of the SAAR project.

SACCAR has been receiving AID support through the Regional Agricultural Research Coordination Project, 690-0225 (\$1.5 million, 5.5. year LOP). The proposed sub-project should further advance the primary goals of SACCAR which serves as the focal point for cooperation among agricultural planners, researchers, and administrators in the region and coordinates agricultural research activities among Southern African Development Coordination Conference (SADCC) member countries.

III. Financial Summary: The total cost of the project is \$2,252,620, of this amount AID will provide \$700,000 over the four year life-of-project. AID's contribution will support the project's coordinator (\$400,000) and ISNAR training staff (\$200,000) and inflation/contingency (\$100,000) associated with those costs. Other project funds will be contributed by ISNAR (\$357,600), SACCAR (\$292,000) and other donors (\$903,000).

IV. Review: The project's proposal, developed and submitted jointly by SACCAR and ISNAR, has been reviewed by USAID/Zimbabwe's regional program staff (Harare 04066), AID/W (State 202060) and USAID/Botswana. The AID/W technical review committee "found the proposal to be sound and worthy of

consideration for support." All reviews strongly supported the intent of the proposal but also requested clarification of various points and suggested improvements. Criticisms of the proposals were communicated to ISNAR and SACCAR. ISNAR responded to these comments and USAID/Botswana has revised the proposal based on the exchange of information that has taken place. A key revision was to place final responsibility for the project with one entity ISNAR; the original proposal called for ISNAR and SACCAR to share responsibility.

Through Delegation of Authority No. 140, project authorization was assigned to the Director, USAID/Botswana, per STATE 265230. Fiscal data for obligation purpose was received through STATE 269614.

Categorical exclusion from an environmental review is based upon approval granted by the Africa Bureau's Environmental Officer, August 2, 1984, for the SAAR project. That approval cited three project components, the second of which, training national researchers, is the sole activity of this sub-project.

No human rights issues have been raised. The FY 1986 country checklist for Botswana cites that FAA Section 116 (human rights violations) is not applicable.

The RLA/SA has reviewed the project and has given a verbal opinion to the effect that the project as designed is a genuine regional project and that U.S. assistance will not directly benefit countries prohibited from receiving such assistance, based upon prior GC opinions concerning similar regional projects. The RLA/SA will separately provide written confirmation of this opinion.

V. Section 611 (a) (1) of the FAA: The cost estimates and financial plan contained in the proposal are adequate and the costs are reasonably firm, thereby satisfying the requirements of Section 611 (a)(1) of the Foreign Assistance Act.

VI. Implementation: The implementation arrangements described in the proposal are considered to be both realistic and sufficient to carry out the project. Implementation will be the responsibility of ISNAR in collaboration with SACCAR.

VII. Justification to the Congress: A Congressional Notification (CN) was sent to the Congress and expired on May 14, 1986 without objection.

VIII. Waivers: There are no waivers associated with this sub-project.

IX. Conditions and Covenants:

Conditions Precedent to First Disbursement: The Grant Project Agreement will contain a condition precedent in form and substance as follows: Prior to the first disbursement under the Grant, or to the issuance by AID of documentation

pursuant to which disbursement will be made, the Government of Botswana will, except as the parties may otherwise agree in writing, furnish to AID in form and substance satisfactory to AID: (1) a statement of the person(s) representing the Government of Botswana for purposes of the Project, together with a specimen signature of each person specified in such statement, (2) evidence confirming ISNAR's participation in and funding support for the project, and (3) evidence that other donor pledges have been received which assure full life of project funding.

Covenant: The Grant Project Agreement will contain a covenant in form and substance as follows: The Government of Botswana shall covenant that, except as AID may otherwise agree in writing, it will ensure that the Southern African Centre for Cooperation in Agricultural Research (SACCAR), in collaboration with the International Service for National Agricultural Research (ISNAR), the project's primary implementing agency, shall develop specific work plans within six months after the signing of the Grant Project Agreement.

X. Recommendation: That you sign the attached Project Authorization and thereby approve life-of-project funding of \$700,000 for the Southern African Agricultural Research Management Training Project, 698-0435.06.

Attachments:

1. Project Authorization
2. Sub-project proposal
3. Legal opinion on assistance to
Angola and Tanzania
4. SAAR Authorized Funding Levels

^W
Drafted by PDO: W. Elliott/kb: 8/27/86

Clearances:

ADO: P.A. Daly (Draft)	Date: <u>8/26/86</u>
CONT: J. Brody (Draft)	Date: <u>8/26/86</u>
RLA/SA: E.Spriggs (Draft, Phone)	Date: <u>8/28/86</u>

PROJECT AUTHORIZATION

Name of Country: Botswana
Name of Project: Southern African Agricultural
Research Management Training Project
Number of Project: 698-0435.06

1. Pursuant to Section 103 of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Southern African Agricultural Research Management Training Project involving planned obligations of not to exceed Seven Hundred Thousand United States Dollars (\$700,000) in grant funds over a one year period from the date of authorization, subject to the availability of funds in accordance with the AID OYB/allotment process, to help finance the foreign exchange and local currency costs of the Project. The planned life of the Project is four years from the date of initial obligation.

2. The Project will strengthen the capacity of agricultural research managers to organize and manage research activities which effectively and efficiently address Southern Africa's food problems. The grant will support a training program for agricultural research managers in Southern Africa to be developed and managed by the International Service for National Agricultural Research (ISNAR) in collaboration with the Southern African Centre for Cooperation in Agricultural Research (SACCAR)*; funding will also be provided by other donors. AID funding will be disbursed on a parallel basis for discrete project activities and will not be commingled with other donor funds. Grant funds will be used for project personnel.

3. The Project Agreement which may be negotiated and executed by the USAID/Botswana Director (in accordance with AID regulations and delegations of authority) and the Government of Botswana (the "Cooperating Country"), on behalf of the Southern African Development Coordination Conference (SADCC) member countries, shall be subject to the following essential terms, covenants and major conditions, together with such other terms and conditions as AID may deem appropriate.

a. Source and Origin of Commodities; Nationality of Services

Commodities financed by AID under the Project shall have their source and origin in the SADCC member countries or countries included in AID Geographic Code 941, except as AID may otherwise agree in writing. Except for ocean shipping, the suppliers of commodities or services shall have as their place of nationality the SADCC member countries or countries included in AID Geographic Code 941, except as AID may otherwise agree in writing. Ocean shipping under the Project shall be financed only on flag vessels of the United States, other countries in AID Geographic Code 941, or the Cooperating Country, except as AID may otherwise agree in writing.

