



A strategy to enhance the capacity of stakeholders in Africa and Europe to jointly implement Agricultural Research for Development (ARD)

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Summary and Key Messages

Context

The purpose of the PAEPARD II Project (referred to hereafter as “PAEPARD”) is to build more joint African-European multi-stakeholder partnerships in agricultural research for development, which are more balanced in terms of research and non-research stakeholders, and which contribute to achieving the Millennium Development Goals (MDGs).

PAEPARD is coordinated by FARA. The project is implemented through seven strongly interdependent ‘work packages’ (WPs), each led by a leader and co-leader and jointly coordinated by an African and a European Co-Manager:

- WP1 and WP2 initiated project actions by mobilising European and African stakeholders (respectively) for ARD (agricultural research for development) partnerships.
- WP3 supports the internal communication within all work packages, particularly within WP5, and works to raise the visibility of the Project.
- WP4 supports the development of innovation-oriented multi-stakeholder ARD partnerships, through strengthening capacity of these partnerships in key areas. It is closely integrated with WP5.
- WP5, the heart of the Project, seeks to broker innovative partnerships, involving research and development partners from both Africa and Europe, leading to the formulation of joint action plans, the development of targeted ARD proposals, and ultimately the establishment of successful and funded multi-stakeholder ARD projects.
- WP6 advocates with funders of ARD to create funding opportunities for the new kind of partnership proposals developed within the Project.
- WP7 ensures effective management and coordination of the Project through two co-managers, one based in Africa and the second in Europe.

Responding to gaps identified in both the PAEPARD I and PAEPARD II projects, this desk study was commissioned to propose options for a capacity strengthening strategy for PAEPARD II, in order to enhance the capacity of African organisations and individuals to more actively participate in equitable and multi-stakeholder ARD partnerships with Europe. Based on a review of capacity strengthening approaches and tools, the desk study provides a guide on how to respond to the prioritised capacity needs of the partnerships being facilitated by PAEPARD. It also identifies potential providers of capacity strengthening services, including education and training organisations, NGOs, FOs, research and extension organisations.

The strategy for capacity strengthening suggested here also attempts to fit within the broader project strategy and ongoing activities – given that the desk review was conducted in the 2nd year of the 3-year project. WP5 co-leaders, in conjunction with the WP4 co-leaders and the WP5 working group, had already developed a dual strategy for partnership development: “slow track” and “fast track” streams.

The “**fast track**” starts with an open PAEPARD call for proposals around a theme of interest to a potential partnership, with successful partnerships receiving support for a “partnership inception workshop”, and a subsequent “proposal development writeshop”. It was expected that successful partnerships would have identified a potential source of finance for the partnership project, but experience with the 1st call (in early 2011, a second call was issued in June) showed that this cannot be guaranteed in all cases. It may therefore be necessary for PAEPARD to identify such funding opportunities once the concept notes have been prepared at the PI workshop, as well as suggest new partners to make access to identified funding easier and support to develop the full proposal (through the writeshop but also through additional support as needed).

The “**slow-track**” procedure starts with a federating theme, identified through stakeholder consultations in Europe and Africa (Work Packages 1 and 2), and envisages a role for a “broker” in

identifying and bringing together suitable partners in a consortium around the theme (assisted by the information services of WP3). Following the formation of the proposed consortium, the partners would attend “partnership inception workshops” and “proposal development writeshops” as in the fast track procedure.

The slow and fast track procedures therefore imply the formation of a group of “AI facilitators”, who can either broker the formation of partnerships around a given federating theme and/or facilitate different stakeholders to effectively work together as an effective partnership.

This desk review proceeded on the assumption that this overall, dual-track, strategy is the context in which the capacity-building activities of WP4 will be conducted. PAEPARD can be considered as a capacity building project; the activities suggested in this review, and those of WP4 in general, are therefore inextricably linked with the activities of all the activities of the different work packages as defined at the project outset, and redefined as the project proceeds.

Methods

The desk review was conducted during April and May, 2011. The five members of desk review team were nominated by PAEPARD partner organisations (ICRA, RUFORUM, NRI, FANRPAN and EAFF), and came together for an initial scoping workshop in Entebbe, during April 4-6¹. At this workshop, existing documents, the objectives and activities of the project, and the TOR for the desk study were reviewed. The tasks of the desk review were then allocated between the team members for individual action during the remainder of April and May.

A second, if originally unscheduled milestone, was the African Stakeholders’ Workshop held in Nairobi, during May 11-13. At this meeting, PAEPARD Co-Managers, WP4, WP5 Co-Leaders, and project partners and consultants further discussed and defined project activities, as well as the schedule and programme for proposed “partnership inception” workshops for consortia selected under the 1st call. In other words, the overall project strategy increasingly became defined.

Finally, the overall results of the desk review and proposed strategy were presented at a WP4-WP5 “strategy meeting” in Leeds, UK, during June 20-21, 2011. At this meeting, representatives of the project partners reviewed and validated the main findings and suggested activities.

Stakeholder consultations

The stakeholder consultations conducted under WP1 (Europe) and WP2 (Africa) are reviewed in Chapter 3 of this report.

Much useful information was obtained from these stakeholder consultations on their perceptions of the value of research and how to build and sustain appropriate partnerships. However, there was little in the way of a capacity-building needs assessment. There was a poor response to the stakeholder consultation from the European research organizations (9%). The response from the private sector organizations (15%) was perhaps more understandable, given the novelty of the PAEPARD concept and general lack of interaction with research consultations. Some organisations thought that the relevance of PAEPARD had not been made clear. PAEPARD therefore needs to be more effective in communicating with stakeholders and make EU research organisations more aware of opportunities offered by the project (e.g. through brokerage and adding value to current ways of responding to published calls). NGOs were the least enthusiastic about partnership with research, believing that there was insufficient evidence of positive outcomes and impact from research. Farmers’ organisations in Africa were regarded an important target for capacity-building to ensure that they were a source of and conduit for research topics, reflecting the demand from their members. It was therefore felt that farmers’ organisations should lead on prioritization.

¹ The RUFORUM representative on the team was changed after the initial workshop, due to availability problems.

Among the private sector stakeholders in Europe (mainly fresh produce export-import) also, there was generally a poor appreciation of what research can offer to respond to their needs, in a timeframe and with practical results that can help solve the challenges faced by business. Therefore, there is a strong need for appropriate platforms for regular and structured dialogue between operators and researchers on clearly targeted issues. Most participants were in favour of the ‘placement’ of young researchers for a period in producers’ organisations. It was a generally expressed view that it was important to allow time for partnership development. While donors judge project proposals on the strength of the partnerships, rarely are time and funds made available at the outset to develop and build those partnerships.

Participants at the multi-stakeholder workshop in Europe listed a number of areas where capacity building might be delivered through PAEPARD. They also recognised the importance of identifying the levels at which capacity building should be undertaken. They concluded that PAEPARD should focus on; a) methods and tools, b) communication on documentation of experiences, c) experience sharing, d) coaching systems for facilitators, e) case studies, f) co-design and co-implement capacity building efforts and work at different levels (i.e. managers, technicians etc).

The outcomes of the stakeholder consultations in Africa were also very broad, in terms of capacity development needs and research priorities. Capacity development needs identified included:

- Monitoring and Evaluation; impact and learning;
- Policy analysis and research;
- Partnership formation brokerage and networking;
- Knowledge management;
- Resource mobilization/proposal writing;
- Convening dialogues/farmer mobilization;
- Human resource management/technical expertise;
- Regional integration in programming;
- Market and market linkages;
- Post-harvest handling/value addition;
- Financial reporting;
- Corporate governance.

Research priorities included:

- Food security (Post harvest technologies, Animal husbandry, Aquaculture, Environment and climate change)
- Knowledge Management (Indigenous knowledge, Documentation of innovations, Transfer of technologies, ICT and MIS)
- Institutional development (Monitoring and Evaluation, Capacity building of technical personnel/human resource development/sustainability (non-state actors can be equal partners in discussions and forums), Mobilization of farmers & Policy and advocacy, Corporate governance, Partnerships and networks)

Federating themes, around which European-African partnerships could be formed, were also very broad (except for the ‘Bio Control Agents’ theme put forward by the EU private sector and the East African Farmers Federation). The others included, from European stakeholders:

- Food security;
- Eco-system governance;
- Farmer Empowerment;
- Innovation and change;

From African stakeholders, federating themes included:

- Food security and climate changes

- Post-harvest technologies
- Knowledge management and indigenous knowledge inclusion
- Capacity building and institutional development
- Market access, value chain markets, pricing
- Water use and management
- Financing mechanisms in Agriculture esp. access to credit

Review of literature on partnerships and capacity building

A literature review of capacity strengthening for partnerships is presented in Chapter 4. This identified characteristics of individuals, organisations and the “enabling environment” that facilitate partnerships:

At the *individual* level:

- Shared passions;
- Agreed roles;
- Sharing of information;
- Effective communication;
- Commitment and focus;
- Mutual respect;
- Flexibility to adapt;
- Trust.

At the *organisational* level:

- Shared vision, interdependence and complementarity;
- Strong endorsement and consistent support from senior leadership;
- Appropriate institutional and individual benefits;
- Investment in human and social capital;
- Resource sharing and joint resource mobilization;
- Good prospects for scaling up and institutionalisation;
- Dynamic strategy formulation;
- A learning culture;
- Distribution of power;

And at the level of the *enabling environment*:

- A system to broker/facilitate the interaction between individuals and organisations
- A large degree of freedom in the decision-making processes
- Delegation as well as demanding of responsibility
- Support for the development of leadership and commitment;
- Flexibility for adjusting organizational structures;
- Allocation of tasks and roles of organisations according to process rather than a hierarchical administrative structure; and

Looked at from a “capacity” perspective, it is suggested in the literature that capacity building for partnerships can also be focused:

- At the *partner* level, where capacity strengthening can focus on motivating and providing incentives, fostering leadership, improving relevant skill levels, and enhancing the ability of partners to maintain relationships, collaborate, and to learn from each other;
- At the *relational* level, where the linkages, partnerships, and networks that enable innovating agents to operate efficiently and effectively can be enhanced through capacity building focusing

on communication, negotiation, conflict resolution, and the development of social capital and trust, and at

- At the *system* level, the capacity of decision- and policymakers can be developed as a foundation for improving the macro institutions, structures, policies, and rules that support the actions and interactions of innovating agents.

The implications of the above for PAEPARD is that any capacity building strategy for balanced and equitable partnerships will need to work on these three fronts: at the level of individual partners; at the level of the partnerships (research consortia) and at the level of enabling environment (e.g. policy and advocacy).

Review of ARD projects, programmes and organisations

A review of ARD partnerships and building capacity for these is given in Chapter 5. As with the stakeholder consultations and also the literature review, the review of recent ARD projects produced a lot of information about partnerships and generally revalidated the commonly reported “prerequisites” of partnerships:

- A common goal or shared objectives;
- A common understanding of key concepts and shared/expected processes;
- Practical objectives;
- Institutional commitment.
- Legitimacy of representation;
- Effective communication between all partners;
- Mutual respect and trust;
- Effective and shared learning;
- Effective brokerage.

The review on ARD partnerships did not give much insight on capacity building for these, however. Most projects relied on participatory training workshops and the innovative aspects were the use of ‘action learning or ‘learning by doing’ and ‘guided learning’. The essential feature of guided learning is its iterative nature, with participants returning, perhaps several times to the seminar environment to modify their plans or ideas on the basis of experiences in implementation since the previous learning event. Fundamental to this approach is the role of the facilitator, who can guide the learning process.

Capacity-building strategy

The suggested strategy for strengthening the research partnerships is given in Chapter 6. The key elements of the PAEPARD Project strategy have already been defined in the project documents, and further developed in the annual work plans so far developed. The proposals for capacity strengthening put forward in this chapter are therefore intended to support this overall project strategy. These proposals include:

1. The continued support to African-European, multi-stakeholder partnerships resulting from the PAEPARD calls under the “fast track” process, involving the 1st and 2nd calls. This includes:
 - a. The partnership inception workshops and
 - b. Proposal development “writeshops”.

Draft programmes are given for each of these activities. Critical to the success of these partnerships will be the support given to the AI facilitators selected by the consortia.

2. The development of a core group of AI brokers/ facilitators who can then bring potential partners together around “federating themes” (WP5) and facilitate their interaction through a similar process of partnership inception workshops, proposal development writeshops and support to access funding. Terms of reference for these AI facilitators are given in the report. It is suggested that these AI facilitators be supported through:

- a. An initial workshop to explore roles and responsibilities;
- b. Continued support from the information systems being developed in WP3 (especially to identify suitable funding sources for the partnerships);
- c. Backstopping (technical and administrative), to enable the AI facilitators to be able to design, plan and implement partnership inception workshops and writeshops, and guide the consortia through to the point of proposal submission to a recognised financial source with a reasonable prospect of success.
- d. Subsequent “review workshops”, after the initial cycle with their respective consortia, to review i) the performance of the partnerships/consortia formed, and ii) the performance of the AI facilitators themselves.
- e. Additional training in short courses on brokerage/facilitation of multi-stakeholder processes, such as those offered by TPI, ICRA, CDI-WUR and others. Alternatively, and if a consistent set of needs are identified by the AI facilitators, PAEPARD could consider contracting one of these agencies to conduct tailor-made short courses in the region.
- f. Backstopping (technical and administrative), to enable the AI facilitators to be able to design, plan and implement partnership inception workshops and writeshops, and guide the consortia through to the point of proposal submission to a recognised financial source with a reasonable prospect of success.
- g. Subsequent “review workshops”, after the initial cycle with their respective consortia, to review i) the performance of the partnerships/consortia formed, and ii) the performance of the AI facilitators themselves.
- h. Additional training in short courses on brokerage/facilitation of multi-stakeholder processes, such as those offered by TPI, ICRA, CDI-WUR and others. Alternatively, and if a consistent set of needs are identified by the AI facilitators, PAEPARD could consider contracting one of these agencies to conduct tailor-made short courses in the region.

It should be noted that this process involves a process of partnership formation distinct from that used in the 1st and 2nd calls. If AI Facilitators are used to “broker” partnerships in this way, the 3rd and subsequent PAEPARD calls should logically be directed to the AI Facilitators – not necessarily open to all organisations to submit their own consortia.

3. Specific support to key stakeholder groups, such as farmer organisations and associations of SMEs in Africa at sub-regional and/or national level, to enable them to enter into partnerships on a more equitable basis. Ways of doing this might include:
 - a. Strengthening the capacity/competence of farmer organisations in analysing and documenting partnership case studies (e.g. as projected under WP2);
 - b. Specific workshops to discuss with farmer organisations how different concerns can be “translated into” research questions, so that farmer organisations know better what they can expect from research, can prioritise research needs, and are more capable of demanding research from prospective partners.
 - c. Ensuring that demand from end-users precedes agreement on research topics, that demand articulation is part of the TORs for the ‘Broker’ and the role of research partners becomes more one of translating farmers’ problems or constraints into researchable constraints.

Key Messages

- More has to be done to explain PAEPARD to the European Research community and private sector, if more organisations are to engage with the project.

- NGOs who participated in the stakeholder consultations were particularly sceptical about the value of research to the development process. Persuading all non-research stakeholders to commission and participate in research will require greater investment in impact assessment and access to that information.
- NGOs believe they are in a good position to offer ‘brokerage’ services to the partnership building and innovation process.
- It was the view of Farmers Organisations represented in the consultation, and widely agreed by all stakeholders, that FOs should be responsible for the articulation of farmer demand for research. The ability to conduct participatory needs assessment and translate that need into researchable constraint is a capacity building need within FOs and requires close partnership between FOs and research.
- There is a lack of clarity in the overall project strategy in the roles of ‘Facilitator’ and ‘Broker’. Following the first partnership inception workshop and the WP4 strategy workshop in Leeds, it was agreed that the roles of Project Leader and Facilitator could be merged, if partnerships found the separation of roles inconvenient.
- Brokers could have a role to play in building the partnership consortia for the slow-track process but it remains unclear how they will be identified and what would be the incentive for their participation.
- Federating themes suggested at the stakeholder workshop were mainly too general to provide a reference for building partnerships for research consortia. One exception was that of ‘bio-control’ agents, which was suggested by the private sector participants at the Florence workshop and is strongly supported by COLEACP. WPs 1 and 2 are expected to suggest further, more focused, federating themes.
- The AI Facilitator training workshops will now be directed towards building their capacity in partnership development, agricultural innovation system approaches and AR4D in order to be able to facilitate the Partner Inception Workshops.
- ‘Brokers’ may have a role to play in building partnerships for the slow-track process. The project needs to clarify this role within the overall project strategy, and agree on a mechanism to identify and resource these individuals.
- The capacity building strategy of the PAEPARD Project is inextricably linked with the overall Project Strategy of forming balanced partnerships. A number of significant questions were raised about this Project Strategy during the period of this Desk Review and the compilation of this report. While many of these issues were raised at the Leeds meeting to review the report and the suggested strategy for WP4 (capacity strengthening), it is recommended here that a wider review of the project strategy be undertaken, with a wider group of Project stakeholders than was possible in Leeds, once the initial round of Partnerships inception workshops is completed, and the 2nd Call applications have been screened (e.g. at the end of August). One way to achieve this would be to bring forward the date of the Management Team Meeting currently scheduled for early December.

1 Introduction

1.1 Background to PAEPARD

There is agreement that agriculture is the sector with the greatest potential for enhancing economic growth on the African Continent and meeting Millennium Development Goals (MDG) targets, due to the proportion of persons that depend directly on agriculture for their livelihoods. However, support for agriculture remains a concern, with limited, and in some cases, decreasing funding for agricultural research. The European Commission (EC) funding mechanisms, including the EDF, FP7, constitute a significant proportion of funding for agricultural research in Africa. However, there remains a challenge to ensure that research is demand-led and that there is an improvement in the quality of partnerships being formed to undertake research.

The purpose of the PAEPARD project is to build more joint African-European multi-stakeholder partnerships in agricultural research for development, which are more balanced in terms of research and non-research stakeholders, and which contribute to achieving the MDGs. One of the conclusions of PAEPARD I was that a wider range of stakeholders, particularly from non-research sectors should be included in research proposals, in order to better achieve adoption and uptake of research outputs. PAEPARD II aims to move from the currently, largely supply-driven approach in ARD, towards a demand-driven approach, involving a wider range of non-research partners. Demand-driven ARD initiatives of high quality will be implemented by multi-stakeholder African-European partnerships. PAEPARD II will nurture partnerships to increase the quantity and quality of joint proposals (leading to more funded initiatives). PAEPARD II will focus not only on FP7, but will include other European Commission (EDF, EC Budget through the FSTP) and bilateral funding instruments supporting ARD that might be mobilized for emerging ARD partnerships.

The PAEPARD Project is coordinated by FARA. The project is implemented through seven strongly interdependent work packages (WP), each led by a leader and co-leader and jointly coordinated by an African and a European Co-Manager:

- **WP1 and WP2** initiate project actions by mobilising European and African stakeholders (respectively) for ARD partnerships.
- **WP3** supports the internal communication within all work packages, particularly within WP5, and - works to raise the visibility of the Project.
- **WP4** supports the development of innovation-oriented multi-stakeholder ARD partnerships, through strengthening capacity of these partnerships in key areas. It is closely integrated with WP5.
- **WP5**, the heart of the Project, seeks to broker innovative partnerships, involving research and development partners from both Africa and Europe, leading to the formulation of joint action plans, the development of targeted ARD proposals, and ultimately the establishment of successful and funded multi-stakeholder ARD projects.
- **WP6** advocates with funders of ARD to create funding opportunities for the new kind of partnership proposals developed within the Project.
- **WP7** ensures effective management and coordination of the Project through two co-managers, one based in Africa and the second in Europe.

1.2 Role of WP4

WP4 aims to achieve “enhanced capacities of African actors to mobilise, facilitate, participate, lead and evaluate joint multi-stakeholder ARD innovation partnerships with Europe” The log frame

includes the following objectively verifiable indicators of this result² (which partly overlap with the indicators of WP5):

- 4.1 Capacity building strategy targeting enhancement of skills and institutional capacity for multi-stakeholder innovation partnerships;
- 4.2 Number of African agriculture innovation facilitators supporting multi-stakeholder partnerships with Europe;
- 4.3 Number of Africa-led ARD partnerships applying for EC funding opportunities;
- 4.4 Proportion of African-European ARD partnerships that have benefited from PAEPARD capacity development initiatives;
- 4.5 Proportion of PAEPARD supported partnerships that result in successful project proposals funded by other donors;

WP4 focuses on enhancing capacities to bring together, build and manage effective and balanced ARD partnerships of research and non-research actors across the two continents, i.e. multi-stakeholder and intercultural, demand-responsive and innovation-oriented partnerships, based on “partnership guidelines” developed through an iterative process. WP4 is expected to benefit from the experience of both the WP4 leader (RUFORUM) and co-leader (ICRA) to support capacity development.

Capacity strengthening activities will be guided by a Strategy to be developed and implemented under coordination of WP4 but in close consultation with all other WPs of the Project. The Strategy will respond to capacity strengthening needs identified through the internal and multi-stakeholder consultations of WP1 and WP2, and build on the partnership guidelines (WP5), on experiences of the partners and case studies and on lessons from other initiatives. To support the development of this strategy, WP4 selected a team of experts from within the Consortium to undertake a Desk Review of (a) capacity strengthening tools and approaches/ experiences available that best respond to the needs identified and (b) of potential providers of capacity strengthening services from among the Consortium partners.

1.3 Objectives of Desk Study

This overall objective of the desk study was to propose options for a capacity strengthening strategy in response to gaps identified in both PAEPARD I and PAEPARD II, in order to enhance the capacity of African organisations and individuals to more actively participate in multi-stakeholder ARD partnerships with Europe. Based on a review of the most appropriate capacity strengthening approaches and tools, the desk study provides a guide on how to respond to the prioritised capacity needs and identify potential providers of capacity strengthening services, including education and training organisations, NGOs, FOs, research and extension organisations, preferably from among the consortium partners³.