*

SACCAR is a Southern African Development Coordination Conference (SADCC) organization.

b. Conditions Precedent to First Disbursement

The Grant Project Agreement will contain a condition precedent in form and substance as follows: Prior to the first disbursement under the Grant, or to the issuance by AID of documentation pursuant to which disbursement will be made, the Cooperating Country will, except as the parties may otherwise agree in writing, furnish to AID in form and substance satisfactory to AID: (1) a statement of the person(s) representing the Cooperating Country for purposes of the Project, together with a specimen signature of each person specified in such statement, (2) evidence confirming ISANR's participation in and funding support for the project, and (3) evidence that other donor pledges have been received which assure full life of project funding.

c. Covenant

The Grant Project Agreement will contain a covenant in form and substance as follows: The Cooperating Country shall covenant that, except as AID may otherwise agree in writing, it will ensure that the Southern Africa Centre for Collaboration in Agricultural Research (SACCAR), in collaboration with the International Service for National Agricultural Research (ISNAR), the project's primary implementing agency, shall develop specific work plans within six months after the signing of the Grant Project Agreement.

August 29, 1986
Date


John E. Roberts, Acting Director
USAID/Botswana

^{WE}
Drafted by: PDO: W.Elliott/kb: 8/26/86

Clearances:

ADO: P. Daly (Draft)	Date <u>8/26/86</u>
CONT: J. Brody (Draft)	Date <u>8/26/86</u>
RLA/SA: E. Spriggs (Phone)	Date <u>8/28/86</u>

STRENGTHENING THE MANAGEMENT OF
AGRICULTURAL RESEARCH IN AFRICA

PROGRAM PROPOSAL - PHASE II

I. GOAL

The aim of the program is to strengthen through training the capacity of agricultural research managers to organize and manage research activities which effectively and efficiently address Africa's food problems.

II. RATIONALE

Reversing the current trend of declining per capita food production in Africa will depend in large part on greater national policy commitments to agriculture and the development through research of new technologies and production packages relevant to the small farmers of the continent. For research to be successful in contributing to sustainable growth in agricultural production, it is necessary for national agricultural research systems to be strong and well-managed. A number of major constraints to effective research management must first be addressed to achieve this objective. For example:

- * Good agricultural research managers are in short supply and young scientists are frequently promoted before they have had the opportunity to gain on-the-job management experience in middle-level positions.
- * Existing structures and poor management procedures as well as inadequate planning of manpower development are often serious deterrents to research productivity.
- * Limited financial resources are frequently used inefficiently due to poor prioritization among competing objectives. Weak financial planning/budgeting processes further complicate the problem.
- * Research managers' links to other government organizations on which they depend (e.g. Economic Planning, Finance Ministries) are weak and interaction with the clientele they must serve (extension services, farmers) as well as to universities, the private sector and international agricultural research centers is often insufficient.
- * Contact by developing country scientists with the global scientific knowledge base is typically inadequate and opportunities for exchanging information and technologies as well as for ensuring the harmonization of research activities within distinct regions of Africa are not sufficiently exploited.

As one of the thirteen centers of the Consultative Group for International Agricultural Research, the International Service for National Agricultural Research (ISNAR) works to increase the effectiveness and productivity of national agricultural research systems in the developing world through improved organization and management. ISNAR's work with national

research systems has confirmed that management training must be included in a two-part strategy for strengthening African agricultural research management. The first part is organizational change within national research systems. ISNAR reviews over the past five years have concluded that existing structures and procedures are often severe deterrents to research productivity. Managers cannot work effectively in overly constrained organizational environments, no matter how well they have been trained. ISNAR therefore serves as a catalyst in encouraging organizational reform where needed.

Training research managers is the complementary second part of the strategy. At the same time as organizational change is occurring, professional staff must be developed who can manage resources and establish information links with other researchers. These two processes are mutually reinforcing. Organizational change provides staff with the environment in which they can be good managers and training in agricultural research management enables them to use management tools and techniques to manage effectively and efficiently their systems.

III. BACKGROUND TO THE PROGRAM PROPOSAL

ISNAR undertook to implement the above philosophy in Africa in 1982 by initiating through the donor association, Cooperation for Development in Africa (CDA), a program entitled Strengthening The Management of Agricultural Research in Africa: A Staff Development Proposal. This program had three elements: (1) a field study to determine specific management development needs in African agricultural research, (2) the preparation and testing of training materials in agricultural research management, and (3) support for a series of management training workshops. The strategy concentrated on a few selected countries initially, so as to build up management capacity and training experience before extending lessons learned to other countries.

Two CDA members provided financial support for this program. The United States contributed \$495,000 and the United Kingdom 90,000 Pounds Sterling. ISNAR added about \$150,000 of its own core funds. Work began in mid-1982 and ended on January 31, 1986. The final report of the first phase carefully reviewed lessons learned. A summary of activities undertaken by the program in Africa is provided in Annex I. The second phase of the ISNAR-CDA training program will include two projects, each covering a region of Africa.

IV. PROGRAM OBJECTIVES OF PHASE II

The objectives of the first phase of the ISNAR/CDA initiative "Strengthening the Management of Agricultural Research in Africa" were to identify specific management needs of personnel involved in national agricultural research and to develop and test appropriate training mechanisms for addressing those needs.

In the second phase, emphasis will be placed on extending lessons learned to other countries by implementing national and

regional management training programs which build management capacity. The program further aims to reinforce networking among regional African research systems by working through existing regional groupings and by fostering exchanges of information among scientists during regional research management seminars.

V. PROGRAM STRUCTURE

A. Regional Approach

For administrative and funding purposes, the CDA Phase II program is divided into five distinct regional projects. Each of these is a self-standing comprehensive management training project which can be planned, implemented, and evaluated independently of the others (though, of course, important synergies would occur across regional projects through exchange of training materials, methodologies, and expertise). The five regions are Southern, Eastern, Central, Western and Sahelian Africa. During the next four years, ISNAR proposes to work in Southern Africa. After evaluation of impact, activities would be extended to the remaining three zones. The regional approach is designed to ensure that organizational and management change have a lasting impact on research performance and productivity, by providing a long-term, in-depth focus on national management problems and by developing a regional follow-up capability.

In the Southern zone, ISNAR will work through the existing regional group -- the Southern Africa Development Coordination Conference (SADCC) and its newly created Southern Africa Centre for Cooperation in Agricultural Research (SACCAR) in the nine Southern African countries.

Representatives of the OAU/STRC, CDA donors, SADCC, and CILSS, as well as visitors from other agricultural sector training programs (IFAD, African Development Bank, EDI/World Bank and FAO) will be invited to attend selected training events in order to improve coordination of different training activities in the region, minimize duplication of effort, promote exchanges of training materials and experiences in the training domain and help assure that the project is meeting the needs of the training partners and the trainees.