The findings of this desk review are expected form the basis for a workshop of all Consortium partners to finalise the capacity strengthening strategy and work plan for WP4.

² Numbering of indicators as per original “description of the action” (PAEPARD II Project Grant Agreement – Annex 1)

³ The objectives and activities of the desk review, as described in this chapter, are taken from the Terms of Reference (V3 – February 2011) provided to the team. These TOR are given in Annex 1 (without tracked changes).

1.4 Activities of the Desk Review Team

The activities of the Desk Review, as included in the TOR (see Annex 1) given to the team, were described as:

1. Internalise the PAEPARD I and II documents, including objectives of the PAEPARD II project and expected results.
2. Participate in and familiarise with findings and lessons from internal and multi-stakeholder consultations of the PAEPARD II project (WP1/WP2), with special emphasis on capacity strengthening needs identified.
3. Internalise overall WP5 and WP3 Workplans to ensure alignment of capacity strengthening services with brokerage and partnership building actions under PAEPARD II.
4. Based on PAEPARD I, the PAEPARD II consultations (see point 2 above) and other stakeholder experiences, summarise/validate capacity gaps amongst African and European partners that constrain/limit formation and establishment as well as impact of African-European multi-stakeholder ARD partnerships.
5. Review and document current capacity strengthening experiences, methods, tools and approaches that best respond to the gaps identified, where relevant making use of lessons from previous successful African-European multi-stakeholder partnerships in ARD.
6. Identify and match existing service providers from among the Consortium partners to provide relevant capacity strengthening services to build more equitable, more demand-driven African-European innovation partnerships.
7. Recommend detailed options for the capacity strengthening strategy and action plan.
8. Share results of the desk review in the form of draft report with all PAEPARD Consortium partners and their stakeholders and incorporate feedback into the final report.
9. Make findings available to WP3 and WP5 for wider utilization and dissemination.
10. Present final results of the desk review at a workshop of all Consortium partners.

A more detailed description of the activities of the team as carried out are given in Annex 2.

1.5 Methods and activities of the DR Team

1.5.1 Initial Planning meeting

The WP4 co-leaders convened a planning workshop for the capacity building Desk Study, which took place in Entebbe on 05/06 April 2011 (see Annex 3). Six people were convened to refine the TORs for the desk study, schedule the activities and agree on a structure for the report, including roles, responsibilities and delivery deadlines for each of the team members. The Team consisted of the WP4 Co-Leader from RUFORUM (Moses Osiru) and the Desk Study Team: Richard Hawkins (representing ICRA, and appointed DR Team leader), Rory Hillocks (NRI, representing AGRINATURA), Marygoretti Kamau (EAFF), Tshilidzi Madzivhandila (FANRPAN) and Paul Kibwika (representing RUFORUM; later replaced by Paul Nampala of Makerere University).

Moses Osiru provided the background to the Desk Study and the capacity building context and much of the first day was spent reviewing the objectives and outcomes of PAEPARD I and PAEPARD II to date, with particular reference to priorities for capacity building and the results of stakeholder consultations in Europe (presented and summarised by Moses Osiru) and Africa (presented and summarised by Marygoretti Kamau and Tshilidzi Madzivhandila, respectively). Paul Kibwika also presented the results of the PAEPARD WP5 consultancy on “innovation brokers”. These discussions

led to a common understanding of the task facing the Team, as expressed by a revised and agreed TOR. The structure and content of the study and the resulting report was discussed during the second day, which led to an agreed plan of activities, capacity strengthening experiences to be reviewed, and roles for each Team member.

1.5.2 Consultation process

The capacity-building strategy must be compatible with and address the needs of WP5 and WP3 and the desk study was therefore conducted in close consultation with those WP Leaders at several stages:

- a. After the first draft of Chapters 1 and 2, to discuss and clarify issues raised at the initial planning meeting. This was achieved through a skype discussion, involving WP4 co-leaders, the African Project co-manager, the European co-leader of WP1, and 3 members of the Desk Study Team (Rory, Paul, Richard). The outcomes of this meeting are included in Section 2.10.
- b. During the PAEPARD African Stakeholders Consultation Meeting (May 12-13, Nairobi), when PAEPARD Co-Managers and WP co-leaders (or their representatives) were present. At this time, the WP5 strategy and draft programme for the partnership inception workshops were further developed, and the dates for the strategy validation workshop was decided: June 20-21).

As the CB Desk Study is expected to build upon information already gathered on capacity needs from the stakeholder consultations, the desk study Team consulted with WP 1 and WP 2 Leaders on the outcomes of those consultations.

1.5.3 Write up process

Having developed a structure and outline for the desk study report, each Team member agreed to accept a number of tasks and delivery dates. Tasks were derived from the list of activities in the TORs. The Team Leader (ICRA) compiled the report from the agreed contributions from team members and was responsible for consultation with WP Leaders. Communication between team members was mainly by email and Skype conference calls, as required.

1.5.4 Strategy formulation workshop

Following the drafting of the desk study report, which includes options for the PAEPARD capacity building strategy, it was forwarded to WP Leaders in preparation for the strategy formulation workshop held in Leeds, June 20-21, 2011. At this workshop, the capacity building strategy suggested in the report was reviewed in the context of the overall project strategy, and a number of improvements suggested which have been incorporated in this final report.

2 Results of the Initial Team Meeting

2.1 Review of existing documentation

During the initial Team meeting, a considerable number of documents were made available to the desk study Team by the WP4 Co-Leaders (see Annex 4 for complete list). These documents were used to inform and guide the Team in interpreting TOR and in planning activities⁴.

2.2 Review of WP1 and WP2 consultations

Available reports containing results of the stakeholder consultations (questionnaires and face-to-face workshops) carried out as part of WP1 and WP2 were reviewed briefly in the initial Team meeting. These consultations are expected to lead a) stakeholder needs for capacity strengthening, as expressed directly by stakeholders, and b) case studies of previous multi-stakeholder partnerships, which would indicate areas where future capacity strengthening could improve such partnerships.

The reports will be summarised in more detail in Chapter 3. In general, the Team noted at the initial meeting that areas of research interest, and capacity building needs expressed by stakeholders in both Europe and Africa were highly varied, and fell under 2 main areas: a) particular thematic areas, such as “innovative technologies”, and b) more cross cutting skills relating to the management and administration of partnerships in general, such as “partnership building”, “project management”, “grant administration”, “proposal development”, “monitoring and evaluation”, etc.

The array of capacity strengthening needs identified goes far beyond what the currently envisaged activities of WP4 can reasonably offer. *The Team therefore concluded that this capacity strengthening should focus on those cross cutting skills needed by to all multi-stakeholder partnerships: partnership development, project development, and proposal development.*

The Team also noted that WP1 and WP2 results reported to date identify interesting experiences with multi-stakeholder partnerships, but that few of these have yet been developed or documented to the point where these experiences are useful for developing a strategy or priorities for capacity strengthening. Those case studies that are available will be reviewed in more depth in Chapter 3.

2.3 Review of WP3 strategy

The Team briefly reviewed the expected outcomes and activities of WP3. In general, it was not clear if and how the WP4 capacity strengthening activities should interact with, or contribute to the activities and outcomes of WP3. *The Team therefore concluded that WP4 capacity strengthening efforts should focus on interaction with WP5.*

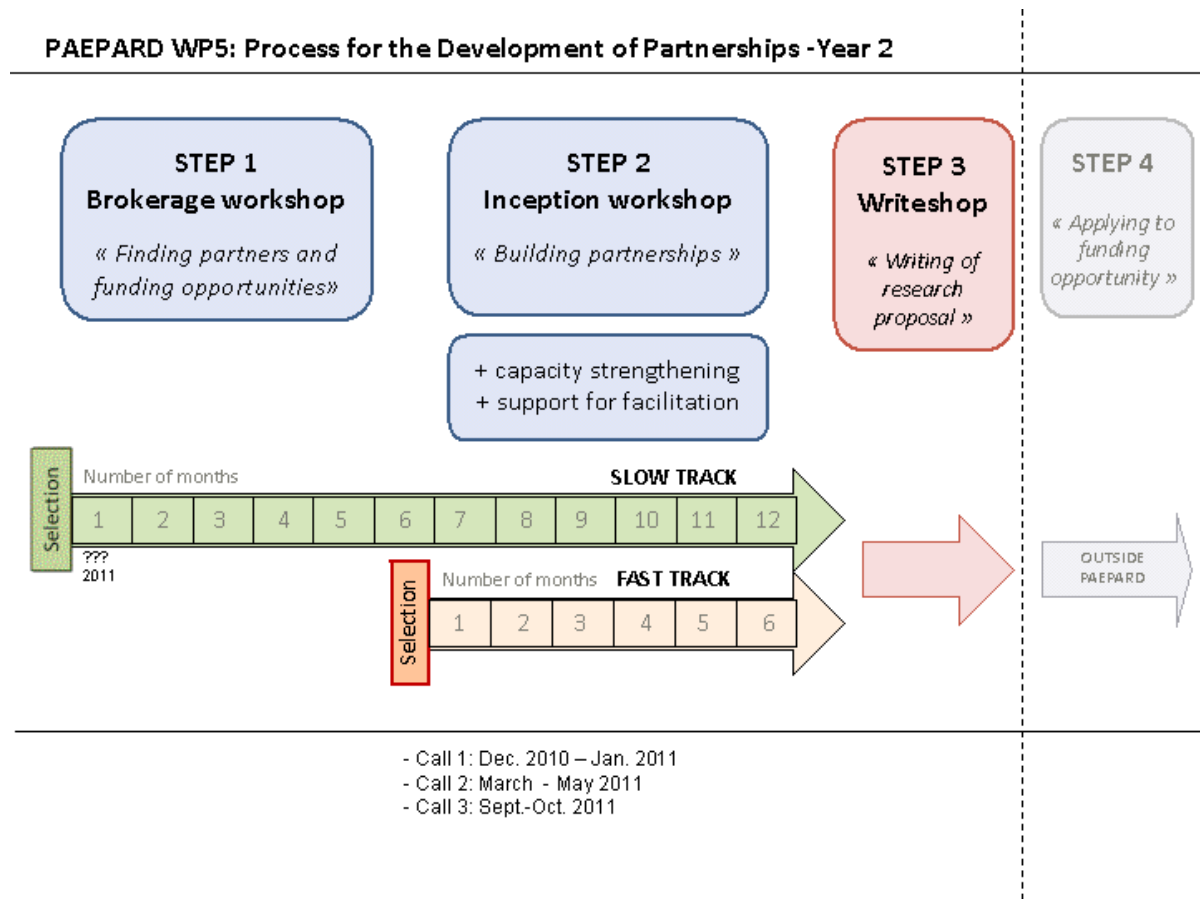
2.4 Review of WP5 draft strategy

2.4.1 Activities

The Team reviewed the draft strategy for partnership development, as drawn up by WP5 co-leaders, in conjunction with the WP4 co-leaders and the WP5 working group. This strategy, as understood by the desk study Team, is represented in Figure 1.

⁴ The team noted that many project documents given to the team represent draft or provisional findings, presentations at meetings, discussions by WP leaders or working groups, etc., although the nature of these documents or authorship is not always clear. It would be helpful if the project had a clearer and more systematic structure for documentation.

Figure 1 Overall strategy for capacity strengthening in WP5.



The Team noted the proposed separation into a “slow track” and “fast track” streams. The understanding of the Team was that the slow track would operate via the development of a pool of “Agricultural Innovation (AI) Facilitators”, who would then facilitate future potential multi-stakeholder ARD partnerships.

In the WP5 Work Plan, the Review Team also noted the proposal for 3 types of workshop:

1. “Brokerage workshops”, to bring different potential partners together and jointly identify funding opportunities;
2. “Partnership inception workshops” for selected partners to come to a common understanding of a defined theme, the roles and each partner, and the requisites for a successful partnership;
3. “Writesops” to develop project ideas into concrete proposals for a defined funding opportunity (it is assumed here that partnerships have identified such a funding opportunity).

In a later document made available to the Team (“Planning of WP4-WP5 interrelated activities after 1st call; Summary of the results of a meeting on these activities in Florence on 9 March, 2011”), it was noted that the desk review is expected to “not only identify experiences/approaches/tools and

potential providers, but also and to a considerable extent to propose contents and methods that could be used for the PI-workshops, AI-facilitator workshops and writeshops”⁵.

The Desk Study Team therefore assumed that the overall WP5 strategy described above will be the context in which the capacity-building activities of WP4 will be conducted. Capacity-building will be accordingly therefore be directed towards the knowledge and skills required to:

- a. Develop and sustain the partnerships selected under the “fast track” process;
- b. Build new partnerships under the “slow track” process;
- c. Provide the ‘AI Facilitators’ with the skills and knowledge to support partnership development and innovation processes.

2.4.2 Key points from WP5 draft strategy

Following the review of the WP5 draft strategy, the Team identified the following unresolved issues:

- **Brokerage vs. facilitation.** The Team did not consider brokerage as synonymous with facilitation, but rather as sequential activities within the overall process of partnership development. A “broker” is understood to be someone who introduces or brings prospective partners together. A (AI) “facilitator” is understood to be someone who helps the partnership function and develop, through assisting the partners to develop a common understanding of their joint objectives, roles and procedures for interaction. Nevertheless, the Team felt that it is unrealistic to develop separate groups of “Agricultural Innovation Facilitators” and “Innovation Brokers” – the Desk Study Team suggest therefore that these two functions should be combined and included in the capacity-building provided to AI facilitators⁶. This combined role of AI facilitators will be defined further in Chapter 5.
- **Proposed “Brokerage workshops”.** It is not yet clear what will happen at the “brokerage workshops” (step 1 of WP5 process). Following the Team’s understanding of the concept of “brokerage”, this step involves identifying prospective partners around a particular theme. It is not clear if a workshop would be the best/most appropriate activity here (or if electronic consultations, for example, would be more effective/efficient?). Or how, the development and activities of a pool of AI facilitators, and the strengthening of this group of facilitators, relates to these proposed “brokerage workshops”.
- **Design and facilitation of workshops.** The Team understands their role as one of reviewing previous experience in capacity strengthening with the aim of developing a proposal (“detailed options”, “action plans”, “generic content and methods”) for specific workshops on partnership development, project development and proposal writing to be implemented in subsequent activities of WP4 in conjunction with WP5. These workshops will be implemented by service providers selected from the PAEPARD partner organisations, or other organisations where the skills and competencies of partners are not adequate (or perhaps where key individuals of partner organisations are not available?). The Team notes that the design (content, methods) of such workshops are unlikely to be simply adopted as given by the desk study (at least, unless the same study Team members are those implementing the workshops). This implies a further period after the relevant activities of the desk study and before the workshops are implemented – to allow for both the selection of appropriate workshop facilitators and their own assimilation/ modification/ preparation of workshop content and methods.

⁵ During the initial team meeting, it was not clear if the capacity strengthening strategy proposed in this report should extend to the writeshops for proposal writing. Following receipt of the WP4-WP5 planning document, the teams understanding of the TOR was modified to include proposal development and writing.

⁶ This suggestion – combining role of broker and facilitator – was endorsed by the WP4 co-leaders during the skype discussion, 13 April.

- **“Institutionalisation” of AI Facilitators.** The Team expressed their concern that building the capacity of a few AR4D stakeholders may deliver only short-term gains in terms of increasing African and non-research stakeholder participation in successful proposals to EU research calls. However, sustainable change towards AIS/demand-led/market-led approaches to AR4D will require institutional change [organisations and the wider AR4D system] and capacity building at policy level.
- **Demand articulation.** PAEPARD II places much emphasis on partnership to deliver research that is ‘demand-led’. The Team strongly agreed that this is fundamental to achieving adoption and impact of research outputs but that pathways and institutional arrangements for demand articulation for agricultural R & D were generally weak or lacking in SSA. This will be addressed by WP4 as a capacity-building issue but much more needs to be done to institutionalise participatory needs assessment and to establish sustainable demand articulation pathways in agricultural innovation systems.

2.5 Review of 1st PAEPARD call partnerships

2.5.1 Activities

A number of ARD partnerships have already been selected, in response to applications following the 1st PAEPARD call. The Team noted that this group is expected to be among the first beneficiaries of the WP4 capacity strengthening strategy. Hence the Team reviewed the selected proposals, and a summary of these is given in Annex 5.

2.5.2 Issues arising

The following observations and issues were noted, concerning the applications from the 1st call:

- **Partnership Funding.** At least 3 of selected partnerships had not identified specific funding opportunities for the proposed partnership activities in their applications. Two further partnerships identified “FP7/INCO” and “EU-FP8”, with closing dates of 2012; it was not clear if these are in response to specific calls or in expectation of such. These partnerships will therefore require support (capacity strengthening) to identify suitable financing sources (i.e. “project development”). There is a strong need for active WP6 involvement in appraising and guiding on funding issues
- **African Union Funding Call.** Two further partnerships identified the African Union call with 30 April 2011 deadline. It was not possible to organise a partnership inception workshop and corresponding writeshops by this deadline, which meant that these partnerships had to find alternative funding sources.
- **Proposed “facilitators”.** At least 4 of the selected partnerships identified senior managers of the partner organisations themselves as proposed “neutral facilitators”. Three proposed persons from non-partner organisations. The others proposed alternatives including persons from both partner and non-partner organisations. It seems that the partnerships had not all, and not equally, understood the role and importance of AI facilitators – a point recognised by the WP4-WP5 planning group (“Planning of WP4-WP5 interrelated activities after 1st call; Summary of the results of a meeting on these activities in Florence on 9 March, 2011”). The Team noted the suggestion of the WP4-WP5 planning group’s proposal to organise the partnership inception workshops for the partnership teams before their final selection of the facilitators [and subsequent training of these], so that participating partnerships and partners would have a better idea of what is expected of AI-facilitators and could select one (or more?) on this basis. However, the Team saw an advantage in having the partnership teams and their facilitators together in one workshop event, where they could jointly explore and develop roles, and therefore suggests an alternative whereby the teams are given further guidance to better select a (non-partner) facilitator before the partnership inception workshop. After the 1st PI workshop (June 6-10), it became clear that teams had differentiating the respective roles of project leader

(coordinator) and facilitator. It was therefore later agreed that future partnerships could combine these roles, if they found it desirable to do so.

3 Review of stakeholder consultations

The available PAEPARD reports of the stakeholder consultations were reviewed and are summarised in this chapter. A more complete account of the European and African consultations carried out is presented in Annexes 6 and 7, respectively.

3.1 European consultations (WP1)

3.1.1 Implications of the European multi-stakeholder workshop (WP1) for PAEPARD

Only 9% of researchers responded to the stakeholder consultation questionnaire, reflecting both lack of knowledge of PAEPARD and confidence in their existing pathways for identifying partners and applying for funds.

The 15% response from the private sector to the questionnaire circulated was considerably better than from research, but 50 responses from 330 indicates the difficulty of persuading the business community that engagement with research can lead to outcomes that increase profitability, provided researchable constraints are properly identified and effective demand articulation pathways established.

One of the significant constraints to private investment in research conducted by public organisations is confidentiality requirements. Businesses do not want to fund research from which their competitors may also benefit. One of the motives for purchasing research services is to gain a competitive advantage from the outcome.

NGOs were the most sceptical of research because their core activity is development and the project cycle does not allow time for research to be commissioned and results delivered in time to have development implications.

The private sector companies importing and exporting fresh produce to and from Africa were also remote from researchers and the research process, believing that research did not deliver practical solutions to problems which constrained their businesses.

NGO participants believe there is no evidence for the returns to investment in agricultural research. Benefits from AR4D have been well documented by IFPRI and others but is mainly in relation to adoption of new crop varieties. The lack of good baseline data may contribute to this perception – it can be difficult to convince critics that progress has been made if it is not possible to provide data on what was the situation before the research intervention.

The workshop report also brought out a differing view on the relevance of research on biopesticides between European fresh produce importers and the African participants. This might be a good case study to explore, as there would seem to be potential benefits to both importers and producers. The disagreement reflects different views on how food security is to be achieved - through farmers being better able to exploit export opportunities or through producing for home consumption.

Farmers organisations rightly believe that they should be central to the needs assessment/priority-setting process. However, they lack the capacity to convert and articulate farmer knowledge into researchable constraints. This is a good example of the need for effective working relationship between farmers' organisations and researchers to identify researchable constraints, rather than a capacity that could be built among representatives of farmers' organisations.

The capacity building project in South Africa highlighted an important issue for PAEPARD with respect to effecting sustainable change in the way research is conducted, which was that capacity building has to have an impact at the institutional level, not just at the level of the individual researcher.

3.1.2 Delivery of capacity building services

Much of the output on capacity building from the multi-stakeholder consultation concerned knowledge and skills required to conduct the type of research which met the aspirations of each

stakeholder sub-group. The needs assessment did not provide much guidance on the specific focus of the desk study, which was capacity building for the development and maintenance of multi-stakeholder partnerships. However, it is clear that PAEPARD needs to design capacity building approaches for different categories of stakeholders with differing experience of research.

From the European stakeholder consultations, the following topics were identified as priority for capacity building for sustainable AR4D partnerships:

- Partnership – what it means and how to develop and sustain mutually beneficial partnerships, partnership monitoring, early engagement with the intended beneficiaries.
- Communication – between partners and to the beneficiaries and more widely to similar groups who might also benefit.
- Project management – finances, people management, importance of documenting lessons learned from the outset, monitoring and evaluation
- EU funding – programmes, what is a good proposal?
- Agricultural innovation system – what it means, why is it considered a useful approach, what needs to change from previous technology transfer model?
- Demand-led research– what does it mean how is it ensured?
- Market-led research – why is it necessary, what new knowledge/skills do researchers need?
- Monitoring & Evaluation – what is it, how is it done, what does the EU expect from projects. Distinguishing activity, output and outcome monitoring. What is the connection between monitoring, evaluation and impact assessment?
- Research for development – if its a continuum, how far down the line do researches go and how and where do they make the transition?
- Gender & diversity

Topics more specifically relevant to Innovation Facilitators also include: Identifying researchable constraints and converting into a project proposal; understanding innovations systems and identifying the appropriate stakeholders; team building

3.1.3 Perspectives of individual stakeholder groups on their role in AR4d partnerships

Perspective of Researchers:

- Get all the actors in the planning process
- Review award and incentives system
- Clarify when partnership is mainly research or when is it considered development
- Relating to development actors can facilitate the “discovery” of new research questions ex: the “Onion de mort” (Benin): inefficiency of some bio pesticides has triggered a lot of interest from researchers for this plant
- Senior university staff can be motivated to engage in development through student field work
- The involvement of young researchers in field work related to innovative partnerships can be highly motivating and inspirational
- Relating with development actors can be very beneficial for university training and education purposes
- Applied research is instructive for training purposes
- Integrate the need of service providers in agreements and career path opportunities. Funding modalities should be more contractual and define specific services to be offered with control of quality of those services

Perspective of Farmers’ Organisations:

- Farmer organisations should lead prioritization
- Find ways to integrate scientific and farmers local knowledge

- Develop mechanisms to translate farmers' needs into research question

Perspective of Private Sector:

- Interested in integrating young researchers
- The involvement in networks of experts who face similar problems is useful if applied to improve production
- Example: Pineapple producers of ACP can better inform EC policy makers to modify phytosanitary criteria when it is supported by scientific evidence and research findings
- Data bases of local research consultants which are used by the private sector (example COLEACP) can act as intermediaries between producers and researchers

Perspective of NGOs:

- Corruption for channelling funding
- Lack of evidence on return of agricultural investments
- Need to receive from researchers accurate forecasts and statistics

3.2 African consultations (WP2)

3.2.1 Lessons learned from consultation with stakeholder groups

The lessons learned from partnering with **non-research stakeholders** are:

- Partnerships are good for experience and knowledge sharing;
- Partnerships provide platforms for joint activities (i.e., field studies, workshops and trainings);
- Engagement with other non-research stakeholders add value;
- Non-research actors became visible on the ground;
- Evidence for 'popularization' and advocacy for development is important;
- Media ('information releasing') has a role in ARD;
- Research and non-research actors has a complementary responsibilities to fulfil;
- Engaging in partnerships building process in itself build capacity.

The lessons learned from partnering with **research stakeholders** are:

- Research project should include end users from the beginning;
- Joint planning is important;
- Research should address community needs (responsive research);
- Dissemination of research results as evidence is important;
- There is a need for impact assessment (monitoring and evaluation);
- There should be interactive communication and mutual respect.

Partnerships Considered Innovative

Partnerships that were considered innovative are those that:

- Improve local partner enhance their skills;
- Allow all stakeholders to participate fully;
- Focus on the projects management's capacity building;
- Focus on the experiences sharing in the agricultural domain of the Word Food Program;
- Provide credit and improved seeds supply;
- Support small and medium agricultural enterprises;
- Seem to be a mutual benefit partnership;
- Support the research and 'popularization' (advocacy) of laws and public texts relating to the agriculture, environment and mining;

- Are with more European non-state actors;
- Are with partnership that gives more meaning to local populations' rights and interests.

3.2.2 The African Regional Consultation Meeting

The African Multi Stakeholder Consultation took place in Nairobi, Kenya from 12th to 13th May 2011. It attracted both research and non-research stakeholders from Europe and Africa, with about 32 participants in total. The main objective of the workshop was to synthesize and harmonize the process out of the sub-regional MSC exchanges to develop a common perspective for the African stakeholders. In order to explore the possibilities of having common federating themes within the fast track and slow track processes inclusive of balanced ARD partnership.

The expected results from the AMSC were to share lessons from the different sub-regional consultations, identify processes and mechanisms for balanced demand driven partnerships, identify common federating themes within African stakeholders, define needs for capacity development for WP4, come up with an analytical framework for presenting case studies and understand the brokerage concept in formation of new partnerships.

Outcomes of consultations

Federating themes identified at the meeting included:

1. Food security and climate changes
2. Post-harvest technologies
3. Knowledge management and indigenous knowledge inclusion
4. Capacity building and institutional development
5. Market access, value chain markets, pricing
6. Water use and management
7. Financing mechanisms in Agriculture esp. access to credit

3.3 Case Studies of European-African Partnerships

The Desk Review Team was tasked with reviewing case studies of European-African partnerships identified and developed under PAEPARD Work Packages 1 and 2, and drawing lessons in terms of capacity development needs. However, at the time of writing this desk review, these case studies had not yet been developed. Given the general lack of objective and evidence based analysis on partnerships (a conclusion of a recent review on partnerships by Horton et al, 2009), the importance of developing these case studies for future capacity development is restated here.

Table 3.1 Capacity Need and Federated Themes identified through African Stakeholder consultations

Capacity Needs	Research Priorities
<ul style="list-style-type: none"> - Monitoring and Evaluation; impact and learning - Policy analysis and research - Partnership formation brokerage and networking - Knowledge management - Resource mobilization/proposal writing - Convening dialogues/farmer mobilization - Human resource management/technical expertise - Regional integration in programming - Market and market linkages - Post-harvest handling/value addition - Financial reporting - Corporate governance - Communication & PR - Strategic planning 	<ul style="list-style-type: none"> - Food security <ul style="list-style-type: none"> - Post harvest technologies - Animal husbandry - Aquaculture - Environment and climate change - Knowledge Management <ul style="list-style-type: none"> - Indigenous knowledge - Documentation of innovations - Transfer of technologies - ICT and MIS - Institutional development <ul style="list-style-type: none"> - Monitoring and Evaluation - Capacity building of technical personnel /human resource development/sustainability (non-state actors can be equal partners in discussions and forums) - Mobilization of farmers & Policy and advocacy - Corporate governance - Partnerships and networks

4 Literature Review of Capacities Needed for Partnerships

The literature review and reference list are presented in full in Annex 8 and only the main conclusions and implications are presented here.

Partnerships are, to some extent, the “flavour of the month” in development discourse. Nevertheless, and in spite of increasing attention to the concepts and practice of partnerships, there are not that many empirical studies of what make partnerships effective. This review identified characteristics that facilitate partnerships at 3 levels:

At the *individual* level:

- Shared passions
- Agreed roles
- Sharing of information
- Effective communication
- Commitment and focus
- Mutual respect
- Flexibility to adapt
- Trust

At the *organisational* level:

- Shared vision, interdependence and complementarity
- Strong endorsement and consistent support from senior leadership
- Appropriate institutional and individual benefits
- Investment in human and social capital
- Resource sharing and joint resource mobilization
- Good prospects for scaling up and institutionalisation
- Dynamic strategy formulation
- A learning culture
- Distribution of power

And at the “*system*” or enabling environment level:

- Brokerage of the interaction between individuals and organisations
- A large degree of freedom in the decision-making processes
- Delegation as well as demanding of responsibility
- Support for the development of leadership and commitment;
- Flexibility for adjusting organizational structures;
- Allocation of tasks and roles of organisations according to process rather than a hierarchical administrative structure

4.2. Implications for PAEPARD

Looked at from a “capacity” perspective, a related but slightly different way of looking at these different levels is to focus efforts:

- *At the partner level*, where capacity strengthening can focus on motivating and providing incentives, fostering leadership, improving relevant skill levels, and enhancing the ability of partners to maintain relationships, collaborate, and to learn from each other;
- *At the relational level*, where the linkages, partnerships, and networks that enable innovating agents to operate efficiently and effectively can be enhanced through capacity building

focusing on communication, negotiation, conflict resolution, and the development of social capital and trust, and at

- *At the system level*, the capacity of decision- and policymakers can be developed as a foundation for improving the macro institutions, structures, policies, and rules that support the actions and interactions of innovating agents.

The implications of the above for PAEPARD is that any capacity building strategy for balanced and equitable partnerships will need to work on these three fronts:

- at the level of individual partners;
- at the level of the partnerships (research consortia) and
- at the level of enabling environment (e.g. policy and advocacy).

5 Review of Capacity Building Experiences

The Desk Study Team reviewed a wide range of projects and organisations involved in capacity building for AR4D in terms of their experiences, methods and lessons learned (see Annex 9). The main conclusions are presented in this chapter.

Research is just one function in a process of innovation, a point well recognised by programmes such as RiU. Often (as concluded by SCARDA), research organisations are not well linked into the overall “innovation system”. Research that leads to agricultural innovation usually involves multi-stakeholder partnerships, involving service providers (information, financial and business services), the private sector and producer groups.

There is considerable, growing and documented experience with multi-stakeholder partnerships for agricultural innovation. In addition to a general literature review, the experience of a number of specific programmes, projects and organisations in Africa are reviewed in this chapter. Although in many cases the lessons learned in terms of developing effective partnerships are not well documented as such (with notable exceptions), a number of general conclusions are summarised below.

5.1 Prerequisites of effective multi-stakeholder partnerships

A number of prerequisites for effective multi-stakeholder partnerships for agricultural innovation are commonly noted:

A common goal or shared objectives. Indeed this characteristic is often included in the definition of a “partnership”⁷. Within multi-stakeholder partnerships or innovation platforms, common or “federating” themes around value chains have been identified as easiest to organise (e.g. SCARDA experience). Some stakeholder sectors – the private sector for example – find a mismatch between their often immediate and short term goals, and the longer-term and less tangible goals of research. Hence the private sector often proves difficult to bring on board as a partner, and additional advocacy may be necessary to achieve this (SCARDA experience).

A common understanding of key concepts and shared/expected processes. Especially within the context of complex projects that involve many partners, and this understanding is critical (e.g. SSA-CP). Achieving this understanding make take considerable time, especially for emerging and complex concepts such as “integrated research for development”, or innovation (the meaning of which may differ between different stakeholders and individuals). Especially challenging is the change of mindset from the more linear “research and technology transfer” paradigm to the more multi-stakeholder concept of an innovation “system” (e.g. ASTI experience).

Practical objectives. For agricultural innovation partnerships to be successful, these partnerships need to involve NGOs, farmers’ organisations and the private sector. For these stakeholder groups to justify their involvement, they need to see practical outcomes - real and identifiable progress and (e.g. INWENT, PCHPA).

Institutional commitment. Achieving institutional commitment from the beginning is considered crucial (e.g. CIAT, Prolinnova experience). Such an institutional commitment means that key decision makers or senior managers of represented organisations need to be involved from the outset and buy into the process (e.g. SCARDA experience). CIAT’s experience was also that it is easier to create links at local level than international level, which implies an extra effort is needed for the type of European-African partnerships envisaged by PAEPARD.

Legitimacy. In addition, institutional commitment also requires that any representative in a multi-stakeholder forum has the necessary legitimacy and is recognised by both the other partners and also

⁷ One such definition of a partnership is “... a formal or informal agreement between two or more partners to work together to achieve common aims” (Olivier Serrat: <http://www.adb.org/Documents/Information/Knowledge-Solutions/Creating-Running-Partnerships.pdf>)

his/her own constituency. To allow the effective participation of farmers/producers in multi-stakeholder partnerships, for example, they need to be well organised so that legitimate and recognised representation of their interests is possible (SSA-CP).

Effective communication between all partners. Again, where partners are geographically dispersed, this may be especially problematic. Electronic means such as D-groups not always well used in European-African partnerships, as some partners do not find it easy to participate in these (e.g. SCARDA experience).

Mutually accepted roles, procedures and accountability. Partners need to understand and accept both their own and others roles and contributions towards shared objectives. This includes understanding and accepting decision-making and leadership procedures that affect the partnership, as well as the means of evaluating the partnership and issues of accountability.

Mutual respect and trust. This means for the different viewpoints, knowledge and working practices of different partners, including the “pace” at which they proceed (e.g. Prolinnova experience). It also means that financial and administrative systems need to be transparent and understandable to all (e.g. DURAS experience).

Effective and shared learning. For partnerships to develop equitably, the partnership needs to have an effective learning mechanism in which all partners participate and contribute. Often common M&E procedures need to be integrated with lesson learning, or be adapted to promote learning in addition to accountability (e.g. ACBF). Lessons learned also need to feed back into academic training, through suitable contextualised learning materials (case studies), so that graduates have the skills needed to work in partnership (ANAFE)

Effective brokerage. Several programmes (e.g. RiU) and organisations (ICRA, PICOTEAM) have concluded that the brokerage/facilitation role in any partnership is critical, and should be considered as a key element in partnership development and operation, and an unavoidable research cost (where partnerships are research led). A related issue is that of the “innovation champion” (RiU), who takes on the leadership of the issue – as the RiU programme concluded, researchers are not always the best placed to fill this role of “innovation champion”

5.2 Strengthening capacity for multi-stakeholder partnerships

The experience reviewed includes a broad array of activities that the different programmes and organisations have included to build capacity of different stakeholders. These activities include joint meetings (workshops, seminars, conferences), networking, e-communication (e.g. D-groups) and advocacy, as well as formal academic programmes.

The experience also convincingly shows that building the capacity of multi-stakeholder partnerships is a complex and long-term undertaking. There are no “magic bullets” - simple skill sets which can be learned through a short-term training exercise that are guaranteed to result in effective collaboration between individuals and/or organisations.

Unsurprisingly, the experience of the projects and organisations reviewed in this chapter reinforces the conclusions of the literature review in the previous chapter. That is that strengthening capacity for such partnerships requires change at individual, organisational and inter-organisational (institutional or system-wide) levels.

1. *Individuals* need both “meta-disciplinary” and “soft” skills, as well as the right attitudes. Meta-disciplinary skills include those skills in systems analysis, stakeholder analysis, joint planning, and knowledge management, etc. that allow individuals to appreciate their respective roles within complex, multi-actor systems such as value chains). “Soft” skills, are those needed to get on and work with others: the ability to communicate effectively - listen, explain, compromise and negotiate. The attitudes, behaviours and values often regarded as those of being a “team player” include empathy, self-awareness, a willingness to and trust others. Such personal characteristics are not easily or simply modified by the acquisition of

new implicit knowledge, but require experience of interaction with others, sustained self-reflection and a motivation to improve.

2. *Organisations* need to adjust their management, incentive structures and overall “culture” in order to encourage staff to interact with organisations whose knowledge systems, perspectives and culture are very different than their own. They require the commitment of managers to partnerships in which their staff are involved, and incentives structures that reward collaborative, rather than individual, effort. They require the creation of a learning culture – to become a flexible “learning organisation”. The way that power is seen and exercised by organisations and individuals within those organisations is also critical. Partnerships inevitably involve ceding individual power for the greater good, and not all individuals or organisations are readily willing to relax their control. These types of organisational change are not easy: while the changes can be led by focusing on key managers, improving their knowledge and understanding, and subsequent modifications of managerial practice, the “culture” of an organisation often takes years - and also depends on the “enabling environment”.
3. *The enabling environment* needs to provide favourable “rules of the game”: policies, financial instruments (such as competitive funds) to bring different stakeholders together in such a way that common interests outweigh – and are seen to outweigh - the significant costs of collaboration and the loss of individual/organisational autonomy necessary for effective partnerships. In many cases, the role of a neutral broker is crucial in facilitating the interaction between different stakeholders. This *system-wide or “institutional” level* of the “enabling environment” is the hardest level at which to build capacity.

Change at only one of these levels (e.g. through training individuals) is unlikely to be effective.

Capacity strengthening for research partnerships and agricultural innovation thus requires a sustained involvement over time. Much of the “knowledge” required to be effective in partnerships is not easily transferable “explicit” knowledge, but rather “tacit” knowledge, and understanding of how to do things, that can only be gained through “doing, personal trial, error, reflection and revision” and shared processes⁸ Organisations such as PICOTEAM, ICRA and others reviewed in this chapter therefore focus on facilitating the individual and organisational learning required through experiential or “action learning”. This usually involves a series of iterative workshops, often organised in some sort of “learning cycle” involving planning, action, reflection, re-planning, and so on, within the context of ongoing research and development programmes. Workshops are used to expose individuals (and through them, their organisations) to new ideas that can then be tried out, evaluated, adapted and eventually adopted if seen to be advantageous. Subsequent workshops are used for individuals and organisations to exchange and jointly reflect on shared experience and re-plan collaborative activities.

The role of “facilitator” in this multi-level learning process is critical. Effective facilitation in this regard is not to “spoon-feed”, or to determine what partnerships should or should not do, but rather to create a relationship between partners as equals, and promote reflection and learning leading to individual and organisational change. Building capacity for partnerships thus becomes a question of identifying and/or building the capacity of the brokers/facilitators themselves, and/or in attempting to put into place a hierarchy of facilitators (regional, national, platform level), as in the case of DONATA. While some facilitators take on this role in addition to other duties, or develop it from another field of expertise, this role of neutral broker/facilitator is increasingly being recognised as a profession in itself. Organisations such as TPI now offer professional qualifications in partnership brokerage.

⁸ “Guidelines for Knowledge Partnerships” by the Asian Development Bank, available at: <http://www.iisd.org/publications/pub.aspx?pno=1452>

5.3 Implications for PAEPARD

Resulting from the review of partnership experiences, and efforts to build capacity for partnerships, in this chapter, the team identified a number of implications for PAEPARD and the PAEPARD strategy:

1. Key to developing “balanced and equitable” (EU-African, multi-stakeholder) ARD partnerships will be to establish a system for partnership brokerage, or a “pool” of capable and recognised individuals who can act as brokers/facilitators of research partnerships formed under PAEPARD. In other words, the focus of PAEPARD’s efforts should be on developing such a group of facilitators.
2. Developing facilitator skills will require “learning by doing” and sustained engagement to facilitate reflection and learning by the AI facilitators themselves, to develop their skills and “tacit” knowledge. This will require a series of workshops and integrated “mentoring” and support from suitable individuals and organisations.
3. The previous paragraph notwithstanding, and in addition to specifically designed, “in-house”, efforts to develop AI facilitators, there are a number of “open” training opportunities or short courses offered by e.g. TPI (partnership brokerage), ICRA (“Design and management of interactive learning”) and WUR-CDI (“Facilitating multi-stakeholder processes”). These courses offer good possibilities for selected facilitators to further develop skills as part of a longer-term strategy. Such organisations could also be contracted to design courses more tailor-made to the needs of PAEPARD.
4. Similarly, partnerships formed under PAEPARD will need sustained engagement with the AI facilitators. The actions of these AI facilitators, in terms of brokerage, ensuring equitable participation of all partners, and ensuring reflection/learning by the ARD partnerships themselves, will need to be incorporated as an integral and financed activity in any proposal developed for financing by the ARD consortia.
5. ARD and agricultural innovation partnerships go beyond research. Within the process of innovation, the dichotomy between research and other functions is not always helpful. Research is not always central to the process of innovation, and researchers do not always make the best “champions” of the innovation process. Promoting innovation is often more about the establishment of relationships and between partners and appropriate processes, rather than technology *per se*. This has implications for the type of financing sought for the innovation partnerships established through PAEPARD, and even the rationale behind the project, in that EU financial mechanisms such as the (DG Research) Framework Programmes focus on “high end” or strategic research, rather than the more applied and near-use activities favoured by the private sector and farmer associations/groups. PAEPARD should therefore widen its remit to include a other financing mechanisms which may be more appropriate to innovation partnerships (such as national competitive production and agri-business grants, philanthropic foundations, etc.). In addition, PAEPARD WP6 should consider advocating EU financial mechanisms that encourage innovation, rather than focus on research.
6. There is a considerable number of initiatives and organisations in Africa that are working to develop, support and build the capacity of multi-stakeholder innovation platforms. While many of these organisations are either PAEPARD partners or associates, efforts should be made to link PAEPARD activities to these other programmes, to seek synergy, and not consider PAEPARD as a “stand alone” project. At the same time, the benefits of bringing in new organisations need to be weighed against the inevitable “transaction costs” of bringing more partners into an already complex partnership, such that the basic requirements of a common vision, understanding of objectives and roles is not lost.

6 Proposed Strategy/Action Plan for WP 4

In terms of building or strengthening the capacity of African organisations and individuals to more actively participate in multi-stakeholder ARD partnerships with Europe, the key elements of the strategy have already been defined in the project documents, and further developed in the annual work plans so far developed. The proposals for capacity strengthening put forward in this chapter therefore are intended to support this overall project strategy, which includes:

1. A system of open calls for potential multi-stakeholder groups to receive support in consolidating their partnership, elaborate joint plans and proposals for financial support by European and other agencies;
2. The development of a core group of AI brokers/ facilitators who can then bring potential partners together around “federating themes” (WP5) and facilitate their interaction; and
3. An information system that supports brokers and potential partnerships to identify sources of financial support and donor requirements for joint projects proposed by the partnerships.

Apart from validating the conditions of successful partnerships, the review of experience described in the previous chapters of this report emphasises two main points:

- The need for continued engagement. Building the capacity of both individuals and partnerships cannot be achieved through a one-off event, but requires engagement, through a series of workshops to plan, reflect on progress, consolidate lessons learned, and re-plan (the action learning cycle).
- The need to focus capacity strengthening not just at the individual level, but also at the organisational and inter-organisational (platform or partnership) levels.

The actions described below are intended to incorporate these twin elements into the overall strategy, while remaining within the overall project scope. These actions include: a) strengthening capacity of the PAEPARD partnerships (e.g. those formed through the current calls); b) formation of a core group of broker/facilitators, who can form and facilitate partnerships around key federating themes or financing opportunities, and c) support to specific stakeholder groups, such as farmer organisations, to allow them to participate from a position of improved strength.

6.1 Strengthening Capacity of PAEPARD partnerships

6.1.1 1st PAEPARD call

As noted above in Section 2.4, the PAEPARD Work Package 5 work plan for 2011 was already drafted by the time this desk review was initiated. The 1st call for call for “applications for support to the development of multi-stakeholder partnerships that promote demand-driven agricultural innovation and research” had been issued in December 2010, and a selection of 9 consortia made in March 2011. The proposed action plan therefore is intended to support this “fast track process”, and was discussed by (4 members of) the Desk Review Team with WP4 and WP5 co-leaders, as well as Project Managers during the WP African Stakeholders Workshop held in Nairobi during May 12-13, 2011. The suggested sequence of events is described in Figure 6.1.