B. National Approach

Since strengthening of agricultural research management in Africa depends upon improved capabilities at the national level, the second phase of the program places increased emphasis on country-based training activities. Where a critical mass of researchers exists in one country of a region, a specific plan of action in research management training will be developed by national research leaders and ISNAR staff working with the representative of the regional organization sponsoring the project (SACCAR). When the number of researchers within a national system does not justify an

individual training plan, an attempt will be made to group several small countries with similar management constraints for a joint training event. The accent will be on tailoring training to the specific needs of participating research systems.

C. Identification of Training Needs

The surveys of management training needs conducted during the first phase of the CDA project have provided the necessary base for initial materials development and curriculum planning. ISNAR's experience and its own work in Africa have also been a useful guide. During the next phase of the CDA program, ISNAR will supplement this knowledge base with the use of other important regional surveys that have been conducted such as the CDA project: Agricultural Research Resource Assessments (ARRAS). Regular planning meetings and regional workshops will provide other fora for identifying training needs. Specific national training needs will be determined in consultation with the directors of research and their staff, and from reports prepared by bilateral and international organizations.

SOUTHERN AFRICAN AGRICULTURAL RESEARCH MANAGEMENT
TRAINING PROJECT

The agricultural research management training project for the Southern African region will address agricultural research managers in the nine member countries of SADCC, the Southern African Development Coordination Conference.¹ SADCC's objectives in agriculture are to increase agricultural productivity, raise incomes of smallholder farmers, improve their nutrition, and create jobs in the rural areas in order to slow migration into urban areas. In light of SADCC's goal of attaining self-sufficiency in food supplies, agricultural research has been accorded special status within the region with the creation in 1984 of the Southern African Centre for Cooperation in Agricultural Research (SACCAR). This organization is designed to foster cooperation in agricultural research within SADCC countries and to improve the capacity of individual member countries to undertake carefully prioritized agricultural research projects.

As the focal point for research in Southern Africa, SACCAR will serve as the contact office in the region for the ISNAR training program for SADCC countries under CDA II.

Project Scope and Objectives

The objectives of the training project for Southern Africa are to:

- 1) foster human resource development in agricultural research within the region through training activities directed at strengthening the organizational and managerial capabilities of leaders of national agricultural research systems;
- 2) increase understanding among high-level government officials of the role of research in promoting and sustaining agricultural development and of the policy and procedural constraints inhibiting agricultural research performance so as to create an environment conducive to research;
- 3) strengthen the capacity of national research leaders to plan, program, budget, executive, and monitor research programs of relevance to national development goals;
- 4) build the skills of middle-level research administrators in the management of agricultural research activities;
- 5) work toward building a base for a sustained management training capacity for agricultural research within the region;
- 6) reinforce exchanges of information among SADCC scientists and administrators on issues related to the management of regional and national agricultural research programs.

¹SADCC members: Angola, Botswana, Lesotho, Malawi, Mozambique, Swaziland, Tanzania, Zambia and Zimbabwe.

Target Group

In working toward achieving the above objectives, three groups will be targeted in the SADCC region:

- 1) government policymakers and high-level research leaders from the public and private sectors;
- 2) senior research managers including directors and deputy directors of research; and
- 3) middle-level research administrators such as heads of station and research program leaders.

Training Components

The project will consist of up to twenty training events. These will include a regional seminar for policymakers and senior research managers, one seminar for Portuguese-speaking members of SADCC, and one joint seminar for Botswana, Lesotho and Swaziland which have smaller national research systems. A program of national workshops on management issues will be held over four years in Malawi, Tanzania, Zambia, and Zimbabwe. The exact character of these national seminars will be defined during Project Year 1 in discussions with national research leaders from those four countries. Plans are for up to one training event in each of the four countries per year. A second regional event will be held in Year 4 to give research directors the opportunity to evaluate progress made in improving research management.

A. Regional Seminars

- 1) A five-day regional policy seminar on constraints to agricultural research will be held in Gaborone in Year 1 of the project to bring together research directors and the permanent secretaries of agriculture and finance. Six deans of agricultural faculties in the region will also be invited to attend. The objective of such an event is to build awareness of and support for agricultural research in the region at the policymaking level. Issues related to the slow progress made in raising agricultural productivity in the region will be reviewed. Themes will include the relation of research to agricultural development goals (the national plan); resource allocation to research; civil service policies' influence on career patterns of researchers; and agricultural pricing and marketing policies adversely affecting farmers' adoption of new technologies.

Three representatives of each of the nine SADCC countries will convene for a three-day exchange of views on how to address these issues which influence researchers' performance and results yet cannot be resolved by research managers alone. The research directors and deans of agriculture faculties will participate in two additional days of review of basic issues of research

management including priority setting, programming and budgeting, organizational behavior, monitoring, and evaluation. The seminar will further serve as a forum for national research leaders to identify specific aspects of research management of particular relevance for future national level workshops.

Planning on specific themes to be addressed during the regional policy seminar will be finalized early in Year 1 during a meeting of SADCC research directors and ISNAR. The policy seminar is tentatively scheduled for August 1987.

- 2) A second regional seminar of 2-3 days will be held in Year 4 of the project with national research directors to review progress made in strengthening national research systems in the region and to ascertain next steps required in the institution-building process. This evaluation event will be carried out at the end of a regular meeting of SADCC research directors with SACCAR so as to minimize cost and travel time of the participants. It will be funded by SACCAR and ISNAR will contribute the costs of the participation of its staff members in this event. The external evaluation team for the final assessment of project impact will meet with research directors on the last day of their consultations to determine the regional perspective on management training activities.

B. National Workshops

National management training workshops are effective mechanisms for bringing together middle-level research managers to focus on a specific management issue of importance to the research system concerned. Topics might include programming and budgeting or monitoring and evaluation. Management tools such as log-frame analysis or program budgeting techniques can be presented and reviewed within the national context, permitting the immediate application of improved management practices toward resolution of the particular problem focused on by the workshop. Case studies, derived from the countries' own research experiences, will be used to highlight the particular management issues being addressed.

In the SADCC region, training activities at the national level will be organized in accordance with the particular needs of individual research systems.

1) Portuguese-language Seminar

ISNAR and SACCAR will work with the University of Sao Paulo, Brazil to deliver an introductory course on research management issues in Portuguese. To be conducted in Year 2, this two-week event will be held in Mozambique for research leaders from the two Portuguese-speaking members of SADCC. The course will be tailored to the special needs of these two countries following an evaluation of the topics developed for seminars within the region.