Figure 6.1 Sequence of capacity strengthening events for 1st PAEPARD call

6.1.2 Partnership inception workshops

Following this process, 5-day “partnership inception (PI) workshops” will be held for the 9 consortia selected from the 1st PAEPARD call during the period June-August 2011. These workshops will have the main objective of creating a foundation for effective partnerships by partners in the European-African research consortia selected under the 1st PAEPARD call. The objectives for, and the programmes for these workshops were developed by 2 members of the Desk Review Team (Richard Hawkins and Paul Nampala) who were nominated by ICRA and RUFORUM, respectively, to facilitate the 2 Anglophone workshops in Nairobi and South Africa, together with Nour Sellamna, who was nominated by ICRA to co-facilitate the Francophone workshop in Togo. Subsequently, one representative of each of the partners represented in the consortia was invited to attend the workshops, along with 1 “Agricultural Innovation Facilitator” (see below).

Specific outputs expected from the PI workshops are:

1. Partnerships understand PAEPARD objectives, process
2. Partnership teams function effectively, with:
 - a. A common purpose and clear objectives
 - b. Established working procedures and “ground rules”
 - c. Clear understanding of respective roles of different partners
3. Roles of the partnership “agricultural innovation” facilitator agreed and understood
4. Draft concept note for each partnership, which can subsequently be developed into a full proposal for funding and directed at specific financing agencies with PAEPARD support
5. Action plan for the partnership, to prepare for the full proposal “write-shop”.

The programme for the PI workshops is given in Table 6.1

Role of the AI facilitator in the 1st round of Partnership Inception Workshops

In the 1st PAEPARD call, each consortium was requested to nominate an “Agricultural Innovation Facilitator”, along the lines of the TOR suggested in Section 6.2.1 below. These AI facilitators will therefore learn alongside their respective teams, concerning their role.

Table 6.1 Programme overview for the partnership inception workshops:

Monday	Tuesday	Wednesday	Thursday	Friday
Introduction: - Participants and facilitators - PAEPARD - Workshop objectives - Workshop management - Partnerships Presentation of partnerships: - Context - Objectives - Partners Participant experiences of partnerships Prerequisites for teamwork Expectations/ role of the partnership facilitators	Recap and feedback Day 1 Exploring the system of interest to the partnership - Components - Interactions - External Environment Identification of stakeholders & analysis of their interests/ roles/ linkages/ incentives Identification of Research questions and issues	Recap and feedback Day 2 Development of “ground rules” for teams/ partnerships Individual team skills - Team “types” - Feedback and personal growth Leadership and facilitation Role of partnership leaders vs. facilitators	Recap and feedback Day 3 Further analysis of partnership challenge (SWOT, problem analysis, etc.) Development of partnership logical frameworks, concept note, indicative budget	Recap and feedback Day 4 Reflection of lessons learned during the workshop Analysis of potential future partnership and communication issues Development of partnership action plans

6.1.3 Proposal Development “writeshops”

After the 3 partnership inception workshops have been completed, and concept notes for the proposed consortia activities have been developed, PAEPARD WP5 has scheduled “proposal development (PD) writeshops” to develop these concept notes into full proposals for consideration by prospective donors.

However, to enable targeted proposals, it will be necessary to review the concept notes prepared during the partnership inception workshops, so that these can be matched to specific donors and/or financial instruments available. The different partnerships can then be regrouped for the writeshops, so that these can be designed according to the specific requirements and formats of each donor/instrument. This review will be undertaken by PAEPARD managers (and/or consultants).

(An alternative approach would be to have an intermediate (“project development workshop”) for the partnerships (i.e. between the partnership inception workshops and the writeshops), to review with partnerships (or partnership representatives) the concept notes, and review the different financing possibilities available and their respective priorities, proposal development procedures, requirements and proposal submission formats).

The main objective of these PD writeshops should be to develop the concept notes into full proposals for specified financing agencies and instruments, with the input from representatives of the respective financing agency where possible, or at least a resource person with experience in developing and managing projects with the targeted agency. Additional outputs from the PD writeshops should also include an understanding of donor requirements in terms of financial management of supported projects by the financial officers of the lead organisation of each consortium

Table 6.2 Suggested programme for the Proposal Development Writeshops

Monday (pm)	Tuesday	Wednesday	Thursday	Friday (am)
Introduction: - Participants and facilitators - PAEPARD - Workshop objectives - Workshop management Participant experiences of proposal writing Expectations/ role of the workshop facilitators, partnership facilitators, and invited resource persons	Recap and feedback Day 1 Presentation by invited resource person(s): - Funding priorities - Proposal development sequence - Proposal format - Evaluation of proposals. Presentation by groups of concept notes Feedback/comment from resource person(s)	Recap and feedback Day 2 Development of proposals by consortium co-leaders	Recap and feedback Day 3 Presentation (by facilitator/ resource person) Financial and budget requirements Groupwork: Preparation of budget (by consortium finance officer)	Recap and feedback Day 4 Reflection of lessons learned during the workshop

6.1.4 2nd PAEPARD Call

The second PAEPARD call for partnership support is scheduled for May 2011 with an estimated submission date of July 15 and completion of selection by August 19th (estimated dates as at the time of writing). For this second PAEPARD call, it is proposed that a “AI Facilitator Workshop” be held *prior* to the Partnership Inception Workshops to better prepare AI facilitators for working with the selected multi-stakeholder consortia. This workshop should also allow persons to be selected who can facilitate the next rounds of Partnership Inception Workshops to follow the 2nd and 3rd calls (see Figure 6.2).

Assuming the “AI Facilitator Workshop” has as output some 20-24 facilitators with improved knowledge of the PAEPARD project and their own role, this should provide sufficient facilitators for the consortia selected in the 2nd and a possible 3rd call (e.g. 18 in total, assuming 9 consortia are selected in each call), and also 2-6 facilitators who can assume the role of leading the 2nd and 3rd round of partnership inception workshops.

Following this logic, the dates for the first AI Facilitator Workshop were therefore fixed for 19-24 September 2011 (during the WP2 Stakeholder Meeting in Nairobi, during 12-13 May, 2011).

6.1.5 Additional capacity strengthening for individual stakeholder groups

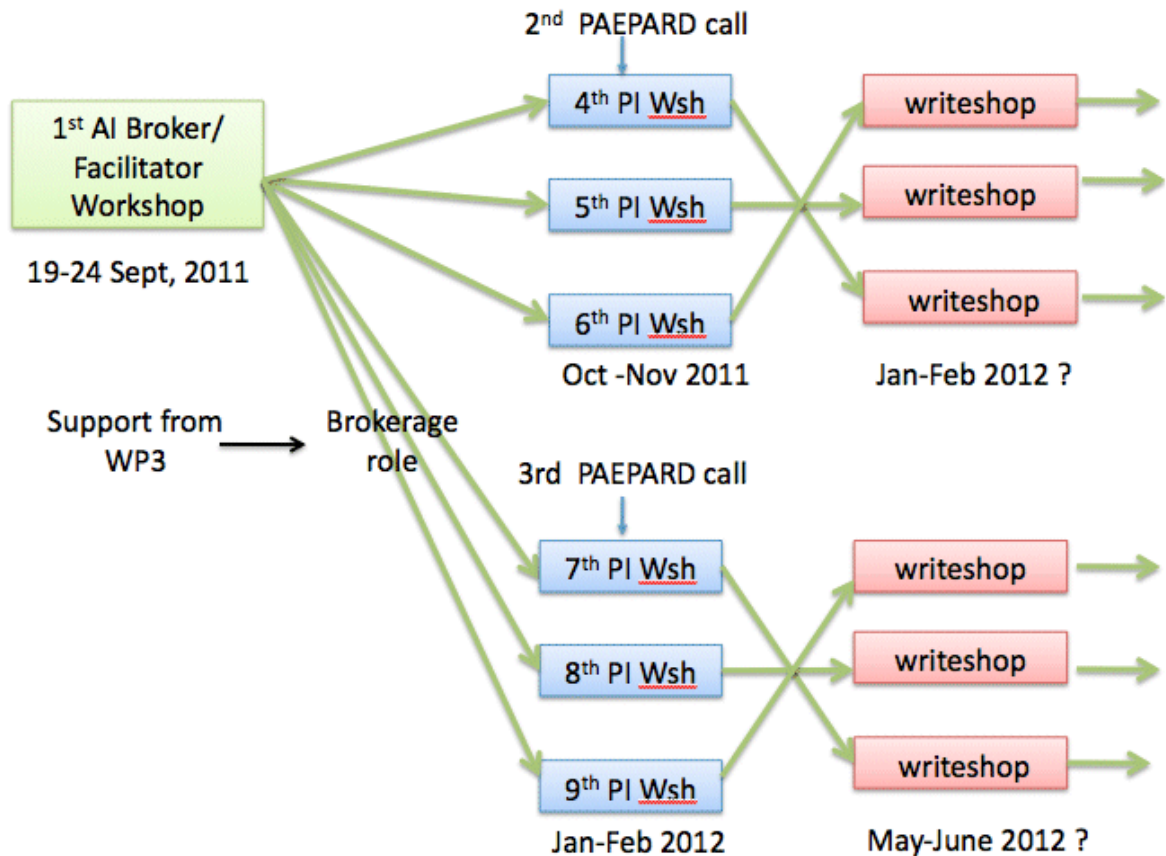
The capacity strengthening needs identified by the different stakeholder groups in WP1 and WP2 were – unsurprisingly – very broad (as expressed, for example in Table 3.9).

Many of these needs will be addressed by the sequence of PI workshops and PD writeshops described above, and by working with partners in the consortium (e.g. innovation systems approaches, translating development issues into research questions, soft skills, proposal writing, identifying financial sources, financial management, development of MOUs, M&E and learning, etc.).

Other needs expressed may be more relevant to particular stakeholder groups. Examples here include “farmer organisation”, “agricultural research management”, “policy analysis”, “corporate governance”, etc. In addition stakeholders (e.g. from WP2) identified a number of specific technical issues: post harvest handling, value addition, germplasm conservation, business development services, etc.

Where specific needs are identified by one or more stakeholder groups or organisations, PAEPARD should consider either supporting individuals to attend existing courses in Europe or Africa, or contracting suitable organisations to provide tailor-made training

Figure 6.2 Sequence of capacity strengthening events for 2nd and 3rd PAEPARD calls



6.2 Strengthening Capacity of AI Facilitators

As already noted in the reviews of the previous chapter, the development of capacity for facilitation is a long-term process, and one that only be achieved through experience, reflection and recognition of lessons learned. It will therefore be necessary to organize a series of workshops for the core group of AI facilitators.

At the initial workshop of this process, the objectives should be to familiarize AI brokers/facilitators with their role (see below for the suggested TOR of AI Facilitators). Subsequent workshops will have the objective of reflecting on experience gained by the AI Facilitators with the consortia partnerships formed, defining lessons learned, and reviewing key skills required.

6.2.1 Agricultural Innovation Facilitator - Terms of Reference⁹

For the purposes of selection AI-Facilitators for the 1st group of fast track consortia, the following TOR were developed by the desk review team:

⁹ These TOR for the AI Facilitators have been updated from the original TOR circulated to consortia selected under the 1st PAEPARD call, to include more emphasis on the broker role expected under the “slow track” procedure (i.e. 2nd and subsequent PAEPARD calls).

The Role of AI Facilitator within PAEPARD

The Platform for African-European Partnership on Agricultural Research for Development (PAEPARD) supports the establishment of balanced, multi-stakeholder partnerships to engage in collaborative research and agricultural innovation. The term “multi-stakeholder” here refers to several groups, organisations or networks that represent the public, civil society and business sectors working on an issue of common interest. Balanced, in the PAEPARD context, refers to three characteristics: a) a mixture of African and European stakeholders; b) a mixture of research and non-research stakeholders; and c) equitable participation, in that all partners are fully engaged in consensual decision making in matters affecting the partnership.

Collaboration between stakeholders to address a common challenge seldom happens spontaneously or smoothly. It requires *brokerage* to bring the partners together, and *facilitation* to build the relationship between them. This relationship needs to be built on shared objectives, efficient task distribution, effective communication and mutual trust. While the roles of *broker* and *facilitator* can be separated, for the purposes of these TOR, they will both be considered within these TOR for the “Agricultural Innovation Facilitator” (AI facilitator).

The role of AI facilitator is key to the success of the partnerships that PAEPARD seeks to establish, and the strategy foreseen to develop these partnerships. This strategy includes the following main steps:

1. *Partnership formation*: bringing stakeholders together (the brokerage function), leading to an expressed desire of a number of stakeholders to work together around a federating theme (i.e. a common interest or shared agricultural innovation challenge);
2. *Partnership development*: getting to know each other, understanding each other’s perspectives and objectives, (better) defining shared objectives, respective roles and activities, developing a common action plan or concept note;
3. *Proposal writing*; developing the concept note into a formal proposal that can be submitted to specific financing agencies.

PAEPARD foresees this overall strategy being undertaken in 2 processes: a “slow track” and a “fast track” process. A third “intermediate track” was added at the Leeds Strategy meeting, to reflect the different circumstances under which the partnerships are being formed:

The “**slow track**” starts with a federating theme resulting from the WP1 and WP2 consultations, and consists of steps 1-3. It allows for individual organisations or interest groups to seek and contact new partners on a theme that interests them, or to respond to the interests of others (Step 1). This searching for partners will be mainly assisted by electronic databases, electronic communication, and where necessary by face-to-face meetings. PAEPARD will then support interested parties to come together in “*partnership inception workshops*” to develop both the partnership and a joint concept note (Step 2). Through WP6, PAEPARD will also mobilise finance for the proposed theme. Finally, and once a source of finance has been identified, PAEPARD will support a “*proposal write shop*”, to allow for selected representatives of partner organisations to develop a formal proposal for outside funding (Step 3).

The “**fast track**” starts with an open PAEPARD call and essentially consists of Steps 2 and 3. Under this process, PAEPARD selects, through the competitive call, partnerships that have already formed around a common interest, and who are interested to develop a multi-stakeholder research and proposal that can attract funding from European or other financing mechanisms. On the basis of the experience of the 1st call, it cannot be guaranteed that applications will have already identified suitable funding opportunities at the time of the application – it may therefore be necessary for PAEPARD to identify such funding opportunities once the concept notes have been prepared at the PI workshop, as well as suggest new partners to make access to identified funding easier and support to develop the full proposal (through the writeshop but also through additional support as needed).

The “**intermediate track**” would start with PAEPARD identifying calls from suitable funding agencies¹⁰, and identifying/ motivating suitable organisations to take the lead in preparing an expression of interest and identifying suitable partners (with support from a PAEPARD broker as needed). Once the partnership is formed, this can then attend the planned cycle of PI workshops and writeshops.

The PAEPARD AI Facilitators are expected to play a key role in these processes. In the “slow track” process, AI Facilitators will be given an opportunity to develop their skills in “*Facilitator Training Workshops*”, so that they can subsequently broker, facilitate and nurture the partnerships through the inception workshops and in implementing the partnership actions. In the “fast track process”, at least in the 1st call, PAEPARD Core Team members will facilitate the partnership inception workshops, and in these events the AI Facilitators will play a dual role – as participants as well as facilitators of their individual stakeholder partnerships and or brokers for partnerships under the slow or intermediate track processes. After the partnership inception workshops, AI Facilitators will facilitate and nurture the partnerships to help them through the process of proposal writing and implementation of partnership actions.

After the immediate PAEPARD process of forming equitable stakeholder partnerships and helping these obtain external finance, it is expected that the AI Facilitators will continue to play a role in the partnerships formed, as an integral and financed component of the research and development projects developed.

Desired Profile for an AI Facilitator¹¹

A facilitator is an individual who enables groups and organisations to work more effectively, to collaborate and achieve synergy. She or he is a “content-neutral” party who, by not taking sides or advocating her/his own point of view can promote fair, open, and inclusive communication, procedures and decision making that help accomplish the group’s work. A facilitator is also a learning guide, who assists a group to think more deeply about its assumptions, beliefs, values, and about its systematic processes and context and who, if needed to improve individual and group performance, stimulates and supports adequate behaviour and changes in mindset.

Internal vs external?

A facilitator can be *internal* – a staff member or representative of one of the partner organisations - or *external* (drawn from a non-partner organisation or independent).

The obvious disadvantage of an internal AI Facilitator is that he/she may be seen as biased, tending to favour the interests, or being beholden to the management of, his/her particular parent organisation. If this happens, the other partners will not easily accept or trust the role of the facilitator, or even the parent organisation.

The disadvantage of an external facilitator is that he/she may be (or be perceived to be) distant and not sufficiently committed to the partnership. In addition, it may be difficult to find ways of financing such a neutral person on a long-term basis.

On balance, PAEPARD suggests that partnerships select a neutral or external AI Facilitator where possible. Part of the support given by the platform is contributing to the costs of the facilitator role

¹⁰ The example was given here of the proposed FP7 calls in 2011. Information obtained by the project indicates that these will include 2 main themes: “insects as novel sources of protein” (KBBE.2012.2.3-05), and “conversion of bio-waste in developing countries” (KBBE.2012.3.4-01). Preliminary indications are that European/International research consortia are already forming around these themes, with some interest in PAEPARD’s role of identifying non-research partners to address these themes. Other calls that PAEPARD should monitor – with a view to linking these to the 2nd PAEPARD call for proposals - include the ACP 9th call and the forthcoming Edulink call.

¹¹ The Facilitator TOR were prepared to guide the applicants to the 1st and 2nd PAEPARD calls, they will require modification for the “brokerage” role.

during the initial phases of the partnership development phase; and PAEPARD further suggests that the actions of an external AI Facilitator are considered as an integral part of any project developed, and included in the action plan and budget of any proposal developed for financing of partnership activities.

Skills Set

Facilitation is a skilled job. It is both a science – requiring objective and systematic skills – as well as an art – requiring intuition and imagination¹². The facilitator needs to be a coordinator, an innovator, an animator, and a teacher. Above all, he/she needs the respect of the organisations and persons representing the different stakeholders.

The facilitator therefore should:

- Be committed to the professional role of facilitator, and to making a success of the partnership being facilitated;
- Be focussed on the process of partnering, rather than on the agricultural research or innovation *per se*;
- Be able to command respect and inspire trust from the different partners involved;
- Be good at communication, teamwork, negotiation and conflict management;
- Be able to inspire behavioural and mindset changes needed for effective multi-stakeholder partnerships;
- Be willing to learn and improve as a facilitator, both from outside sources but especially from continued experience, reflection and feedback from partners;
- Be familiar with the aims and objectives of PAEPARD.

Responsibilities of the PAEPARD AI Facilitator

The AI facilitators as foreseen by PAEPARD have a number of specific and general responsibilities. The AI Facilitators will therefore:

1. Develop their role:

- a. Ensure that their own role is discussed, recognised and agreed by all stakeholders represented in the partnership;
- b. Be willing to learn, adapt, and develop their role as AI Facilitator;
- c. Be willing and available to attend the Facilitator Training Workshops, and/or Partnership Inception Workshops, as appropriate and as programmed by PAEPARD;
- d. Be willing and available to monitor the stakeholder partnership and to continue the role of partnership facilitator after the immediate training or partnership inception workshops.
- e. Familiarise themselves with PAEPARD literature.

2. Broker multi-stakeholder partnerships

- a. Create an awareness among potential organisations of the PAEPARD project, the federating themes, and potential financing for multi-stakeholder partnerships;
- b. Identify potential African and European organisations which might be interested in the PAEPARD federating themes, and introduce these organisations to other interested partners who can form consortia around the selected themes;

¹² See the “*Brokering Guidebook*”, and the “*Partnering Toolbook*”, both by Ros Tennyson, and published by the International Business Leaders Forum.

- c. Liaise closely with PAEPARD WP3 to identify potential sources of financing for consortia formed around the federating themes;
- d. Mobilize the collaboration between the partners of the (potential or actual) multi-stakeholder partnership;
- e. Ensure that all stakeholder interests are represented by the partners to the degree possible, or considered by the partners where direct representation in the partnership is not logistically or financially possible;
- f. Ensure that each stakeholder represented in the partnership plays a balanced role, that one or few of the partners do not dominate the partnership (i.e. ensure that the interests of the non-research partners are adequately represented in the research and innovation agenda developed, as are both the interests of the African and European partners);
- g. Create a shared responsibility; help the partners evolve from business-as-usual deference, dependency and assertiveness, to collaboration and shared responsibility.

3. *Promote mutual understanding between partners*

- a. Guide the partners to agree on well-defined and shared objectives, the roles and responsibilities of each partner organisation, the activities that these partner organisations will undertake to contribute to the shared objectives, and the resources that each partner will contribute;
- b. Promote communication and information sharing between partners; assist each partner to articulate their needs, interests and perspectives to other partners; ensure that individuals listen to and empathise with each other;
- c. Encourage the adoption of behaviour by stakeholder representatives that is conducive to an environment of mutual respect and trust;
- d. Ensure that group norms or organisational culture do not oppress individual thinking, creativity and innovation;
- e. Promote consensual decision making by partners, and mutually inclusive solutions;
- f. Mediate between partners, and/or facilitate the negotiation between the partners themselves to resolve any conflicts of interest;
- g. Guide the partners to an appropriate form of informal or formal agreement (e.g. collaboration agreement; memoranda of understanding; contract, etc.).

4. *Promote social learning by partners*

- a. Promote and guide joint reflection by the partners such that the partners learn from the process and improve their own ability to work in partnership with other organisations or interest groups;

Promote the documentation by the partners, both of the results and outcomes of the research but also of the partnership process itself and lessons learned, for the benefit of the individuals involved, their organisations and others interested in research partnerships.