2) Grouped National Seminar

The research systems of Botswana, Lesotho and Swaziland do not individually have the critical mass of researchers needed to justify separate national training sessions. It is proposed, therefore, to group these three countries, holding a joint seminar in Botswana in Project Year 3. Since many of the research managers from these three countries have already attended introductory courses on agricultural research management held by ISNAF at the Mananga Agricultural Management Centre (MAMC) in Swaziland under Phase I of the Training Program, emphasis will be placed on study of a specific management area to be identified in planning sessions with the national systems in Years 1 and 2 of the project.

3. National Management Improvement Programs

In four of the countries with larger national agricultural research systems (Malawi, Tanzania, Zambia and Zimbabwe), ISNAR and SACCAR will develop a four-year management improvement program in each country. Such an approach will permit the project to respond directly to the specific management needs of the individual systems.

The purpose is to work more intensively at the national level to provide continuity and to link training activities with organizational change, thereby ensuring that managers can begin to operate in a favorable research environment. The training program will be determined in Year 1 with SACCAR and with the concerned research directors.

Priority areas for management training will be decided in consultation with national research leaders. Activities will vary by country according to needs. Based on ISNAR's experience:

- an initial workshop with middle-level and senior research managers to identify national constraints to research and to design a four-year management improvement plan for the different actors in the national research system (directors, researchers, administrators, technicians, development project managers, extension staff, and concerned ministry officials);
- an introductory course for a cross-section of actors in the research section on the basis elements of research management;
- in-depth workshops focused each year on a particular aspect of management identified as critical to the national system concerned. Emphasis will be placed on skill-building for solving problems in the national context. These specialized courses might cover research priority setting, career planning, program budgeting, techniques of communication, setting up a monitoring and evaluation system, station management or techniques to improve personnel management, financial management of the

National Agricultural Research services, human resource planning, use of computer in National Agriculture Research services. Depending on the size of the target groups, the same workshop might be delivered twice in order to reach as many of the same types of staff and thereby harmonize procedures across national research institutes or stations. Other cost-effective alternatives would be to offer back-to-back intensive sessions in two areas to the same sub-group of research personnel or to delivery two courses to two different sub-groups. The exact approach adopted will be determined by national research officials in discussions with the ISNAR and SACCAR;

the provision of advisory services on a particular aspect of research management, or for specialized training of a sub-group of researchers in a given domain. For example, a consultant might review the first draft of a manpower plan drawn up by national research managers, suggesting modifications and discussing how such a plan might be put into action. He could return to the country to supervise implementation of the plan and ensure that changes stemming from issues raised during training seminars and workshops become an institutionalized part of the agricultural research management system. The objective of such close follow-up is to link training activities with organizational change, thereby ensuring that managers can begin to operate in an environment more conducive to improving research results.

Some \$100,000 has been requested under the project for each four-year national improvement program. A detailed plan of action for each national program will be presented to donors annually for approval. If national research systems are able to commit some of their own resources to their program, a multiplier effect can be achieved which will permit the delivery of more events and hence achieve greater overall impact on the national system. The cost of a workshop to ISNAR is about \$25,000 if the national system assumes local expenses (e.g. per diem, transportation). Thus, four specific training events per country can be held in four years. If, however, the host country cannot assume local costs then it is estimated that two events will be held over the four years.

Other Project Components

A. Needs Identification/Activity Planning

An ISNAR staff member serving as project coordinator for the Southern African region will travel with a representative of SACCAR to nine member countries to review with national research leaders critical management training needs and develop curricula for training events. Certain planning sessions will be held during SACCAR meetings with national research directors -- (this has the advantage of being less expensive and permitting an exchange of ideas among all research leaders

simultaneously). It is estimated that the SACCAR Director and Training Officer will devote a total of 27 trips over 4 years (not more than 87 days/year) for planning, coordination and presentation purposes. Two to three missions a year have been budgeted for activity and program planning. The presence of ISNAR and SACCAR staff at various training events will also offer opportunities for further planning sessions; this will maximize cost effectiveness.

B. Project Personnel

To carry out the above activities, ISNAR will require funding for four man-years of professional staff time. The individual, to be recruited as an ISNAR staff member, will serve as project coordinator. He will be based at The Hague so as to benefit and draw from ISNAR management knowledge base, human resources, materials and be responsible for organizing all training events in cooperation with the SACCAR Manpower and Training Officer and the research leaders of the region. This staff person will be backstopped by the Training Section of ISNAR. This staff person will be backstopped by the Training Section of ISNAR. The time of the project coordinator will be devoted to preparing appropriate training materials, planning and implementing workshops, and developing curricula. An effort will be made to recruit the project coordinator prior to project start-up so that he is officially hired and fully operational by the beginning of Project Year 1.

C. Teaching Staff

Trainers will include the SACCAR Manpower and Training Officer, the Project Coordinator, and appropriate ISNAR staff (including those responsible for working with individual national systems). The assistance of the Education Development Institute (EDI) of the World Bank as well as the Food and Agriculture Organization (FAO) will be solicited where appropriate. Consultants with experience in agricultural research management training will be recruited as needed, using ISNAR's roster of tested trainers. For delivery of workshops in Portuguese, the project will draw upon the University of Sao Paulo in Brazil with which ISNAR has been working in agricultural research management training.

Other teaching staff will be sought in the region. Lecturers from the national faculties of agriculture and from local public administration schools such as the Institute of Development Management (IDM) will constitute important resources for training and curriculum development. At the regional policy seminar, experts in agricultural research management from universities and international agricultural research centers will be invited to prepare and present papers on particular issues of relevance to those policymakers concerned with decision-making for the agriculture research sector.

D. Teaching Techniques

Teaching methods will be active and participatory, based on a mix of pedagogic tools such as lectures, presentations,

practical work, simulation games, case studies, and group discussions. Materials will be derived from actual African situations and additional case studies specifically related to the particular region will be developed during the project.

E. Materials Development and Equipment

Basic training modules for several important areas of research management have now been developed by ISNAR. Nevertheless, each training seminar or workshop over the next four years will require certain new materials to take account of particular country settings, participants, and subjects. Funds will therefore be allocated for six man-months of consultancies for the development and tailoring of case studies of direct national relevance and for the formulation of new training modules in key areas of agricultural research management. Likely topics of management for which materials must be developed are cited in Annex II.

F. CDA Program Exchange

Funds have been provided for travel by the SACCAR Manpower and Training Officer or another representative of SACCAR from the SADCC region to the Sahel region to participate as an observer and trainer in a training event in West Africa. During the same trip, this officer will be invited to visit ISNAR to familiarize himself with ISNAR's research, training and service work in the domain of agricultural research management. A reciprocal arrangement will be made for a trainer from the Sahel region to visit Southern Africa.

Organization and Management

A. Execution

The primary responsibility for program implementation lies with ISNAR. Technical coordination including curriculum design and delivery of training events will be the responsibility of ISNAR. SACCAR will undertake logistic coordination at the regional level and will participate in planning and presentation of training activities, and generally serve as the contact office in the region for all planning and implementation of seminars and workshops. The SACCAR Manpower and Training Officer will also identify and recruit potential trainers from the region.

B. Reporting

Brief reports summarizing the content and evaluation of individual training events will be prepared by ISNAR at the close of each seminar or workshop. Quarterly financial and narrative reports, including a financial summary, outlining project progress will be sent by ISNAR to the donors. These reports may be made available to other parties interested in agricultural management training in the region -- for instance, OAU/STRC, IFAD, FAO, the African Development Bank, and EDI. SACCAR will report each year to donors on project progress

during the research sector briefing held as part of the annual SADCC-donor consultations. At this time, the annual ISNAR/SACCAR plan of work and budget will be presented to donors for approval. ISNAR will prepare an end-of-project report for donors.

Evaluation

Evaluation Procedures

ISNAR as a policy requires written and oral evaluations from workshop participants. These evaluations provide an important and immediate measure of participant satisfaction with the training being delivered. ISNAR has also been sending out follow-up questionnaires to participants one year after an event to determine the long-term impact of training on the management contributions of trainees within national research systems.

Under the project, research directors will have the opportunity to review project progress on a semi-annual basis during their regular meetings with SACCAR. While these evaluations provide very important feedback, an evaluation by an independent evaluation group is invaluable. This was demonstrated by the mid-term evaluation conducted by USAID during the CDA Phase I Project.

A training project is best evaluated while the training is being conducted. An external evaluation in Year 2 of the project will include participation in a training event; the timing of the evaluation will be determined in conjunction with the donors. In addition, the evaluation team will be invited to join the deliberations of the research directors during their 2-day seminar to evaluate project impact and make recommendations for further action toward improving agricultural research management in the region.

The external evaluation will involve follow-up questionnaires, and where possible, in-depth interviews with former participants to discuss the impact of the training of the research managers. Furthermore, discussions with high-level officials involved with national level workshops will help describe what impact the workshops have had on specific research management problems. The evaluation team will also hold in-depth discussions with deans of the agriculture faculties in the region to ascertain their views of manpower training requirements in the region.

Project Implementation

Implementation of the Southern African Training Project will begin in late 1986. A tentative schedule of events is presented below:

Year 1*

1st Semester - Recruit and hire Project Coordinator
Meeting of ISNAR and SACCAR to develop overall schedule; preliminary meeting to plan Research Policy Seminar and Portuguese language workshop
Needs assessment mission to Malawi and 2 to 3 other countries
Management Improvement Planning workshops with Malawi

2nd Semester - Completion of needs assessment surveys in remaining countries
- Research Policy Seminar
- Preparation of materials for Portuguese workshop
- Workshops on agricultural research management in Tanzania, Zambia or Zimbabwe

Year 2

- Portuguese Language workshop
- Workshops in each of 4 larger countries (Malawi, Tanzania, Zambia, Zimbabwe)
- Planning of joint workshop for Botswana, Lesotho, Swaziland
- External Evaluation

Year 3

- Workshop for Botswana, Lesotho, Swaziland
- Workshops in Malawi, Tanzania, Zambia, Zimbabwe

Year 4

- Regional Research Directors meeting and evaluation of overall project
- Workshops in Malawi, Tanzania, Zambia, Zimbabwe

*Note: Materials development will occur throughout lifetime of project.

Project Cost and Financing Arrangements

Total project costs are expected to amount to US\$2,252,620. This includes a contribution in staff time and travel by SACCAR of an estimated \$292,000. ISNAR plans to contribute some US\$357,600 to the project. This provides for the services of its country specialists for preparation of training materials and consultations with national systems during planning of the national management improvement programs. In addition, although ISNAR is normally expected under Consultative Group

policy to recover all directly identifiable costs of management support to special projects, ISNAR will allocate a portion of these costs to its core budget given the importance of the project and the usefulness to other developing countries of some of the materials to be developed. Funding required from donors totals US\$ 1,603,020. A summary budget breaking out these costs by activity is provided below:

Summary Budget of Required Funding

1. Regional Policy Seminar	\$ 60,540
2. Portuguese Language	105,500
3. National Seminar (Botswana, Lesotho, Swaziland)	38,660
4. National Seminars for Malawi, Tanzania, Zambia, Zimbabwe (over 4 years) \$100,000 x 4	400,000
5. Project Personnel	
Project Coordinator (\$100,000 x 4 yrs)	400,000
ISNAR Staff (\$ 50,000 x 4 yrs)	200,000
6. CDA Program Exchange	4,600
7. Training Materials	115,000
8. Planning Sessions	35,760
9. Inflation	97,230
10. Contingency	145,730
	<u>\$1,603,020</u>

AID will contribute \$700,000 to the project to support Project Personnel costs (Project Coordinator, \$400,000 and ISNAR Staff, \$200,000) plus inflation (\$35,000) and contingency (\$65,000) factors associated with that item. Disbursements will be through quarterly advances to ISNAR based on their submission of quarterly estimates of expenditures for AID supported costs, and by their accounting, in a format acceptable to AID, for the previous quarter's advance.

Review of ISNAR Management Training Experience

Since its creation in 1980, ISNAR has worked extensively with national agricultural research systems in sub-Saharan Africa.

- (a) It has carried out reviews of such systems in Kenya, Malawi, Somalia, Rwanda, Madagascar, Zaire, the Ivory Coast, and Burkina Faso.
- (b) With CDA support, it has evaluated agricultural research management training needs in Zimbabwe, Sudan, Cameroon and Rwanda.
- (c) With CDA support, it has developed a set of management training materials in English and French to enable the delivery of agricultural research management workshops of up to 4 weeks duration.
- (d) It has developed agricultural research manpower/training plans for Kenya and Zimbabwe.
- (e) And, again with CDA support, it has held regional agricultural research management training seminars in Tanzania, Swaziland, and Mali and national seminar in Cameroon, Rwanda and Kenya.

Of particular relevance are the management training activities which ISNAR has undertaken with the support of CDA under the first phase of the program: Strengthening Agricultural Research Management in Africa. These activities have fallen into the following categories:

(1) Identification of management training needs. ISNAR conducted management training surveys in Zimbabwe, Sudan and Cameroon. The objective of these surveys was to analyze the jobs which agricultural research managers actually do - and to draw conclusions as to how management training might improve performance. In each country, members of a 3-person ISNAR team talked with 60-100 persons directly involved in the research system. The conclusions of these evaluations guided materials development, curriculum design, and the organization of training workshops.