6.2.2 Selection of AI Facilitators

The identification and selection of AI facilitators to achieve the tasks described in the TOR above will be a key factor in the success of PAEPARD. Obviously the conditions of engagement (TOR, time requirements for partnership brokerage and capacity strengthening, any fees, etc.) will need to be defined by PAEPARD and given as part of the call for nominations. In particular, the question of whether fees for AI Facilitators during the partnership inception and proposal development phase are appropriate: if and once the developed proposals are financed by external agencies, it should be policy of PAEPARD to encourage partnerships to include the AI Facilitator role as a remunerated and integral project activity (although this will require scrutiny of potential financing mechanisms to ensure that such fees are permissible). The approach here should be to develop the role of the AI

Facilitators as a respected and remunerative profession. This call for nominations should take place during July 2011, to allow for selection for the first AI Facilitator Workshop scheduled for September 26-October 1, 2011 (see below for an outline of this workshop)¹³. Based on discussions at the Leeds workshop in June, it was agreed that the project should aim to select 50% of the broker/facilitators from farmer organisations.

In addition to the PAEPARD partners, the call for nominations of AI facilitators should be publicised within the networks of ANAFE, Prolinnova, AGRINATURA members (including CDI/WUR), PICOTEAM, TPI, CGIAR centres (CIAT, ILRI, ICRISAT, IITA, Africa Rice, ICRAF) and the SROs (ASARECA, SADC-FANR, CORAF-WECARD).

6.2.3 Initial AI Facilitator Workshop

Expected outcomes of the AI Facilitator Workshops will therefore include:

- Knowledge by the AI Facilitators of the PAEPARD project, its strategy and activities;
- Awareness by the AI Facilitators of their roles within PAEPARD partnerships;
- Familiarization with the PAEPARD “federating themes” selected and prioritized by PAEPARD, around which they will broker future partnerships;
- Familiarization with financing opportunities for PAEPARD partnerships, and PAEPARD information systems (WP3) that give more detailed information on these opportunities and donor requirements;
- Review of the learning objectives, programme and activities of the Partnership Inception Workshops;
- Understanding of the basic pre-requisites for successful multi-stakeholder and African-European partnerships;
- Awareness of the basic strategies for conflict resolution between potential PAEPARD partners.

A suggested programme summary for the initial AI Facilitator Workshops is consequently shown in Table 6.3

Table 6.3 Suggested programme for the AI Facilitator workshops

Monday (pm)	Tuesday	Wednesday	Thursday	Friday (am)
Introduction: - Participants and facilitators - Workshop objectives - Workshop management Participant experiences of partnership facilitation Expectations/ role of the workshop facilitators, partnership facilitators, and invited resource persons	Recap and feedback Day 1 The PAEPARD project: - Objectives - European partners - African partners - WP5 (Partnership Strategy) - WP3 (Information management) Pre-requisites for successful multi-stakeholder partnerships	Recap and feedback Day 2 Financing opportunities for PAEPARD partnerships The role of the AI Facilitator in PAEPARD Conflict resolution in PAEPARD partnerships – what can go wrong?	Recap and feedback Day 3 Review of 1 st round of partnership inception workshops: - Learning objectives - Programme - Outcomes Suggested programme for future workshops Review of facilitator skills needed	Recap and feedback Day 4 Reflection of lessons learned during the workshop

¹³ The initial date for the AI Facilitator workshop was postponed for 1 week due to other commitments of PAEPARD partners.

6.2.4 Role of broker/facilitators in 3rd and subsequent PAEPARD calls

For the 3rd PAEPARD “call”, it is suggested here that this is not “open”, or directed in the first instance at research and other organisations, but that the core group of AI facilitators be invited to form (or “broker”) consortia, based on a) the federating themes, and b) stakeholder information (data bases) provided by the project. Once the AI facilitators have formed a consortium around the federating themes, they can then organise and facilitate “partnership inception workshops” and writeshops (adapted as necessary, based on experience with the 1st and 2nd calls).

One issue here is the incentives for AI facilitators to take on these responsibilities and the associated work load. It remains at least questionable if the fee for facilitating any inception workshop, or the possibility of being included in any subsequent ARD proposal for funding, will be sufficient incentive to be involved with PAEPARD as a “registered AI facilitator”. An additional question will be the relationship between the AI Facilitators, if they undertake this role, and the project “leader” or lead organisation, which will also have to be redefined.

6.2.5 Subsequent facilitator “review and reflection workshops”

After the first round of experiences gained by AI Facilitators during the 2nd and 3rd PAEPARD calls (and associated PI workshops/PD writeshops), the initial group of AI Facilitators should be recalled to review and reflect on their experience, the TOR and capacity strengthening needs. Given the above programme (for 2nd and 3rd PAEPARD calls), this review workshop should be scheduled for the second half of 2012. The programme for this workshop will need to be developed based on prior contact with the AI facilitators and preliminary needs assessment.

6.2.6 Backstopping and mentoring of facilitators

AI Facilitators will need continued support from PAEPARD to carry out their tasks efficiently. This support should include:

- Access to, and guidance on how to use the communication and information systems being developed by WP3, especially on identifying potential sources of finance for projects developed by the partnerships they are facilitating
- Backstopping from ICRA, RUFORUM (and/or other designated organisation) to help resolve any issues arising during facilitation of partnerships, and support with learning resources as appropriate.

6.2.7 Additional capacity strengthening of facilitators

Based on reviews of experience and consequent identification of additional capacity development needs of the AI facilitators, PAEPARD should consider making available funds for interested facilitators to attend open short courses offered in partnership brokerage or multi-stakeholder facilitation to further develop their skills. Suitable courses might include:

- The 5-day “Partnership Brokers Training” offered by The Partnering Initiative (TPI)
- The 3-week “Design & Management of Interactive Learning in Rural Innovation” offered by ICRA
- The 3-week “Facilitating Multi-Stakeholder Processes And Social Learning: Advanced Course In The Use Of Participatory Approaches For Institutional Change” offered by CDI-WUR
- Etc.

Other organisations that also have relevant expertise and could be considered for organising tailor-made events on partnerships and partnership management include ILAC, as well as a number of AGRINATURA members.

Alternatively, if there is enough demand, one or more of these organisations could develop a tailor-made programme in the region for AI Facilitators.

6.2.8 Brokers and Facilitators – a rethink

There has been much debate in PAEPARD about role of ‘Facilitators’ and ‘Brokers’. For the first call it was thought that each partnership should have a ‘Facilitator’, preferably independent of the other partners. At the first partnership workshop in Nairobi, there was some conflict of leadership between the Facilitator and the Team Leader. Some partnerships could not see the need to separate the roles. At the Leeds Workshop, it was agreed that in view of these difficulties with having two people in a management role in each partnership, it may be more practical to combine the roles of Project Leader and Partnership Facilitator. If necessary the capacity could be strengthened of Project Leaders to better fill the role of facilitating multi-stakeholder partnerships, as well as the normal coordination and administrative role normally undertaken by project leaders. The programme of the Inception Workshops needs to be adjusted accordingly.

Under this scenario, the AI Facilitators developed by the Project would still be required in order to develop facilitate the further rounds of partnership inception workshops, and could be available in case partnerships specifically requested a facilitator, of but they would not necessarily be and integral part of the research consortia.

The role of the ‘Broker’ is seen as one of identifying and bringing potential partners together around a “federating theme” and therefore more relevant to the “slow track” rather than the “fast track” process. There is less of a role for brokerage in the ‘fast-track’ partnerships. However, the problem of how to identify potential brokers, and their incentive/remuneration to act in this capacity remains unresolved by the Project at the time of finalising this report. It is suggested here that PAEPARD gives consideration to making this a professionally remunerated activity, if the role of the broker is to be taken seriously.

6.3 Additional support to key stakeholder groups

The project intends to form more “equitable” multi-stakeholder partnerships. However, it is undoubtedly true that certain stakeholder groups (e.g. researchers) have more “power” when it comes to responding to research calls and in defining research activities. Specific support to key stakeholder groups, such as farmer organisations in Africa at sub-regional and/or national level, would enable them to enter into partnerships on a more equitable basis.

The needs of the farmer should be made more central in the PAEPARD process. As the end-users of the technologies that develop from research outputs, research proposals should reflect clearly identified demand from farming communities, articulated through farmers’ organizations. This of course raises other issues of recognised competence and the extent to which farmers’ organizations themselves are able to identify and represent the real needs at farm level.

PAEPARD should avoid ‘business as usual’ in bringing farmers into the research consortia only after the topic for the research partnership has been decided (usually by researchers). The issue to address is how to establish and then link the demand pathway to the process of ‘brokerage’.

While proper identification of demand for research among the intended end-users is key to ensuring adoption of research outputs, the needs and incentives of other partners/stakeholders to participate in an ARD project must be recognised. Multi-stakeholder projects involving the private sector are rarely relevant to research with strictly food security outcomes, they are usually commodity market-related. Incentives for private sector participation are based around research that results in increased flow of an agricultural commodity along the value chain. Smallholders benefit from increased income derived from improved market access, while other value chain actors benefit because more product flow equates to more profit. There is therefore, a close association between demand-led and market-led research in multi-stakeholder research partnerships.

Ways of strengthening the demand- and market-led research in the PAEPARD process might include:

- Strengthening the capacity/competence of farmer organisations in analysing and documenting partnership case studies (e.g. as projected under WP2);

- Specific workshops to discuss with farmer organisations how different concerns can be “translated into” research questions, so that farmer organisations know better what they can expect from research, can prioritise research needs, and are more capable of demanding research from prospective partners.

Ensuring that demand from end-users precedes agreement on research topics, that demand articulation is part of the TORs for the ‘Broker’ and the role of research partners becomes more one of translating farmers problems or constraints into researchable constraints.

Annex 1 Terms of reference for WP4 Desk Study¹⁴

Following the Team's review of available documentation, and discussions of its role, the Team broadly adopted the TOR as given, albeit with minor modifications reflecting the reality of the situation at the time and overall process of WP4 and WP5 as understood by the Team. The resulting TOR, as adopted by the WP4 co-leaders, is given below:

Background

The Platform for African-European Partnership on Agricultural Research for Development (PAEPARD II) Project brings together networks in Africa and Europe with the objective of enhancing more equitable, more demand-driven and mutually beneficial African-European innovation partnerships for mitigating poverty through inclusive agricultural research for development (ARD) that impacts on the lives of the rural poor. PAEPARD II aims to move research approaches from the currently largely supply-driven approach in ARD towards a demand-driven approach. Thus, it is expected that within PAEPARD II demand-driven ARD initiatives of high quality will be implemented by multi-stakeholder African-European partnerships. The Regional Universities Forum for Capacity Building in Agriculture, a consortium of 25 African Universities in Eastern, Central and Southern Africa, is co-leader of Work Package 4 (WP4) of the PAEPARD II Project. The other co-leader of WP4 is ICRA, a Europe-based centre specialised in strengthening the capacity of people and organisations to work and learn together to generate more relevant knowledge for rural development and make better use of it. The Technical Centre for Agricultural and Rural Cooperation (CTA), an ACP-EU organisation based in the Netherlands, is supporting WP4 as associate. Other consortium partners include networks from Africa and Europe involved in agricultural research for development and non-research stakeholders such as farmers' and non-governmental organisations. The PAEPARD II project builds on activities of the PAEPARD I Project, which identified critical gaps, particularly related to the need to ensure inclusion of non-research actors in ARD, the need to broaden participation both in terms of geographic coverage and institutions participating in EC funded initiatives and the need to improve the African participation in the identification of challenges to be tackled. PAEPARD I brought to the fore and made cognizance of the reduction in EC funding opportunities for ARD, such as with the conclusion of INCO-DEV. WP4 is one of six Work Packages (WPs) of the project that together will lead to achievement of the project purpose. WP4 is a cross cutting work package that aims to enhance the capacities of African actors to mobilise, facilitate, participate, lead and evaluate joint multi-stakeholder ARD innovation partnerships with Europe.

Rationale

As part of the approach for achievement of the wider goals of the PAEPARD Project, capacity strengthening activities will be guided by a Strategy to be developed and implemented under coordination of WP4 but in close consultation with all other WPs of the Project. The Strategy will respond to capacity strengthening needs identified, inter alia, through the internal and multi-stakeholder consultations of WP1 and WP2, and build on the partnership guidelines (WP5), on experiences of the partners and case studies and on lessons from other initiatives. To support the development of this strategy, and recognizing that the PAEPARD consortium is formed by key relevant networks involved in ARD in Africa, WP4 is tasked with putting together a team of experts from within the Consortium that will undertake a desk review (a) of capacity strengthening tools and approaches/ experiences available that best respond to the needs identified and (b) of potential providers of capacity strengthening services from among the Consortium partners. The findings of this desk review will form the basis for a workshop of all Consortium partners to finalise the capacity strengthening strategy and work plan for WP4. The members of the desk review team will participate in this workshop.

¹⁴ V3 (February 2011), as provided to the Desk Study Team; tracked changes refer to those proposed by the Team in its initial meeting in Entebbe, April 5-6, 2011.

These Terms of Reference (ToR) clarify the roles and responsibility of this desk review team and, in line with the approved project document of the PAEPARD Project, make recommendations on the constitution of the team, based on expertise and relevance of players. Based on the project document, a five-person team that includes representation of the multi-stakeholder groups and networks involved in PAEPARD as a means to facilitate implementation of outcomes of the consultancy and consisting of the following organisations is proposed: The WP4 leader and co-leader (RUFORUM and ICRA respectively), the Natural Resources Institute (representing AgriNatura), the Food, Agricultural and Natural Resources Policy Network (FANRPAN) and the Pan-African Federation of Farmer Organisations (PAFFO).

Objectives

The objective of the desk review will be to propose options for a capacity strengthening strategy in response to identified gaps in both PAEPARD I and PAEPARD II in order to enhance the capacity of African organisations and individuals to more actively participate in multi-stakeholder ARD partnerships with Europe. Based on a review of the most appropriate capacity strengthening approaches and tools, the desk study will guide on how to respond to the prioritised needs and identify potential providers of capacity strengthening services, including education and training organisations, NGOs, FOs, research and extension organisations, preferably from among the consortium partners and their constituencies if these can provide the required quality.

A. Roles/ activities of the desk review team members

The role of the desk review team members will be to undertake the following:

1. Internalise the PAEPARD I and II documents, including objectives of the PAEPARD II project and expected results;
2. Familiarise with findings and lessons from internal and multi-stakeholder consultations of the PAEPARD II project (WP1/WP2), with special emphasis on capacity strengthening needs identified;
3. Internalise overall WP5 and WP3 Workplans to ensure alignment of capacity strengthening services with brokerage and partnership building actions under PAEPARD II;
4. Based on PAEPARD I, the PAEPARD II consultations (see point 2 above) and other stakeholder experiences, summarise/validate capacity gaps amongst African and European partners that constrain/limit formation and establishment as well as impact of African-European multi-stakeholder ARD partnerships;
5. Review and document current capacity strengthening experiences, methods, tools and approaches that best respond to the gaps identified, where relevant making use of lessons, if any, from previous successful African-European multi-stakeholder partnerships in ARD;
6. Identify and match existing service providers from among the Consortium partners to provide relevant capacity strengthening services to build more equitable, more demand-driven and mutually beneficial African-European innovation partnerships;
7. Recommend detailed options for the capacity strengthening strategy and action plan;
8. Share results of the desk review in the form of draft report with all PAEPARD Consortium partners and their stakeholders and incorporate feedback into the final report;
9. Make findings available to WP3 and WP5 for wider utilization and dissemination;
10. Present final results of the desk review at a workshop of all Consortium partners organised by WP4 to finalise the capacity strengthening strategy and work plan for this work package and participate actively in the strategy formulation¹⁵.

¹⁵ The Team noted the proposal for a “Strategy Formulation Workshop” to (presumably) discuss and validate its findings, and the expectation that this workshop would take 6-12 days. However, the Team considered that 2-3

The desk review team will be coordinated by the ICRA representative. It will start its activities with a three-day workshop in Uganda to form the team, share experiences between the members and plan the team's activities and modus operandi. The rest of the work will be performed at the team members home base with regular consultations through email, phone and skype. The working language of the team will be English.

B. The role of WP4 Co-Leaders -RUFORUM/ICRA- in addition to being part of the team will be to;

- 1 Provide relevant documentation to the desk review team;
- 2 Facilitate the tasks and activities of the desk review team members.

C. Deliverables

The following deliverables are expected from the desk review team:

1. A report detailing the following:
 - a. Validated¹⁶ capacity strengthening needs with special focus on capacities needed for multi-stakeholder collaboration and social learning, reflection the needs of both partnership teams (“fast track”) and AI facilitators (“slow track”), and where relevant also disaggregated by stakeholder group/ geographic region/ scale of operation of partnerships/ nature of innovation challenge;
 - b. A literature review of tools, methods, approaches and experiences available for responding to the capacity gaps, including available service providers; and,
 - c. Detailed options for the capacity strengthening strategy and action plan for WP4 that matches with the brokerage and partnership building actions of WP5.
2. A final report incorporating suggestions from PAEPARD partners.

D. Qualifications

The team members will amongst them have the following qualifications:

1. Represent one of the Consortium partners of PAEPARD and their stakeholder constituency;
2. Relevant experience of working in multi-stakeholder ARD partnerships, preferably involving both African and European partners;
3. Relevant experience of different learning approaches, methods and tools used to strengthen capacities of multi-stakeholder ARD partnerships;
4. Good team work skills;
5. Experience in conducting review studies and documenting results;
6. At least one of the team members should speak/read both English and French¹⁷.

E. Duration of the task

days would be sufficient for the purpose of presenting and validating the strategy (plus any necessary travel time).

¹⁶ The Team noted and discussed the requirements to “validate” its findings, concluding that this will be achieved through 2 steps in the process: a) through circulation of draft interim reports (consisting of report chapters), and feedback from the co-leaders of the various work packages, and b) from feedback given at the joint strategy workshop now proposed for mid-June (after which the draft report would be finalised).

¹⁷ The Team notes the requirement in the TOR that “at least one of the team members should speak/read both English and French. However, none of the team members selected by their respective organisations was proficient in French.

The task is expected to take a total of between 24 and 29 person days per team member over a period of two months, including the initial team meeting in Uganda), individual work at members home base, and participation in the strategy formulation workshop¹⁸.

¹⁸ The proposed schedule of Team activities given in the TOR was inevitably modified by delays in appointing the team. The revised schedule is discussed in Annex 2.

Annex 2 Activities of the Review Team

Based on the developed report outline and associated consultation process, the overall schedule for the desk study was reviewed at the initial planning meeting. This was revised iteratively during the study, with the resulting activities as given in Table 1 below:

Completed Activity Plan for the Desk Study.

Activity/task	Completion date
1. Consortium partners proposed C.V.s of candidate team members to WP4 co-leaders	18 Feb 2011
2. WP4 co-leaders and Consortium partners agreed on team composition and assign team coordinator role	1 April 2011
3. Desk review team convened for 2-day planning workshop in Entebbe, Uganda	5-6 April 2011
4. Skype consultation with WP4 and WP5 Co-Leaders	13 April
5. Review of WP4 strategy with WP4 and WP5 co-leaders, development of programme for partnership inception workshop (Nairobi)	11-13 May, 2011
6. Desk review team presented draft report to WP4 co-leaders	31 May 2011 ¹⁹
7. Desk review team presented final report to WP4, WP5 co-leaders, project Co-Managers (Leeds, UK)	June 20-21 2011
8. Editing and submission of final report	July 15 2011.

¹⁹ The deadline for submitting the draft report was later postponed to May 31 (at the WP2 Nairobi consultation workshop), after changes in the DR team.

Annex 3 Conclusions from Skype discussion (13 April, 2011)

The initial team meeting in Entebbe (April 5-6) allowed the team to internalise PAEPARD strategy and its own role within this strategy. However, the team identified a number of issues which need early resolution by the WP 4 and WP 5 co-leaders and WP 5 Working Group, if the Team is to be effective. These were clarified during a Skype conference with WP4 and WP5 Co-Leaders on April 12, when the following conclusions and decisions were reached:

- a. “Brokering” and “facilitation” are recognised to be distinct, but overlapping, roles. The Desk Study Team will prepare separate “terms of reference” for these roles as a matter of urgency.
- b. The different ways in which the 1st call partnerships apparently interpreted the role of “partnership facilitator” was noted, as were the advantages and disadvantages of having facilitators from partner and non-partner organisations. The partnerships will receive the TOR to be developed by the Desk Study Team, and requested by WP5 to review their selection.
- c. The best strategy or activity for “brokering” teams (under the slow track process), remains to be decided (by WP5). This could be achieved through electronic consultations and information sharing, as well as instead of, or in addition to, the “brokerage workshops” shown as step one in Figure 1 (main text).
- d. The timetable for the Desk Study (Section 2.8) was endorsed by the WP4 co-leaders.
- e. The “Strategy Review Workshop”, comprising WP4 and WP5 co-leaders and WP5 WG will be held in Leeds, UK, during 20-21 June (to precede the “Africa Food Security, Health and Impact Knowledge Brokering Conference” being held there with FARA participation on June 22-24). The purpose of the workshop would be to validate, adapt and jointly plan WP4 activities for the rest of the project.
- f. The number of “AI Facilitators” to be developed by PAEPARD is yet to be determined, and falls within the scope of the strategy to be suggested by the Desk Study Team.
- g. The proposed partnership on “policies for pyrethrum pest management under climate change” has been dropped from the “fast track” partnerships selected under the 1st call, leaving 6 Anglophone/mixed and 3 Francophone partnerships.
- h. The first “partnership inception workshop” will be held in E. Africa during week 23 (June 6-12, depending on duration). The Desk Study Team will take the lead in facilitating this workshop, which will serve as an initial “pilot” for this type of activity, and will provide lessons learned (on the “fast track process”) for the Strategy Formulation Workshop on 20-21 June.

Future providers of training/facilitation services will inevitably want to adapt findings/recommendations of the Desk Study Team (requiring time, e.g. one month, to prepare). The Desk Study Team will therefore provide key areas based on their literature review and specific analysis of partnerships concepts submitted for capacity training content – these areas will be subsequently fleshed out by service providers who will be providing capacity strengthening services.