(2) Preparation of training materials. Research management training in Africa requires materials which are relevant to the issues confronting African research managers. At the beginning of the project period, very few such materials existed. As a result, ISNAR undertook a major program to develop training cases/exercises for use in seminars and courses. Materials have been prepared in 4 major areas of agricultural research management:

- (2a) Planning, programming and budgeting: Development of an effective research program depends on its relation to defined national development priorities and user needs. This module begins with a review of agricultural development objectives as formulated in

development plans or other national planning documents. Techniques for reviewing ongoing research activities in light of development goals are introduced and participants learn how to use this data and other available information to establish program goals and determine research priorities.

Once goals and priorities are clearly analyzed, techniques for programming and budgeting of planned activities are presented to participants as a means of strengthening specific management skills. A series of exercises for the development of such skills might include: project preparation, work breakdowns, activity descriptions, precedence diagrams, critical path analyses, responsibility charts, reporting procedures, presenting and defending budgets, and budgetary control.

(2b) Monitoring and evaluation: Feedback from ongoing programs should serve both as a tool for reorienting current activities as well as an input into the development of new policies and plans. Indicators for measuring research results must be defined from the outset and incorporated into regular monitoring procedures in order to help research directors to assess impact on users and to provide useful information to ministry officials and donors. Logical framework analysis is presented as one means of identifying and organizing the elements necessary to an evaluation.

(2c) External and internal systems of communication: Different types of reports, both written and oral, are required for the end users of research who may include farmers, extension agents, directors of research institutes, ministry officials, regional research centers, the private sector and donors. Understanding the information needs of these various groups is the key to proper communication and can be instrumental in assuring the continuing credibility -- and often, the financial viability -- of research activities. Case studies and group presentations serve to strengthen both the written and oral communication skills of seminar participants.

(2d) Organizational behavior: Human relations play a major role in determining the performance of a given research system. Sensitization of research officials to the implications of various management styles and practices is, therefore, one of the highest priorities in training. Issues covered include the ways in which research personnel establish their authority, the means they use to communicate with and to motivate each other, their attitudes toward delegation of responsibility (for

both scientific and management tasks), the dynamics of teamwork, and the responses of personnel to different leadership practices.

Materials were prepared by field staff under the guidance of experienced management trainers. Typically, these materials were extensively reviewed within ISNAR before classroom testing. Materials were revised again after classroom testing.

Training Activities

In the period from October 1982 to 31 January 1986, the following workshops/seminars were conducted:

- October 1982 ISNAR/IITA Workshop for 66 IITA trainees and post-doctoral fellows at Ibadan, Nigeria. A management trainer from ESAMI participated to prepare for future workshops.
- July 1983 ISNAR/ESAMI Regional Workshop for 26 research deputy directors and station managers from 10 African countries, as well as a trainer from MAMC; Arusha, Tanzania.
- July 1984 ISNAR/MAMC Regional Workshop for 19 research directors general, deputy directors, station directors and project leaders from 12 countries at the Mananga Agricultural Management Centre in Swaziland.
- September/
October 1984 ISNAR/MESRES National Workshop for 34 officials of the Institutes of Agronomic Research (IRA) and Animal Research (IRZ) and 9 observers from regional management training institutions; Nkolbisson, Cameroon.
- January 1985 ISNAR/ISAR Workshops (2) for a total of 85 research managers, administrators, researchers and technicians of the Rwanda Institute for Agronomic Sciences at Rubona and Ruhengeri, Rwanda.
- March 1985 ISNAR/CILSS/INSAH Regional Workshop for 32 senior research managers in Bamako, Mali
- June 1985 ISNAR/MESRES Seminar on Techniques of Communication for 18 heads of programs or stations of IRA and IRZ; Douala, Cameroon.
- Sept. 1985 ISNAR/MAMC Regional Workshop for research directors general and deputies, station directors and program leaders from 12 countries, at Mananga, Swaziland.
- January 1986 ISNAR/MOALD/Egerton College - National Workshop for 25 Kenyan research leaders at Njoro, Kenya.

Evaluation

All of these training workshops have received extensive written and oral evaluations by participants. Participants have expressed a very high satisfaction with the training received, and have considered the training highly relevant to their professional needs.

A one-year post-workshop follow-up questionnaire to the participants of the workshop held in 1983 in Tanzania indicated continued satisfaction with the quality and relevance of the training. Participants cited examples of improved performance such as an improved capability to attract government funding for agricultural research, to improving delivery of research results to farmers. In June 1985, ISNAR staff were involved in an extensive impact study of the management training done in Cameroon.

Topics in Agricultural Research Management

Based on needs expressed by leaders of national agricultural research systems, ISNAR has begun to develop increased understanding of an expertise in a number of essential areas of research management. Over the course of the second phase of the CDA management training program, particular attention will be paid to developing training materials in these areas and adapting them to national requirements. The subject areas include:

1. Planning, priority setting and resource allocation -- planning at the macro level.
2. Research program formulation -- programming at the micro level.
3. Monitoring and evaluation.
4. Human resources management.
5. Management of financial resources.
6. Management of physical resources -- station and infrastructure development.
7. Information management.
8. Linkage management with other sources of knowledge and expertise (IARCs, universities, etc.) -- the upstream linkages.
9. Linkage management with the users of technology (technology diffusion systems and farmers) -- the downstream linkages.
10. Policy environment.
11. Organization and structure.

SUMMARY BUDGET BY YEAR
US\$

	Year 1	Year 2	Year 3	Year 4	Total
1) Activity Costs	160,540	205,500	143,260	100,000	609,300
2) Materials Preparation	40,000	30,000	25,000	20,000	115,000
3) Project Planning Activities	8,940	8,940	8,940	8,940	35,760
4) Project Personnel	<u>150,000</u>	<u>150,000</u>	<u>150,000</u>	<u>150,000</u>	<u>600,000</u>
<u>SUB-TOTAL Required Funding</u>	<u>359,480</u>	<u>394,440</u>	<u>327,200</u>	<u>278,940</u>	<u>1,360,060</u>
5) SACCAR Contribution	73,000	73,000	73,000	73,000	292,000
6) ISNAR Contribution	<u>89,400</u>	<u>89,400</u>	<u>89,400</u>	<u>89,400</u>	<u>357,600</u>
<u>GRAND TOTAL</u>	<u>521,880</u>	<u>556,840</u>	<u>489,600</u>	<u>441,340</u>	<u>2,009,660</u>

PROJECT AGREEMENT

Annex B

PROAG STANDARD PROVISIONS ANNEX

- A. Reference to 'this Agreement' means the original Project Agreement as modified by any revisions which have entered into effect. Reference to 'cooperating country' means the country or territory of the Grantee.
- B. (1) AID will make available the amount specified in Block 3 of this Agreement, as necessary for the Project, as may be further described in Annex A.
- (2) The Grantee will make available the amount specified in Block 4 of this Agreement, as necessary for the Project, as may further be described in Annex A. The Grantee will also make, or arrange to have made, additional contributions of property, services, facilities and funds required for carrying out the Project as specified in Annex A.
- C. AID and the Grantee may obtain the assistance of other public and private agencies in carrying out their respective obligations under this Agreement. The two parties may agree to accept contributions of property, services, facilities and funds for purposes of this Agreement from other public and private agencies, and may agree upon the participation of any such third party in carrying out activities under this Agreement.
- D. Except as otherwise specified herein or subsequently agreed by the parties, all contributions of the parties pursuant to this Agreement shall be made on or before the Project Assistance Completion Date, or amended date. A contribution of goods or services shall be considered to have been made when the services have been performed and the goods furnished as contemplated in this Agreement. Disbursement of funds may take place after final contributions have been made, but AID shall not be required to disburse funds hereunder after the expiration of nine months following the estimated Project Assistance Completion Date (Block 5 of this Agreement) or any amended Project Assistance Completion Date specified.
- E. The procurement of commodities and services to be financed in whole or in part by AID may (where so required by AID procedures) be undertaken only pursuant to Project Implementation Orders (PIOs) issued by AID.
- F. Unless otherwise specified in the applicable PIO or Project Implementation Letter (PIL), the procurement of commodities imported specifically for the Project and financed with the AID contribution referred to in Block 3 of this Agreement shall be subject to the provisions of AID Regulation 1.
- G. Unless otherwise agreed by the parties or otherwise specified in the applicable PIO, title to all property procured through financing by AID pursuant to Block 3 of this Agreement shall be in the Grantee, or such public or private agency as it may authorize.

- H. (1) Any property furnished to either party through financing by the other party pursuant to this Agreement shall, unless otherwise agreed by the party which financed the procurement, be used effectively for the purposes of the Project in accordance with this Agreement, and upon completion of the Project, will be used so as to further the objectives sought in carrying out the Project. Either party shall offer to return to the other, or to reimburse the other for, any property which it obtains through financing by the other party pursuant to this Agreement which is not used in accordance with the preceding sentence.
- (2) Any funds provided to either party pursuant to this Agreement which are not used in accordance with this Agreement, shall be refunded to the party providing the funds.
- (3) Any interest or other earnings on funds provided by AID to the Grantee under this Agreement will be returned to AID by the Grantee.
- I. (1) If AID and any public or private organization furnishing commodities through AID financing for operations hereunder in the cooperating country, is, under the laws, regulations or administrative procedures of the cooperating country, liable for customs, duties and import taxes on commodities imported into the cooperating country for purposes of carrying out this Agreement, the Grantee will pay such duties and taxes unless exemption is otherwise provided by any applicable international agreement.
- (2) If any personnel (other than citizens and residents of the cooperating country), whether United States Government employees, or employees of public or private organizations under contract with or individuals under contract with AID, the Grantee or any agency authorized by the Grantee, who are present in the cooperating country to provide services which AID has agreed to furnish or finance under this Agreement, are under the laws, regulations or administrative procedures of the cooperative country, liable for income and social security taxes with respect to income which they are obligated to pay income or social security taxes to the Government of the United States of America, for property taxes on personal property intended for their own use, or for the payment of any tariff or duty upon personal or household goods brought into the cooperating country for the personal use of themselves and members of their families (not including such personal or household goods as may be sold by any such personnel in the cooperating country) or if any firm, not normally resident in the cooperative country, is liable for income, receipts, or other taxes on work financed by AID hereunder, the Grantee will pay such taxes, tariff, or duty unless exemption is otherwise provided by any applicable international agreement.
- J. If funds provided by AID are introduced into the cooperating country by AID or any public or private agency for purposes of carrying out obligations of AID hereunder, the Grantee will make such arrangements as may be necessary so that such funds shall be convertible into currency of the cooperating country at the highest rate which, at the time the conversion is made, is not unlawful in the cooperating country.

- K. AID shall expend funds and carry on operations pursuant to this Agreement only in accordance with the applicable laws and regulations of the United States Government.
- L. The two parties shall have the right at any time to observe operations carried out under this Agreement. Either party during the term of the Project and for three years after the completion of the Project further have the right: (1) to examine any property procured through financing by that party under this Agreement, wherever such property is located; and (2) to inspect and audit any records and accounts with respect to funds provided by, or any properties and contract services procured through financing by, that party under this Agreement, wherever such records may be located and maintained. Each party, in arranging for any disposition of any property procured through financing by the other party under this Agreement, shall assure that the rights of examination, inspection and audit described in the preceding sentence are reserved to the party which did the financing.
- M. AID and the Grantee shall each furnish the other with such information as may be needed to determine the nature and scope of operations under this Agreement and to evaluate the effectiveness of such operations.
- N. The present Agreement shall enter into force when signed. Either party may terminate this Agreement by giving the other party thirty (30) days written notice of intention to terminate it. Termination of this Agreement shall terminate any obligations of the two parties to make contributions pursuant to Block 3 and 4 of this Agreement, except for payments which they are committed to make pursuant to noncancellable commitments entered into with third parties prior to the termination of the Agreement. It is expressly understood that the obligations under paragraph H relating to the use of property or funds shall remain in force after such termination. In addition, upon such termination AID may, at AID's expense, direct that title to goods financed under the Grant be transferred to AID if the goods are from a source outside the Grantee's country, are in a deliverable state and have not been offloaded in ports of entry of the Grantee's country.
- O. To assist in the implementation of the Project, AID, from time to time, may issue PILs that will furnish additional information about matters stated in this Agreement. The parties may also use jointly agreed-upon PILs to confirm and record their mutual understandings on aspects of the implementation of this Agreement.
- P. The Grantee agrees, upon request, to execute an assignment to AID of any cause of action which may accrue to the Grantee in connection with or arising out of the contractual performance or breach of performance by a party to a direct U.S. Dollar contract with AID financed in whole or in part out of funds granted by AID under this Agreement.

memorandum

DATE: September 25, 1986

REPLY TO
ATTN OF: Edward Spriggs, Regional Legal Advisor, USAID/Swaziland
Transmitted by Mbabane 03528, dated 9/17/86

SUBJECT: Legal Opinion: Southern African Agricultural Research -
Management Training Project 698-0435.06

TO: John P. Hummon, Director, USAID/Botswana

1. Summary

For all Southern Africa Regional Projects where benefits will be provided to countries prohibited from receiving direct U.S. assistance, a legal opinion is required to determine the extent to which all or part of such projects meet legislative requirements. In the case of the subject project, no components financed by AID will directly benefit prohibited countries. Accordingly, it is concluded that the project may proceed as designed.