Annex 4 Documents Reviewed by the Team ²⁰

PAEPARD 1

- Project title: Building up a platform for African –European Partnerships on Agricultural Research for Development. Final Report, Revision [draft 1]. 32 pp.
- Evaluation de la politique européenne de coopération au développement pour la recherche agronomique en Afrique. Marion Le Guilloux. 30-09-2007. 207 pp.

PAEPARD 2 – General

- PAEPARD Grant Contract (DCI FOOD/2009/200-228) and Annexes 1-8 (including Annex 1 “Description of the Action”)
- PAEPARD launching and project management meeting. Brussels, 10-11 February 2010. 22 pp.
- “Background to PAEPARD: Desk Review Meeting- Entebbe, 5 April, 2010” – PowerPoint presentation by Moses Osiru.

PAEPARD WP 1

- PAEPARD II, WP1, Work Plan for Year 2 (17/12/2010 – 16/12/2011). Version: 23.12.10. AGRINATURA-EEG/IAO, CSA, COLECAP, ICRA. 53 pp.
- Synthesis of the Work Package year 1 plans. Version 18 May, 2010. 61 pp.
- Synthèse de la première consultation des ONG européennes dans le cadre du projet PAEPARD, Bruxelles, 22 septembre 2010. 7 pp.
- PAEPARD II Work Package 1 – Mobilisation of European Stakeholders, Task 1.3, Internal consultation of European Stakeholders. Sub-Task: Consultation of European research organisations. Final report of the consultation. AGRINATURA –IAO. 7 pp.

Multi-Stakeholder Consultation, Florence, 7-8 March, 2011

- PAEPARD Multi-Stakeholder Consultation: introduction, objectives, expected results, programme. Jon Daane. PowerPoint Presentation.
- PAEPARD Multi-Stakeholder Consultation: Introduction to the three topics for group work. Jon Daane. PowerPoint Presentation.
- Outcomes of European internal stakeholders consultations: NGOs sector. PowerPoint presentation.
- Outcomes of European internal stakeholder consultations. Research sector. Powerpoint Presentation.
- European PRIVATE SECTOR Consultation by COLEACP. PowerPoint Presentation.
- Partnering for demand-driven agricultural innovation: forming and strengthening capacity of a multi-stakeholder partnership in the rice sector in Benin. Powerpoint Presentation. Laurent Glin, PNISA-Benin, Environmental Policy Group/WUR
- Processes and mechanisms for balanced partnerships. PowerPoint presentation.
- Topic 3: Collective and individual stakeholders groups’ needs in terms of information, capacity strengthening and advocacy. PowerPoint Presentation, Estelle; Audrey; Jon; Didier; Moses.
- Promising federating themes for partnerships: Strategic Agricultural Research and Development for National Food Security Value Chain. PowerPoint Presentation. Rabe Mani Ph.D. FAO Nigeria.

²⁰ V3 (February 2011), as provided to the Desk Study Team.

- Mini-management team meeting held in Florence as side event of the 1st European multi-stakeholders consultations on agricultural research for development. Florence (Italy), 7-8th march 2011. 7 pp.

PAEPARD WP 2

- PAEPARD II, WP2. Narrative Report Year 1. 23 pp.
- PAEPARD Activities in Southern Africa (FANRPAN/SACAU Region) (Summary table of national multi-stakeholder dialogues). 4 pp.
- Proceedings of the national multi-stakeholder dialogue on the platform for African and European partnership in agricultural research for development PAEPARD. In the Democratic Republic of Congo, Kinshasa, Castelo Hotel, 11 to 12 November 2010. 8pp.
- PAEPARD African multi stakeholder workshop held at Glory Hotel Nairobi, Kenya with 25 participants on 15th October 2010. 6pp.
- Interim Narrative report. 19th august 2010-15th October 2010. PAFFO. 16 pp.
- Atelier sous regional de consultation des acteurs sur la recherche agricole pour le developpement. Yaoundé, les 25 et 26 novembre 2010. 5 pp.

PAEPARD WP 4

- PAEPARD Work Package 4. Capacity Building, Year 2 Work Plan Presentation to PAEPARD Management Meeting; CORAF, 02 Dec, 2010, Dakar, Senegal. PowerPoint Presentation.
- Terms of reference for a desk study to support development of a strategy to enhance the capacity of African actors to engage in joint multi-stakeholder ARD innovation partnerships with Europe. V3 February, 2011
- Planning of WP4-WP interrelated activities after 1st Call: summary of the results of a meeting on these activities in Florence on 9 March, 2011 (this document made available to the team the week following the initial meeting)

PAEPARD WP 5

- WP5. Work plan for the year 2. COLEACP Proposal on 21 January 2011 developed in collaboration with ICRA and CSA. 8 pp
- PAEPARD WP5: Process for the Development of Partnerships -Year 2 (1 slide Powerpoint Presentation)
- Refining the PAEPARD concept of brokerage. F. Stepman 30/11/2010. 8pp.
- Guidelines for innovative African European innovation partnerships in agricultural research for development in sub-Saharan Africa. D. Clavel & P. Kibwika. July 20th 2010. 20 pp.
- Concept note to work out concepts/criteria for partnerships between ARD and non-ARD actors & brokerage. 14 pp.
- Call for applications for support to the development of multi-stakeholder partnerships that promote demand-driven agricultural innovation and research. 3pp.
- Selected concept notes with comments of the reviewers. 15 pp.
- ["Selected proposals" from PAEPARD 1st call]
- Lessons learnt about first PAEPARD call. PowerPoint Presentation.

Annex 5 Summary of Partnerships Selected under the 1st PAEPARD call

Theme	Location	Types of Partner Organisations	Proposed Facilitator(s)	Proposed Finance and Deadline	Needs (incl. Cap St.)
Food security/ income for smallholder farmers through improved post harvest technology.	Ghana, Malawi	NGO (EU) University (Af) Research (Af) Private (Af) Producers (Af) x2	Senior managers of partners (x 6)	EU-FP 8 Jan 2012 (?)	Training innovation facilitator Project Development
Aflatoxin management in maize value chain	Kenya	Research (Af) Producers (Af) University (Af) Research (EU)	Senior Managers partners (x2) Unit Director, Int. Res. Centre (non partner)	B&M Gates Found. Not specified.	Support for meetings, resource persons
Policies for pyrethrum pest management under climate change ²¹	East Africa	Producers (Af) x 2 Research (Af) (COLEACP)	Int. Res. Centre (non partner)	African Union 30 April 2011	Training of innovation facilitator
Enhanced aquaculture	Sub Saharan Africa (Cameroon, Malawi)	NGO (Af) University (Af) Research (Af) x 2 Private (Af) NGO (EU)	Prog. Coordinator (partner) Prog. Coordinator (non-partner) Facilitator (non-partner)	African Union 30 April 2011	Proposal writing
Development of a monitoring tool for family agriculture	Senegal, Mali	NGO (EU) Public body?(Af) Policy (EU) x 2 University (EU) Producers (Af) NGO (Af) Producers (?) (Af) Research (Af)	Sen. Manager (partner) Programme Coordinator (non-partner) Univesity professor (non-partner)	FP7/ INCO Jan 2012	Resource Person (coordinator) Translations

²¹ This partnership later dropped from the initial “fast track” group of partnerships.

Theme	Location	Types of Partner Organisations	Proposed Facilitator(s)	Proposed Finance and deadline	Needs (incl. Cap St.)
Use of GIS for livestock development	South Africa	Producers (Af) Private (Af) Research (Af) University (EU)	Regional Rep., Int. Res. Centre (non-partner)	SIDA/ EU/ Africa Not specific	Facilitation for meetings
Soya agribusiness	Togo	Producers (Af) Research (Af) Extension (Af) Development (EU)	2 x Coordinator (partner) Coordinator (non-partner)	FAO/ IFAD/ internal, etc Not specific	Capacity building Partnership development Training facilit'r
Development and commercialisation of red pepper varieties	Togo	NGO (Af) University (Af) Research (EU)	3 x Senior Manager/ researcher (partners)	Not specified Jan 28 2011	Travel funds, per diems
Enhance PhD training in research methods	E. Africa	University (Af) x 4 University (EU) Private (Int) NGO (Af) Research (Af)	Professor (partner) Professor (non-partner) Consultant (non-partner)	ACP Edulink Not specified	Training in value chain analysis, M&E, EU grant procedures
Income generation through goat meat value chain development	Zimbabwe	University (Af) Development (EU) Research (Int) University (EU)	University professor (non-partner)	SADC and African Union 30 April 2011	Funds, training of value chain actors

Annex 6 Stakeholder Consultations in Europe (WP1)

This section summarises the main outcomes of the PAEPARD consultations with European stakeholders with particular reference to the implications for capacity building but also including aspects of partnership building relevant to the TOR of the desk study.

Research Stakeholders

The consultation for the research stakeholders in PAEPARD 2 was carried out as an e-consultation between October 2010 and January 2011, without a face-to-face meeting. A mailing list of 211 experts from European research, higher education, and capacity development organisations was built for the consultation. Participants who actively participated in the e-consultation were invited to the Multi-Stakeholder Workshop held in Florence on 7-8 March 2011. The general aim of the consultation was to raise awareness of PAEPARD among European research organisations. It was assumed they were already mobilised to respond to ARD research calls.

The mailing list was built using the following sources:

- European ARD stakeholders contacted for the electronic consultation for GCARD I (this was developed by EFARD in collaboration with the GFAR Secretariat);
- The subset of research organisation of the PAEPARD I stakeholders list;
- The list of AGRINATURA members.

Key Outcomes

- Poor response from European Research Organisations: The consultation response rate was only 9% (15 returns out of 161 delivered). Some organisations thought that the relevance of PAEPARD had not been made clear.
- Research priorities suggested: Research topics put forward were clustered around 4 themes; [i] value chains, [ii] water management/irrigation, [iii] agriculture/rural development policy and [iv] macro-economic issues.
- Case studies: Three case studies of effective partnerships were selected but the summary report provides no indications of capacity-building needs that were identified as a result.
- Capacity-building: The summary report gives little coverage to CB except that researchers agreed that they should support CB, including of non-research partners.

Implications for PAEPARD

- PAEPARD needs to be more effective in communicating the ‘brokerage’ concept and make EU research organisations more aware of opportunities offered by the project.
- The Desk Study Team require further elaboration of outcomes from the consultation relating to one of the stated objectives of the consultation: ‘Identify the main capacity strengthening needs for the establishment of balanced partnerships between non-research and research stakeholders’. This objective goes on to say that ‘a review of capacity strengthening expertise among research organisations will be put at the disposal of WP4’

NGO Stakeholders

The PAEPARD consultation with European NGOs was conducted through a workshop. The aim of the first European NGO consultation, which took place in Brussels on 22 September 2010, was to (i) reveal restrictions on and opportunities for establishing more inclusive partnerships, and (ii) to develop a common vision on the elements to be promoted by NGOs within PAEPARD. Participation was limited to 30 (See Annex 4).

Topics covered during the consultation included:

1. Conditions for setting up balanced partnerships.
2. Fostering the inclusion of farmers’ organisations to make the partnerships demand-driven.

3. NGOs' roles in reorienting ARD.

Key Outcomes

- Partnership building: The importance of building effective partnerships from the beginning was emphasised and it was recognised that this takes time and commitment but that donors rarely allow time and funding for this partnership-building phase.
- Stakeholder ownership: Shared ownership, shared accountability and transparent governance were considered as important pillars of successful multi-stakeholder partnerships. Research has to be willing to accept a non-central role.
- Communication and co-ordination: Successful partnerships depend on good communication between partners and to wider stakeholders. Electronic means can be used but face-to-face meetings remain important. The role of a facilitator in coordinating meetings and information exchange is important.
- Importance of Farmers Organisations: Inclusion of Farmer Organisations is essential to have ARD projects driven by demand from African family farms. Common interests and researchable constraints should be identified and documented.
- Role of NGOs: Involving NGOs can help to ensure that ARD is demand-driven. NGOs can assist Farmer Organisations to understand and respond to R & D calls. NGOs are well placed to take on the role of broker/facilitator for multi-stakeholder projects.
- Capacity-building: Participation in research projects by Farmers' Organisations will require capacity building in a number of topics; prioritization, project design, contributing to proposals. It was suggested that a 'direct capacity-building fund for Farmer Organisations is necessary.

Implications for PAEPARD

- There was strong support for the idea that multi-stakeholder projects required a broker/facilitator to manage the partnership, and that NGOs would be in a position to fulfil that role. It was implied that the roles of broker/facilitator were interchangeable. Communication was recognised as the cement holding partnerships together and that this might also be the role of the facilitator.
- Farmers' organisations were an important target for capacity-building to ensure that they were a source of and conduit for research topics, reflecting the demand from their members.
- While donors judge project proposals on the strength of the partnerships, rarely are time and funds made available at the outset to develop and build those partnerships. PAEPARD should play an advocacy role here (Some EU calls have required partnerships to be based on existing working relationships supported by MOUs).

Private Sector Stakeholders

European stakeholders were consulted first by e-survey, followed up by a face-to-face consultation held in Brussels in October 2010. COLEACP databases of European importers of fruits and vegetables were firstly searched in order to identify those private companies already engaged in Africa who were the most likely to be interested by the PAEPARD concept and willing to collaborate. A second search was conducted in order to categorize importers according to their domain of specialization (conventional, organic, fair trade) and consequently get feed back on specific needs per industry.

Key Outcomes from the e-consultation

- Respondents: Following the circulation of the questionnaire to 330 private companies by mid-October 2010, 50 [15%] replies were received by end of November (10 from European importers, 27 from African exporters and 13 from African local experts and service providers).

- Optimization of the economic performance of companies: A majority of answers pointed out unresolved technical problems with plant health, mainly those due to diseases such as anthracosis and pests such as fruit flies. The need for African suppliers to receive support for obtaining GAP and environmental certifications was expressed, as well as for demonstrating corporate responsibility regarding workers' health and welfare (special attention to be paid to family health, children's education and employment of women). Business operators expressed worries that researchers are neglecting their needs and leaving them with no efficient solution. Much interest was expressed for research work that would result in:
 - o More rational fertilization
 - o Safer crop protection through development of bio-pesticides
 - o More crop value addition through re-use/processing of by-products or waste
- Past experience of collaboration with agricultural research: Some partnerships were quoted as being successful in part or in total, for example partnership on:
 - o Madagascar lychees with the University of Pretoria in South Africa,
 - o Production/post-harvest/storage of pineapples, bananas and mangoes of West African growers with CIRAD in France,
 - o Soil analysis for adjusting fertilization of Guinean producers with the national Research institute,
 - o Floral induction by ethylene treatment for small scale fields in Cameroon.

All respondents supported the idea of placing young researchers in producers' organisations or exporters' organisations.

Key Outcomes of the consultative meeting

- Participation: The Consultative meeting took place on 26 October 2010 in Brussels with the participation of 2 European importers, 1 Exporter from Senegal, 2 experts from the COLEACP/PIP programme and 5 PAEPARD representatives of WP1, WP4, WP5 as well as the EU co-manager.
- Poor appreciation of what research can offer: Overall ignorance or "reserved" interest of a substantial number of private operators towards research. Among frequently asked questions - what are "they" doing? And how can "they" help me?
- Pressure to meet quality standards: Importers in Europe and exporters in Africa are under rising pressure of regulations and private standards, with responsibilities and costs being pushed by retailers back to suppliers. Such businesses tend to look for short-term, technical and immediately applicable solution.
- IPRs on research investment: Operators in the fresh produce trade usually buy 'patented' technology and services from providers. Only some medium to big size operators enter into contract with research institutions and pay for results, sometimes on an exclusivity basis and with no willingness to share with other operators.
- Lack of communication pathway: Lack of interaction and communication was frequently mentioned. As a consequence, a different understanding of the challenges to be met leads to divergent views on best ways to address them. Therefore, there is a strong need for appropriate platforms for regular and structured dialogue between operators and researchers on clearly targeted issues. The core issue is less on prior identification of a common challenge before talking together, and more on talking first on what the challenges are before identifying grounds for collaboration.
- Neglected areas for research: Compartmentalization of disciplines in research; some issues appear 'neglected' by research institutions, especially in relation with 'minor crops', as opposed to large crops such as bananas.
- Multidisciplinary research: Teamwork should be encouraged/structured between researchers working in different scientific disciplines, as this is required to solve most agricultural issues.
- Research topics: A strong interest for working with research was particularly expressed in:

- Technology transfers coupled with transfers of know-how in companies (in many areas/topic),
- Prevention (risk analysis) and solutions to technical problems – mainly pests, diseases and contaminants

Specific interest was expressed in research on:

- Alternative plant protection products (biopesticides)
- Environmental/social indicators in Africa
- Value addition to by-products

Multi-Stakeholder Workshop

Following the consultation with individual stakeholder groups, those organisations that responded to the e-consultations and attended the meetings were invited to meet together at a workshop held in Florence on 7th March 2011. Participants at the meeting are given in Table A6.1

Table A6.1 European delegates to the stakeholder workshop in Florence, March 2011 (excludes organisations involved in PAEPARD implementation)

Name	Given name	Country	Institution
Carvalho	Maria Otilia	Portugal	Centro de Estudos Tropicais para o Desenvolvimento (CENTROP)
De Meo	Paola	Italy	Terra Nuova
Félicité-Zulma	Denis	France	COLEACP
Fonts	Augusti	Spain	IRTA
Gallot	Estelle	Belgium	European Agri-Agencies network AgriCord
Howlett	David	UK	University of Leeds
Papucci	Audrey	France	Action Contre la Faim
Pillot	Didier	France	SUPAGRO
Provost	Roger	France	AGRICONCEPT
Ludemann	Ruud	The Netherlands	Centre for Development Innovation - Wageningen UR
Ortolani	Livia	Italy	AIAB (Association Italienne Agriculture Biologique)
Tessier	Rémi	France	Compagnie Fruitière
Totino	Giovanni	Italy	IAO
Van Damme	Patrick	Belgium	University of Gent
Van Der Waal	Hans-Willem	The Netherlands	AGROFAIR
Wulfrank	Carl	Belgium	FAIR FRUIT - General Manager

The Participants were divided into three groups each containing representatives of each main stakeholder group. Each of 3 groups discussed each of the 3 proposed topics:

1. Processes and mechanisms for balanced partnerships
2. Promising federating themes
3. Collective and individual stakeholder group needs in terms of information, capacity strengthening and advocacy.

Some of the main points raised which were most relevant to the development of AR4D partnerships and to capacity building needs are summarised below.

Topic 1: Processes and mechanisms for balanced partnerships

Questions: What are inclusive and balanced Europe-Africa multi-stakeholder ARD partnerships driven by the demands of end-users in the interest of African family farmers?

The groups outlined the following principles for partnerships:

- Partnerships should be organised around specific development problem that articulate a clear demand, and for PAEPARD should relate to African family farmers. The problem/ demand could be systems oriented, or based on a commodity or other issue depending on the context;
- Stakeholder should have a shared concept of the desired outcome/ objectives;
- Multiple stakeholders should be involved;
- Stakeholder functions are not static and may differ from partnerships to partnership based on the problem. For example, a village farmer group could be an NGO, a private sector depending on the context specific problem;
- Tools such as a value chain analysis can be used to identify stakeholders;
- The partnership should be equitable- a partnership is not about balancing numbers- how much, how many etc. are not the important questions but should be based on equity based related to roles and functions for balance;
- A partnership is not a subcontracting arrangement;
- A partnership is not an end in itself but rather a means to an end; and
- Partnerships need to be constructed

Question: What are the key factors of success/failure of such partnerships?

These were expressed in the Table A6.2

Table A6.2 Factors leading to success or failure in stakeholder partnerships

Key factors of success	Key factors of failure
A common vision is more important than a balanced partnership. The federating theme must be essential for each partner. It is important to have enough time to develop a common knowledge base and shared point of views.	Lack or inefficient communication or poor understanding of the objectives Digital divide, use of scientific language
Attitude of mutual respect and dialogue, clear responsibilities and organizational relationship.	Lack of good coordination and inter cultural sensitivities
Good management and coordination. Clear mutual benefits: the win-win factor has to be perceived by all the partners. Inspiring facilitation: one of the partners is to be accepted by the partners as leader.	Top – down approach; top – down reflections and knowledge sharing
It is less about balance among the partners but more about efficiency. The partnering must be cost-effective. A proper budget is required to meet physically and discuss issues as well as balanced (financial) investments.	Resources: partnership is not sustainable beyond the funding period, interruption of funding, limited funding or own contributions
Achieve practical results: clear return at the end of the project. Clarify access to results (ownership of results)	Lack of focus on practical results beyond the research or lab findings
Legitimacy (technical and social) of each partner. The background and experiences of the partners matches the objectives of the consortium.	Too many partners: too many partners of the same category, partners with little interest, domination of one or two partners, unbalanced
Respect of the deadlines	Tight deadlines, no long term time perspective on which to build the partnership
Clear and shared risk and market analysis	External socio economic and political risk factors

Question: What should PAEPARD do (or do differently) to promote the establishment of such partnerships?

PAEPARD needs to be demand driven: concerns of the end users should be central

- Don't pre-define the function of broker: this function is specific according to the objectives of the consortia
- Balance between inclusiveness (all those who have an interest) and efficiency (each partner needs to have a clear responsibility. Numbers decrease efficiency if all partners are involved at operational level.

PAEPARD should improve the attraction of development research:

- Better target/highlight the benefits for researchers (see above: implications for research)
- Should unlock how research is presently planned

PAEPARD is to identify, capitalize, validate, and disseminate innovative partnership experiences

- Have or develop a clear set of principles on innovative partnerships
- Promote in-country partnerships which are more sustainable than cross country partnerships

PAEPARD should advocate for improvement of specific calls:

- FP8 is too ambitious
- Target low hanging fruits.
- Example how to improve the calls under the ACP-EU Cooperation Programme: HRST/ST/AURG/CALL1/2011 (Ref EuropeAid/130-741/D/ACT/ACP)

PAEPARD should tap for useful lessons on other initiatives:

Topic 2: Promising federating themes

The "federating themes" (around which different stakeholders can come together) that come out during the discussions were:

- Food security: This is much broad but can be approached by sub-themes related to productivity, production, market access etc.
- Eco-system governance: Natural resources management for sustainable use.
- Farmer Empowerment: building the capacity of farmers to better produce and manage the natural resources.
- Innovation and change: application of novelties (idea, technologies, process) to generate economic and social benefits and reduce poverty.
- Information and communication: development of tools to disseminate the information in ARD among partners.

In response to the question "how to prioritize?" participants emphasised that all actors express their ideas. It is important that right people are working on the problem. Themes should be based not only on problem but also on existing opportunities with pre-defined themes around which stakeholders can build the innovation partnerships.

The idea of bio-pesticide as one federating theme of PAEPARD in year two is of strong interest for African and European partners because:

- In Africa: Interest from producers, exporters, processors (alternative to expensive chemicals; few or no residues in food; no or low non-compliances that would compromise access to export and processing sections of the industry, as well as loss of international market access and customers' confidence), from researchers (beyond PhD thesis work, further research opportunities connected to farmers' needs to be organized per pest, crop or region in Africa)

and from consumers (better food safety linked to no or reduced misuse of pesticides on the continent)

- In Europe: Interest from importers, retailers and consumers (safe imported food) and from research and manufacturers as findings of safer Plant protection products can lead to a patent and sales opportunities to local and foreign growers, which can be turned to money benefit.

The issue of bio-pesticides was discussed in the last group where two opinions appeared:

- The “anti-biopesticides” group argued that the theme is not for much interest for Africa today where the issue seems to increase the production in order to reduce hunger rather to take care of consumer safety. They said the total pesticides consumed on the continent are less than the total used in a country like France.
- The “pro-biopesticides” group recognized the theme may not be perceived as a priority today for the research/university sector while it is definitely a strong priority of the fresh produce sector, both in Africa and in Europe, committed to demonstrating compliance to food safety and quality requirements. When talking of the value chain targeting export, we should think about bio-pesticides to increase the competitiveness of African produce.

The group recognized that post-harvest technology was very important to reduce the losses estimated at 40% on the continent. Processing is also important to diversify products for export.

But overall, the group felt somewhat uncomfortable about defining federating themes in Florence, preferring that this should be done on the basis of clear and transparent criteria for assessing how a theme can be recognized to be “federative”, in order to ensure balanced interest by all stakeholders. Another reason is that participants felt that they should build on the previous works done by other institutions like CORAF/WECARD, ECOWAS, and PAEPARD I, ASARECA, AFRICA-BRAZIL, GCARD who set their priorities of ARD.

Topic 3: Collective and individual stakeholder group needs in terms of information, capacity strengthening and advocacy.

Questions: What information does each stakeholder group need to enable it to establish or join such ARD partnerships and how should this information be provided? What should PAEPARD do to provide this information?

All stakeholders:

- Understanding the context i.e. living conditions, where from, expectations
- Funding opportunities
- Why do they want to be part of the partnership

Farmers:

- What are the benefits and risks; why is research necessary
- What is expected?
- How do they get arrive at the benefits

Researchers:

- What is researchable
- Funding opportunities

Questions: What capacities need to be strengthened to enable different stakeholders to establish and effectively collaborate in such ARD partnerships? How should capacities for ‘social learning’, knowledge sharing, co-innovation be strengthened? What should PAEPARD do to support this capacity strengthening?

Participants listed a number of areas where capacity building might be delivered through PAEPARD. Participants also recognized the importance of identifying the levels at which capacity building should be undertaken.

- How to develop Memorandums of Understanding
- Capacity for effective representation of different groups i.e. Who represents NGOs’?
- At what level should capacity be built?
- Groups dynamics, team building
- Facilitation skills- how to facilitate multi-stakeholder groups
- M&E, research methods
- Proposal writing
- Knowledge sharing/ dissemination- packaging of information to different audiences and policy/ donors
- Sustainable group formation
- Farmers organisations for markets
- Technical capacities
- Innovation systems approaches
- Multi-disciplinary thinking
- Financial management
- Reporting
- Curriculum reforms and mainstreaming
- Agricultural research management
- Information collection and sharing
- Soft skills (making videos, conference organization etc)
- How to translate development issues into a research problem
- Difference between data and information

Groups agreed that PAEPARD should focus on:

- Methodologies and tools, communication on documentation of experiences
- Experience sharing
- Coaching systems for facilitators
- Case studies
- The project should co-design and co-implement capacity building efforts and work at different levels (i.e. managers, technicians etc).

Capacity building case study

A capacity building project in South Africa, undertaken in collaboration with Wageningen University and Research Centre (Netherlands) was described in the workshop as an example. The objective of the initiative was to build capacity for agricultural advisory services in South Africa with a focus on the small holder emerging farmers. The project was initiated at the end of the apartheid era when research, training and extension were all under the Ministry of Agriculture. The project focused on three major areas: (a) Master in Science and PhD and university collaboration; (b) Technical education for retooling staff; and (c) Farmer education and training at research centres

The project approach was to train a core group of trainers (ToT) who learned by doing through short practical courses for field staff to empower them, enhance decision making and improve management of extension activities. Triads were formed involving two South African and one Dutch partner. In addition, a course was developed consisting of five modules which was continually adjusted as the course was rolled out. Through parallel classes over 400 South Africans were trained.

Important lessons from the experience were:

- The need to design and implement the initiative together from the beginning
- The need to target and engage the right people at the right time

- The need for lengthy project design – this took 1.5 years
- The need to increase institutional capacity

Annex 7 Stakeholder Consultations Africa (WP2)

Brief Background of Work Package (WP 2)

WP2 is led by Pan African Farmers Forum (PAFFO) and co-managed by Eastern Africa Farmers Federation (EAFF) and Food, Agriculture and Natural Resources Policy Analysis Network (FANRPAN). WP2 focuses on mobilization and coordination of African stakeholders to ensure successful partnerships in Agricultural Research and Development (ARD). It aims at improving involvement of African non-research stakeholders (Non-Governmental organisations (NGOs), Farmer Organisations, private sector organisations, Diaspora, etc.) in conceptualizing, implementing and evaluating research projects. The general expected result of WP 2 is an improved number and improved quality (in terms of diversity, pertinence and balance in partnerships) of African non research stakeholders (civil society and private sector organisations) mobilized into ARD partnerships with European stakeholders, targeting African-European priorities of mutual interest and benefit and African research stakeholders more open to balanced participation of non-research stakeholders in ARD partnerships.

Methodology

The African Multi-Stakeholder Consultation (AMSC), under WP 2, was designed to follow a four-step process. The process includes (i) mapping of the African stakeholders in ARD using current databases owned by lead organisations, (ii) internal consultation of each stakeholder category through the use of questionnaires, (iii) national and regional multi-stakeholder consultations, and (iv) identification of case studies which detail success and failure stories. However, the last step of the process is still to be completed, and therefore do not form part of this report.

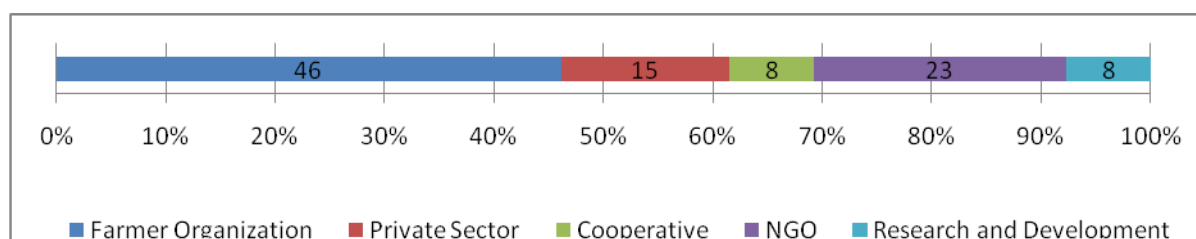
The AMSCs objectives were based on (1) creating a common understanding of PAEPARD project, (2) reviewing partnership experiences with research and other stakeholders, (3) identifying capacity strengthening needs for the establishment of balanced partnerships between non-research and research stakeholders, and (4) proposing a strategy for the mobilization of the African and European stakeholders for collaboration in ARD. Expected outcomes from the proceedings included coming up with capacity needs, and identification of the main federating themes.

The AMSC process varied according to various regions within the African continent. First, the central Africa consultations were led by PROPAC. The first workshop was held in the Accra around May 2010 where the background and objectives of PAEPARD II were presented. After that PROPAC organized a regional multi-stakeholder consultation workshop from the 25th to 26th of November 2010 in Yaounde (Cameroon) in search of various stakeholders in ARD. 19 participants representing research, NGOs, producers and regional institutions in agriculture participated.

Second, the Network of Farmers' and Agricultural Producers' Organisations of West Africa (ROPPA) led the west Africa region consultations. This regional consultation was held on the 1st and 2nd of March 2011 in Guinea Conakry. It was attended by 13 constituent national farmer organisations and an eastern Africa regional representative.

Third, EAFF led the Eastern African consultation. A questionnaire was first disseminated to various institutions. A total of 30 questionnaires were completed and returned. The results from the questionnaires were presented to solicit reactions and for validation at a regional consultation workshop that was held on the 15th of October 2010. This regional multi-stakeholder consultation was held in Nairobi (Kenya). Twenty-five participants representing research, NGOs, producers and regional institutions in agriculture participated, as depicted in Figure A7.1.

Figure A7.1 Stakeholders who attended attend EAFF consultations; categorized by type

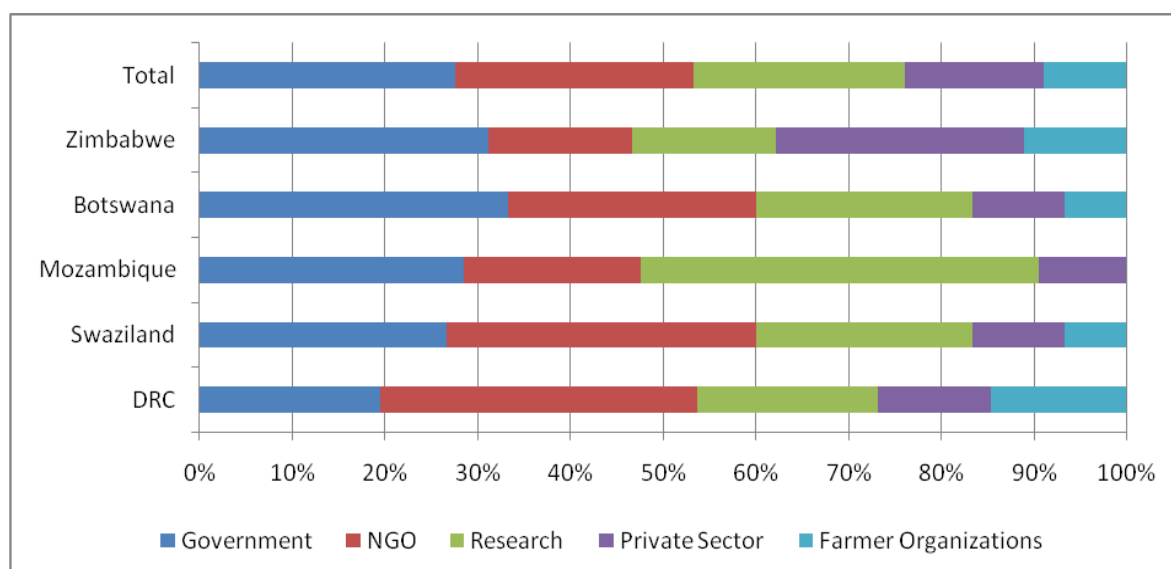


Fourth, FANRPAN who led the consultations for the Southern Africa region held in five of the focal countries. The details of those national multi-stakeholder consultations are presented in Table A7.1 and Figure A7.2.

Table A7.1 National multi-stakeholder consultations conducted by FANRPAN in southern Africa

Country	Date	Total participants
Democratic Republic of Congo	11-12 November 2010	41
Swaziland	17-18 November 2010	30
Mozambique	23 November 2010	21
Botswana	29 November 2010	30
Zimbabwe	16-17 February 2011	45
Total participants consulted		167

Figure A7.2 Stakeholders who attended FANRPAN consultations; categorized by type



Additional to the national consultations, questionnaires were distributed to all focal countries. A total of 63 questionnaires were completed and returned from the Democratic Republic of Congo (31 questionnaires were completed and returned and 13 were filled in French and therefore did not form part of the analysis and results reported here), Mauritius (23 questionnaires) and Swaziland (22 questionnaires).

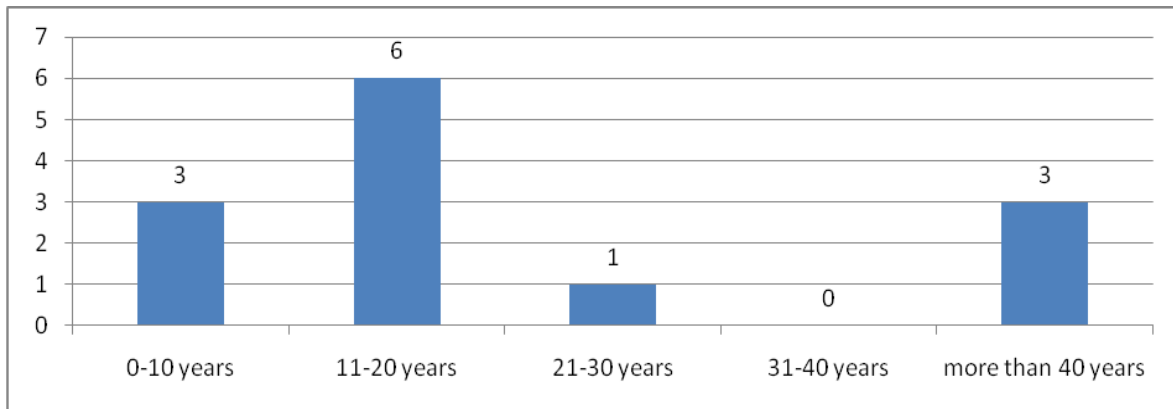
That is, the consultations were done through the use face-to-face roundtable meetings and through the use questionnaires. Consolidated participation for the face-to-face constituted about 269 participants and 93 questionnaires from both research and non-research organisations.

The Kenya consultation results

Characterization of consulted organisations

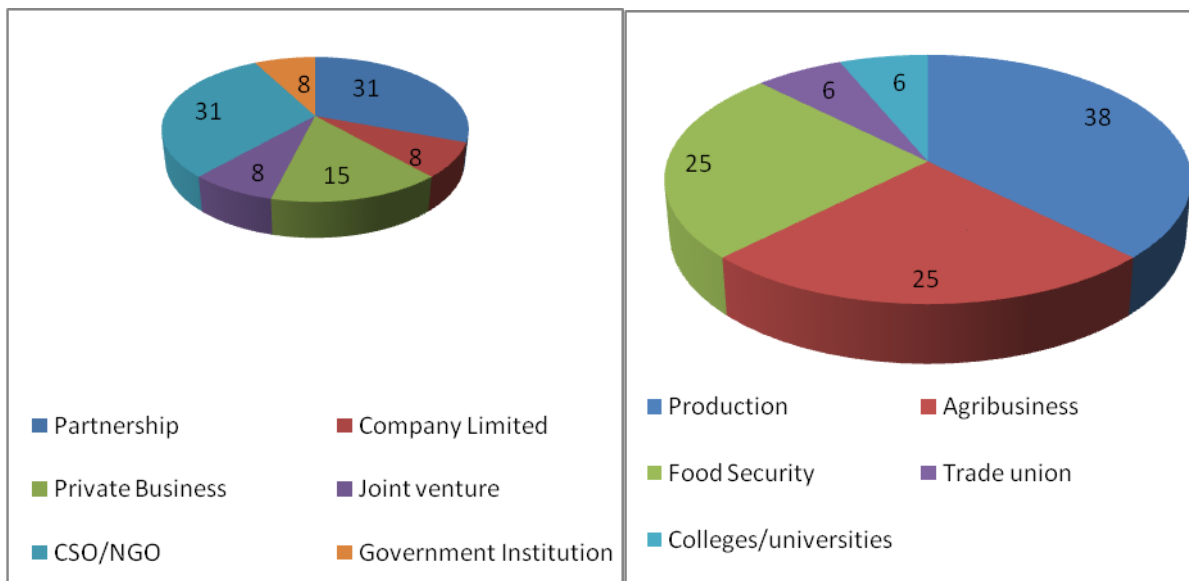
The organisations surveyed were characterized by their age, sector engagements nature of business and scope of coverage. With regard to age, the consulted organisations in eastern Africa showed wide variation as shown in Figure A7.3; with the oldest organization (CABI) in operation from as early as 1913 and the youngest (Djibouti Breeders Association) in operations since 2007. The majority of organisations have the age of 11 to 20 years.

Figure A7.3 Number of years the surveyed organisations has been operating (n=13)



When categorized by type, Figure A7.4 (a) shows that majority of the organisations are partnerships and CSO/NGO: with both having a proportion of 31% each. Figure A7.4 (b) shows that organisations worked in production (38%), agribusiness (25%), value chain development and food security (25%), trade unions (6%) while some organisations were colleges and universities (6%). Organisations that mostly responded to the questionnaire ranged from farmer organisations, private sectors, NGOs, cooperative organisations involved in research and development. Most of these organisations were membership driven. They operate both locally, nationally, regionally and others work internationally.

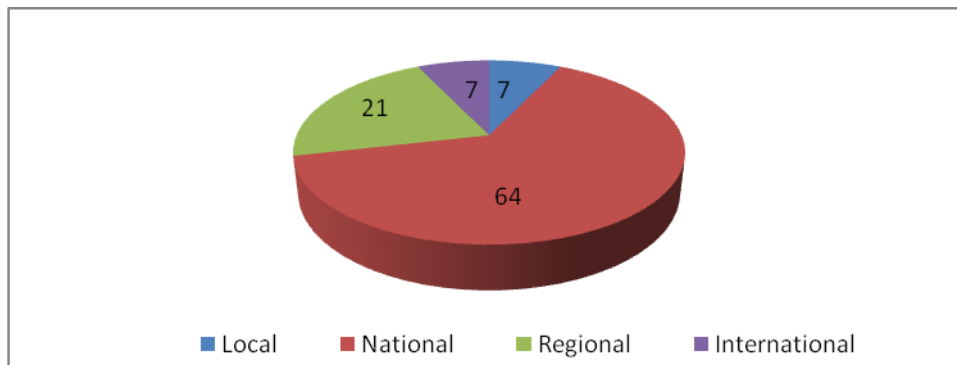
Figure A7.4 Classification of stakeholder by type (a) and by area of activity (b)



From the above, it can be seen that most organisations are farmer producer organisations who are membership based. IMBARAGA, KLPA and DBA are primarily involved production, NUCAFE engages in production and Agri-business whilst INGABO is a trade union. VECO East Africa is involved in the value chain development and food security.

The organisations consulted operate internationally, nationally, provincially and locally. However, organisations having national focus make-up a significant promotion (Figure A7.5).

Figure A7.5 Geographic coverage of surveyed organisations.



Services Rendered

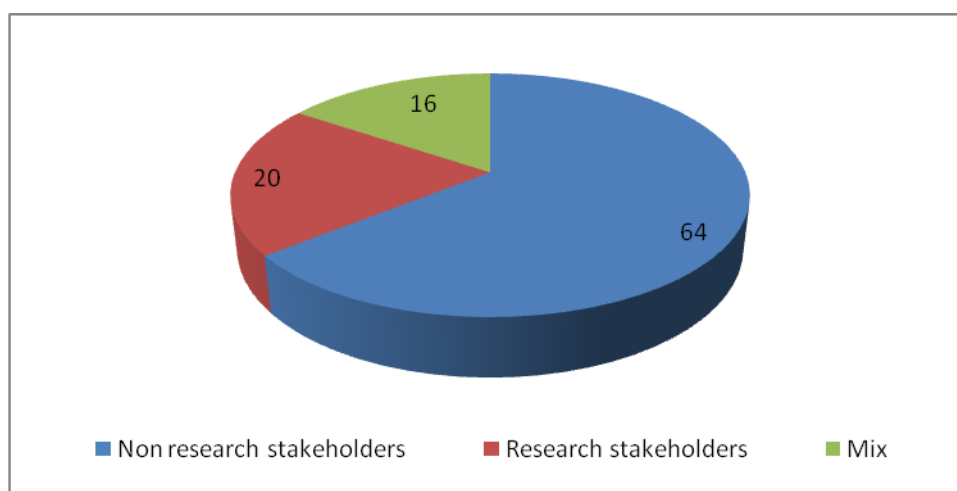
Among the services they offered ranged from:

- Lobbying and advocacy
- Capacity building/technical/advisory support
- Commodity chain development
- Value chain development
- Issuance of certificates of origin of plants
- Farmer mobilization and organization, group formation, gender mainstreaming
- Marketing and market development
- Finance (credit/loans) and input funding
- Monitoring and evaluation, and research
- Market information dissemination and technology transfer and
- Economic empowerment

Formal Partnerships Experience (non-research, research and mix stakeholders)

Most of these organisations worked with various non-research stakeholders, research stakeholders and organisations that have both research and non-research components at various levels. Figure A7.6 shows that 64% formed formal partnerships with various non-research stakeholders, 20% with research stakeholders, and 16% with organisations that have both research and non-research components. That is, that most organisations have at least partners in both research and non-research organisations.

Figure A7.6 Proportion of partnerships formed with non-research, research and mix stakeholders



Various lessons are drawn out of these associations and they are clustered in the three categories; i.e. associations with non-research stakeholders, research stakeholders and those stakeholders with both research and non-research components.