2. The Nature of the Project

The project will strengthen the capacity of agricultural research managers to organize and manage research activities which effectively and efficiently address Southern Africa's food problems. The grant will support a training program for agricultural research managers in Southern Africa to be developed and managed by the International Service for National Agricultural Research (ISNAR) in collaboration with the Southern African Centre for Cooperation in Agricultural Research (SACCAR). Funding will also be provided by other donors. AID funding will be disbursed on a parallel basis for discrete project activities and will not be commingled with other donor funds. Grant funds will be used for project personnel. SACCAR is a Southern African Development Coordination Conference (SADCC) organization. For various reasons, the project will be obligated on a bilateral basis with the Government of Botswana.

3. Legislative Restrictions

Direct assistance to Angola and Tanzania is prohibited by separately applicable provisions in the Continuing Appropriations Act of 1986, PL 99-190. Section 512 of that Act states explicitly that none of the FY 1986 funds appropriated for AID "shall be obligated or expended to finance directly any assistance to Angola." The furnishing of assistance to Tanzania is prohibited in general terms by the Brooke

OPTIONAL FORM NO. 10
(REV. 1-80)
GSA FPMR (41 CFR) 101-11.
5010-114

Amendment, Section 518 of the same act, which applies to any country which is in default for over one year on certain AID-related loan payments to the United States. Bilateral assistance to Mozambique is limited by the 1986 Continuing Appropriations Act, which states that funds appropriated "for Mozambique may be made available only for activities in support of the private sector." This restriction, however, is not applicable per se to funds appropriated for the Southern Africa Regional Program.

On the other hand, Congress has expressed a very strong policy favoring support to all nine SADCC countries in a regional context. Section 802 (a) of the International Security and Development Cooperation Act of 1985 provides in relevant part as follows:

- "(A) Funds for Southern Africa Regional Programs. Of the amounts authorized to be appropriated ... for regional programs in Southern Africa ... not less than 50 percent of each of these amounts shall be allocated to assist sector projects supported by the Southern Africa Development Coordination Conference (SADCC) to enhance the economic development of the nine member states forming this important regional institution, especially in the following sectors: transportation, agriculture research and training, manpower development and institutional support for the SADCC secretariat."

It is my view that the above language, when read in connection with the restrictions on assistance to Angola and Tanzania, authorizes the Agency to develop and finance SADCC projects such as the present one, even in the face of restrictions on bilateral aid to one or more individual SADCC members, so long as funds are not obligated to, or expended for the primary purpose of directly benefiting, those countries.

4. Analysis

An examination of the project components funded by AID and other donors will reveal that AID funds will not provide any direct benefits to the prohibited countries.

A. Total project costs are expected to amount to US \$2,252,620. This includes a contribution in staff time and travel by SACCAR of an estimated US \$292,000. ISNAR plans to contribute some US \$357,600 to the project. This provides for the services of its country specialists for preparation of training materials and consultations with national systems during planning of national management improvement programs. Funding required from donors totals US \$1,603,020 as set forth below:

- 1. Regional Policy Seminars	\$ 60,540
- 2. Portuguese Language	105,500
- 3. National Seminar (Botswana, Lesotho, Swaziland)	38,660
- 4. National Seminars for Malawi, Tanzania Zambia, Zimbabwe (over 4 years) \$100,000 x 4	400,000
- 5. Project Personnel	
Project Coordinator \$100,000 x 4 yrs	400,000
- ISNAR staff \$50,000 x 4 years	200,000
- 6. CDA Program exchange	4,600
- 7. Training Materials	115,000
- 8. Planning Sessions	35,760
- 9. Inflation	97,230
- 10. Contingency	145,730
Total	<u>1,603,020</u>

B. AID will contribute US \$700,000 to the project to support 100 percent of project personnel costs (project coordinator: US \$100,000 x 4 years and ISNAR staff: US \$50,000 x 4 years, plus inflation and contingency factors associated with these items).

C. Several of the above components, particularly the seminars, planning sessions and training materials, may indirectly benefit one or more of the prohibited countries because those countries are expected to provide participants to such seminars or other activities. In addition, at least one workshop may be conducted in a prohibited country and training materials developed by the project may be utilized in and by prohibited countries, thus, arguably, providing more direct benefits to such countries.

D. However, AID funds will not be going to any of these activities. Instead, AID will finance the project coordinator and ISNAR technical staff, who at most will provide very indirect benefits to the prohibited countries in that they will be setting up and running the workshops, seminars and planning sessions and developing the training materials.

5. Conclusion

Given the above, and the fact that AID is not financing activities in prohibited countries or participants from prohibited countries, it is clear that AID's financial participation in this project does not violate the statutory prohibitions against direct assistance to Tanzania and Angola.

**Summary Table for Authorized and Planned Activities and Obligations
under the SAAR Umbrella Project 698-0435 (FY 1986 - FY 1987)**

<u>Authorized Activities</u>	Authorization Amount (\$,000)	Previous Obligations (\$,000)	1986 Obligations (\$,000)	1987 Obligations (\$,000)
Devres Contract (completed 10/85)	3,502	3,481 ^F	-	-
USDA/RSSA (completed 12/85)	1,000	1,000 ^F	-	-
Donor/African Coordination Fund	250	3	3	25
Contracts for overall project support	250	-	25	25
698-0435.01 CIAT, Bean Research in East Africa	2,500	850	1,650 ^F	-
698-0435.02 ICIPE, Plant Resistance to Insect Attack	2,500	2,500 ^F	-	-
698-0435.03 CIMMYT II, Farming Systems Research	5,000	1,690	1,720	1,590 ^F
698-0435.04, CIP Potato Improvement in Central Africa	1,557	-	839	718 ^F
698-0435.05 F/FRED (Africa Bureau fund to S&T)	300	-	300 ^F	-
<u>Planned Activities</u>				
698-0435.06 ISNAR II, Southern African Ag. Research Mgmt Training	700	-	700	-
698-0435.07 IITA, Root Crops Research Network	725	-	-	725 ^F
698-0435.08 Agroforestry Research	2,125	-	-	2,125 ^F
698-0435.09 Rice Research	3,750	-	-	1,167
Totals	<u>24,159</u>	<u>9,524</u>	<u>5,237</u>	<u>6,375</u>

F = Fully Funded

August 26, 1986

33