Among the lessons learnt from partnerships with **non-research stakeholders** include

- More visibility on local, national and international level and exposure to various opportunities;
- Lobbying and advocacy;
- Good governance and better organizational management and capacity building;
- Fund mobilization/resource mobilization;
- Credibility towards partners and members;
- Improvement of livelihoods;
- Development of various policies e.g. HIV/AIDS in workplaces;
- Transformation of farmer organisations to be a resource center for relevant and up to date information;
- Establishment of linkages and bridging gaps between institutions;
- Difficulty in synchronizing programmes;
- Capacity building of FOs on local and national level continues to be a challenge;
- Able to participate in workshops, seminars and forums;
- Negotiation with private sector actors to facilitate the availability of animal feed with reasonable price;
- Need to set realistic time frames;
- Importance of regular communication and information sharing;
- Revenues from production still remain insufficient to finance main activities.

Lessons learnt from partnerships with **research institutions** are:

- Formulation of different partnership in relation to research and development activities;
- Need for end user inclusions in any given project from the beginning;
- Need for impact assessment;
- Project plan, monitoring and evaluation;
- Need for strong dissemination of technological packages to end users;
- A better partnership should be done on balanced interests between two parties;

- Successful partnership should be established through real issues and have permanently evaluated with a large implication of all stakeholders;
- Ensure that all stakeholders have a clear and common understanding of the whole content of the partnership;
- There should be interactive communication, mutual respect, learning by doing which make up the key factors to successful partnerships;
- New innovations are shared during partnerships;
- Responsive research to farmer needs;
- Farmer representation on research issues promotes farmer understanding and subsequent ownership and understanding of research issues;
- Appropriate technology transfer;
- Research bodies helps to influence research programmes.

Lessons learnt from partnerships with organisations with **a mix of both research and non-research** includes:

- Collaboration enhances synergy and more clients can be reached and served more effectively
- Through partnerships duplication of efforts can be minimized
- Partnerships promote efficient use of resources
- Farmers are getting value for money
- New market for products have been realized
- Recognition from government and other stakeholders
- Partnerships helps in service delivery to members
- Partnership are useful for information sharing
- Funds for projects and also humanitarian aid in case of food shortages can be obtained through partnerships
- Partnerships enhance capacity building for farmers, staff and also research institutions.
- Member countries development needs/priorities can be addressed through partnerships
- It helps in identification of stakeholders to work with in case of a research targeting particular groups.
- Formal partnerships ensure ownership and provide incentive for collaboration and helps address problems in a systematic way.

Partnerships considered innovative are:

- Partnerships that can enable research on soil and show appropriate fertilizer for different kinds of soils;
- Partnerships that can link farmers to financial institutions;
- Partnerships that make it possible to enhance value addition of products;
- Partnerships that can help in linking to markets.

Partners most preferred who have helped most farmer organisations include ICRISAT, ICARDA, ASARECA, CIAT, IFCD/CATALYST, NUR, AGRITERRA, UCA, SCC, NARS, ICRAF, DANIDA, IGAD, KARI, EAFF and KENFAP

Some of these partnerships were considered innovative because they consider producers as the main stakeholders and incorporate farmers in participatory research.

Partnership Challenges and Mitigation Strategies**Table A7.2 Challenges experienced when partnering in Kenya and mitigation strategies**

Challenges	Mitigation Strategies
<ul style="list-style-type: none"> - More time is taken to understand the innovation - Need to do quick capacity building program before onset of research - Meeting all partners is not always possible because of inadequate resources - Difficulty in managing multi-stakeholder partnerships because of different priorities/ operational structures hence need for an organization which plays a coordinating role - Limited communication between partners - Financial control of funds given to farmer organisations on local and national level - Lack of transparency in farmer organisations - Lack of information and knowledge on funding opportunities - Difficulties in finding adequate partners - Poor understanding of the complex and elaborate mechanisms of fundraising - Lack of capacity to handle both old and new issues - Diversification of sources of income - Internal revenue generation - Harmonizing programs is hard without consultations - It's hard to cope with farmers expectations as regards the results to their problems 	<ul style="list-style-type: none"> - Formalizing the partnership highlighting responsibilities and duties of each - Putting in place a small joint team work around the partnership which will consult the parties to address issues raised - Encouraging a horizontal way of communication - Getting assistance from government officers and development partners - Regular partnership meetings - Designing specific capacity building programmes - Engaging member countries in planning and discussion regarding progress of activities to create awareness on impeding challenges

Table A7.3 List of Kenyan organisations having a case study to share and willing to participate in PAEPARD project

Organisations having case studies of partnerships to share	Organisations willing to participate in PAEPARD project
<ol style="list-style-type: none"> 1. VECO East Africa 2. NUCAFE 3. KLPA 4. Djibouti Breeders Association 5. TCCIA 6. UNFFE 7. TCCIA 8. CABI 	<ol style="list-style-type: none"> 1. IMBARAGA 2. VECO East Africa 3. NUCAFE 4. OCFCU 5. KLPA 6. Djibouti Breeders Association 7. INGABO 8. TCCIA 9. Hamelmalo Agricultural College 10. CABI 11. FERWACOTHE 12. KENFAP 13. UNFFE

The DRC MSC Results

Characterization of organisations

From the 19 analyzed questionnaires 17 indicated the year they started operating. As shown in Figure A7.7, 29% had operated between 1-5 years, 18% between 6-10 years, 35% between 11-15 years, 6% between 16-20 years, and 6% between 25-30 years. That is, majority (82%) of the organisations are still young (i.e., has been operating for less than 15 years).

Figure A7.7 Number of years the surveyed organisations has been operating (n=17)

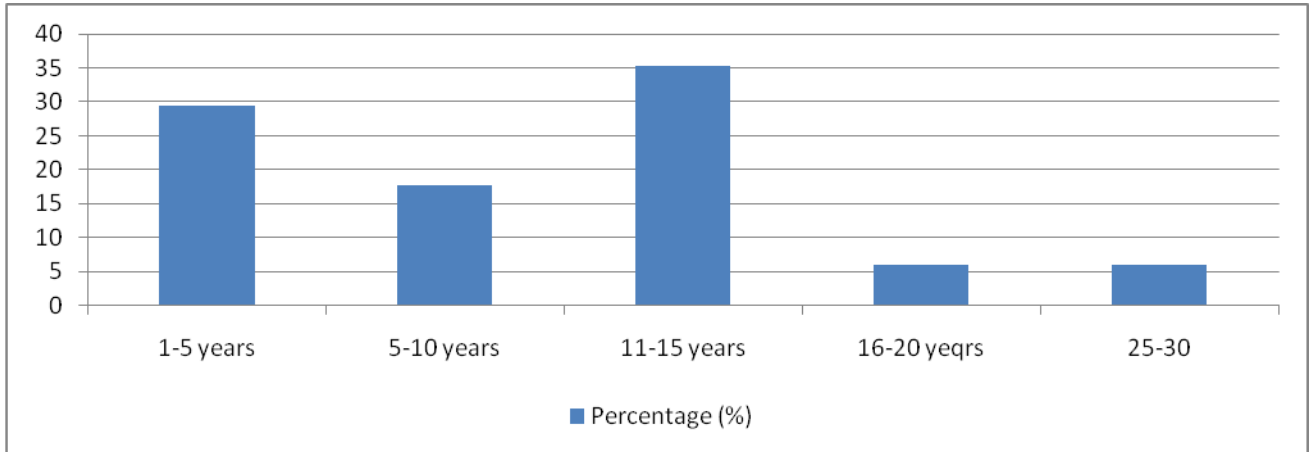
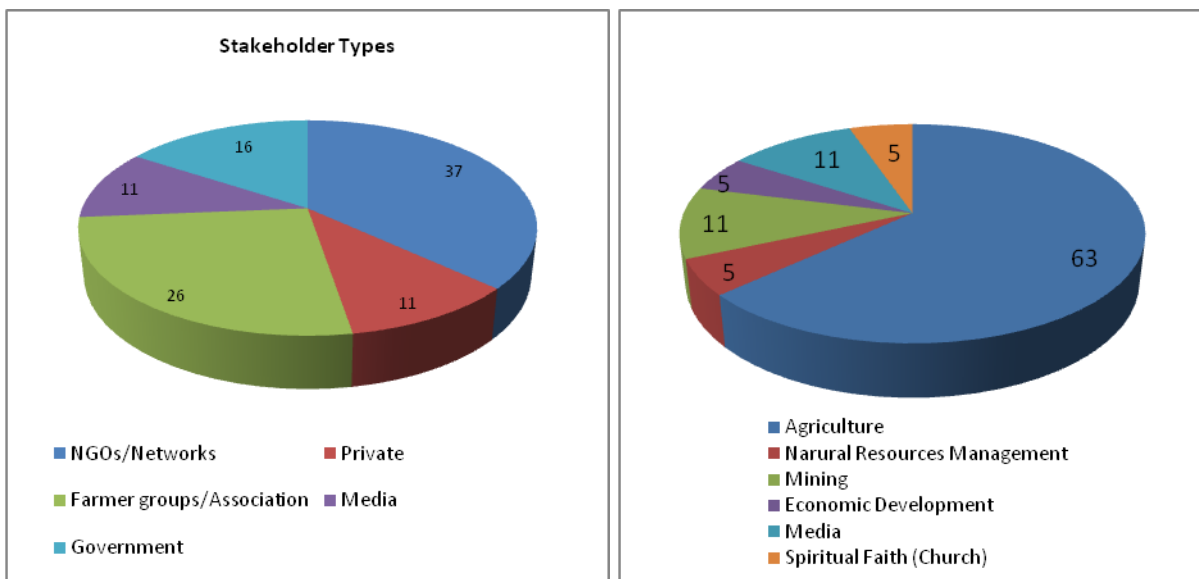


Figure A7.8 (a) shows stakeholders by type; indicating that the proportion of NGOs/Networks is at 37%, farmer organisations at 26%, media at 11%, private sector at 11% and government at 16%. The diversity of these organisations, as shown in Figure A7.8 (b), include organization that are in agriculture (63%), natural resources management (5%), news and media (11%), mining (11%), economic and rural development (5%) and spiritual faith (church) (5%). With regard to membership type, the majority operate as a partnership or an association owned by individual members, farmer organisations or an NGO/network with the exception of the three government departments and the two media houses. These organisations operate nationally, provincially and locally; the proportion is 63%, 5% and 32% respectively.

Figure A7.8 Classification of stakeholder by type and main area of activity



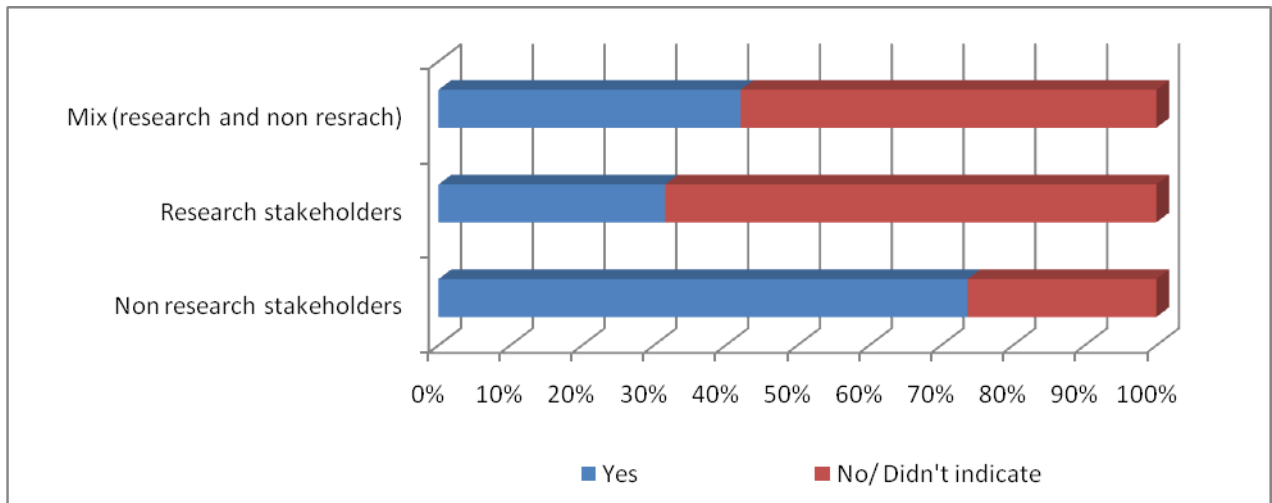
Services Offered

Services they offered ranged from distribution of production inputs; lobbying and advocacy, capacity building (training), technical advisory support (extension service), commodity chain development, value chain development, marketing and market development (trade), farmer mobilization and organization, micro finance (credit/loans) and input funding, research, market information dissemination and technology transfer, rural economy research and empowerment, organizing farmer trainings and workshops, crop (greens, maize, cassava etc.) and livestock production and trade, media (information broadcasting and campaigns), information sharing platforms, mapping of arable land, natural resources management (i.e., reforestation), and leadership training. More relevant to ARD, all the organization aim to reduce poverty when providing their service to the rural family farmers.

Formal Partnership Experiences (non-research, research and mix stakeholders)

The DRC data analysis showed that 74% of organisations formed formal partnerships (with signed MoU) with non-research stakeholders. This was followed by formal agreements with partnership with the ‘mix’ stakeholders (with 42% saying yes) and then followed with partnership with research stakeholders (where 32% said yes); as depicted in Figure A7.9 below.

Figure A7.9 Partnerships with different stakeholders



The responses to the question about lessons learned are sub-divided into two sub-groups: non-research stakeholders and research stakeholders (also covering the mix of non-research and research stakeholders).

Partnerships Challenges and mitigation Strategies**Table A7.4 Challenges experienced by the DRC organisations when partnering and the mitigation strategies**

Challenges	Mitigation Strategies
<ul style="list-style-type: none"> - Organisations use different methodologies or approaches - Lack of financial resources for operational activities - Difficult to adapt organisations systems to partnership project systems - Lack of experience and technologies in documenting lessons/experiences - Lack of monitoring and evaluation - Delays in disbursement of funds from EU partners (has consequence on project plan, implementation, and partners relationship) - Project management tools and reporting formats are often not accepted/understood by all partners - Funders dictate research/development agenda (mostly pre-defined and not contextualized) - Bureaucracy - Lack of confidence with regard to financial management and reporting - Complicated and diverse EU projects reporting systems - Lack of communication amongst stakeholders and mutual respect - Difficult to learn new ARD methodologies, which are often diverse and organization based - Sudden stop of funding without prior notice - Difficult to follow each partners different demands 	<ul style="list-style-type: none"> - Entering into dialogue/negotiation with regards to: <ul style="list-style-type: none"> o Methodology and/or approach o Project management and reporting requirement o Focus area (the problem being explored) - Getting supplementary funding from other sources or self-financing for additional operational activities - Constant information sharing and communication - Regular educational activities/trainings - Joint project proposal and planning

Areas of Interest in Future Partnerships

The question was misunderstood; the person administering the questionnaire confused area of interest with a physical area. Therefore, most respondents indicated that they will be interested in initiatives that cover the whole of DRC (i.e., with national coverage).

PAEPARD Opportunity: Its Utility and Relevance

One of the specific objectives of the AMSC was to identify organisations who are interested in participating in PAEPARD projects. Further, if the answer is yes to also indicate if: (i) they are willing to share their experiences, (ii) they have partnerships case studies to share, and (iii) PAEPARD initiative is relevant for the African region (also stating reasons why).

To the question: would your organization be interested in participating in PAEPARD project? All respondents answered yes, and that they will be willing to share their experiences if they participate in the PAEPARD project. Only 5 out of the 19 indicated that they currently do not have success or failure case studies of partnerships that they can share. Examples of case studies that can be shared include:

- Rapid production of banana;

- The experiences and exchanges with universities;
- Research on the effective mobilization of peasants groups and movements on the field;
- The institutional arrangement and support best practices;
- The mutual capacity building initiatives with partners;
- Research reports and outputs through CERJI;
- How organisations are able to rebuild unity among stakeholders;
- Own experiences;
- Framework to give small grant to cooperative.

All organisations consulted in the DRC case study indicated that they regard the PAEPARD initiative relevant for the African region in terms of development. Main reasons given (n=14) are that the initiative will/is:

- Fight the hunger in Africa with modern methods and it seem to have good ambition in terms of local partners capacity building;
- Be able to create a space for more knowledge exchanges;
- Will bring more advantages that other partnerships have not brought to the Congolese development;
- Will bring together the diverse stakeholders (or fields) in agricultural R&D;
- Bring alternative methods in the management of the food, agriculture and natural resources in a climate change context;
- Strengthen skills of African stakeholders increasing capacity to implement ARD initiatives;
- Give African and European partners equal status and voice;
- Involve the stakeholders capacity building and a transversal communication between the stakeholders;
- Develop Africa's economy, therefore such a projects is welcome; and
- Focused on good principles; for example mutual benefit for partners and stakeholders.

The Swaziland Results

Characterization of Organisations

From the 22 analyzed questionnaires 21 organisations indicated the year they have started operating. As shown in Figure A7.10, 38% of organisations are between 1-10 years old, 19% of organisations are between 11-20 years, 29% of organisations are between 21-30 years, 10% of organisations are between 31-40 years, and 5% are more than 40 years. There are few organisations that have been in operation for more than 30 years. Classified further, 57% of organisations are still younger than 20 years, which indicates their young nature.

Figure A7.10 Number of years the surveyed organisations has been operating (n=21)

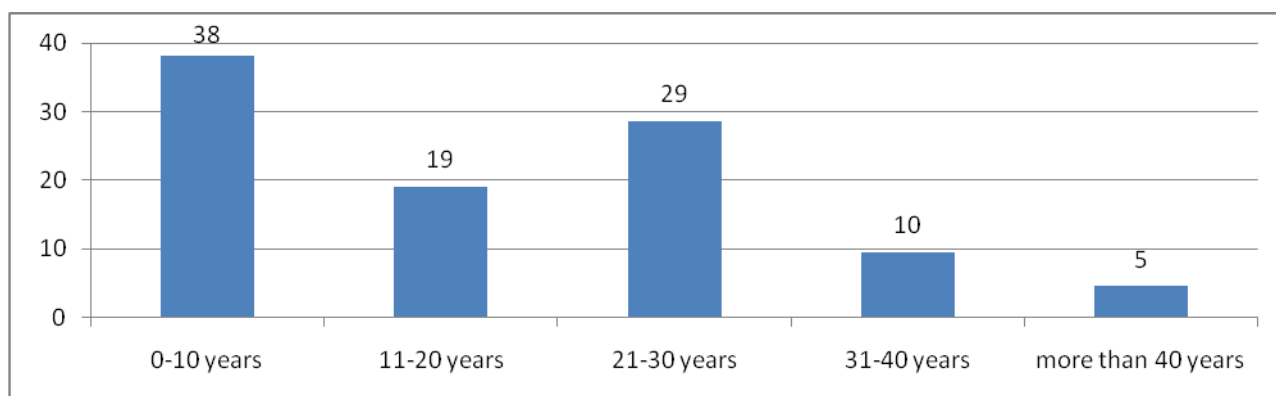


Figure A7.11: Classification of stakeholder by type (a) and by their area of activity (b)

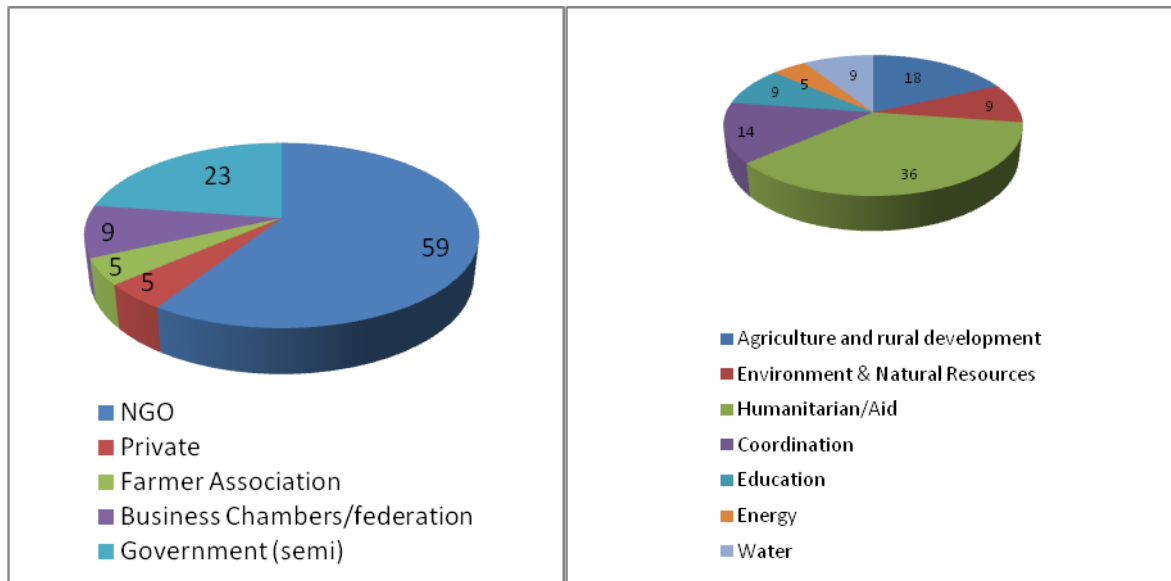


Figure A7.11 (a) classifies stakeholders by type. The Figure indicates that 59% of organisations that were consulted are NGOs/Networks; 5% of organisations consulted were farmer organisations; 5% of organisations consulted were private sector; 9% of organisations consulted were business federations and 23% of organisations consulted were government (also including parastatals). The diversity of the organisations surveyed, as in Figure A7.11 (b), include organisations that are in agriculture and rural development (18%), environment and natural resources management (9%), humanitarian and AID (36%), members’ coordination (14%) education (9%), energy (5%) and water (9%). These organisations either operate nationally or locally; the proportion is 91% and 9% respectively. To note though is that all the consulted humanitarian organisations have agriculture as one of their programmes/activities. With regard to non-governmental organisations (NGOs), the results also showed that four of the NGOs originate from within Swaziland, one NGO is a regional organization and eight are international NGOs having local offices in Swaziland.

Services rendered ranges from:

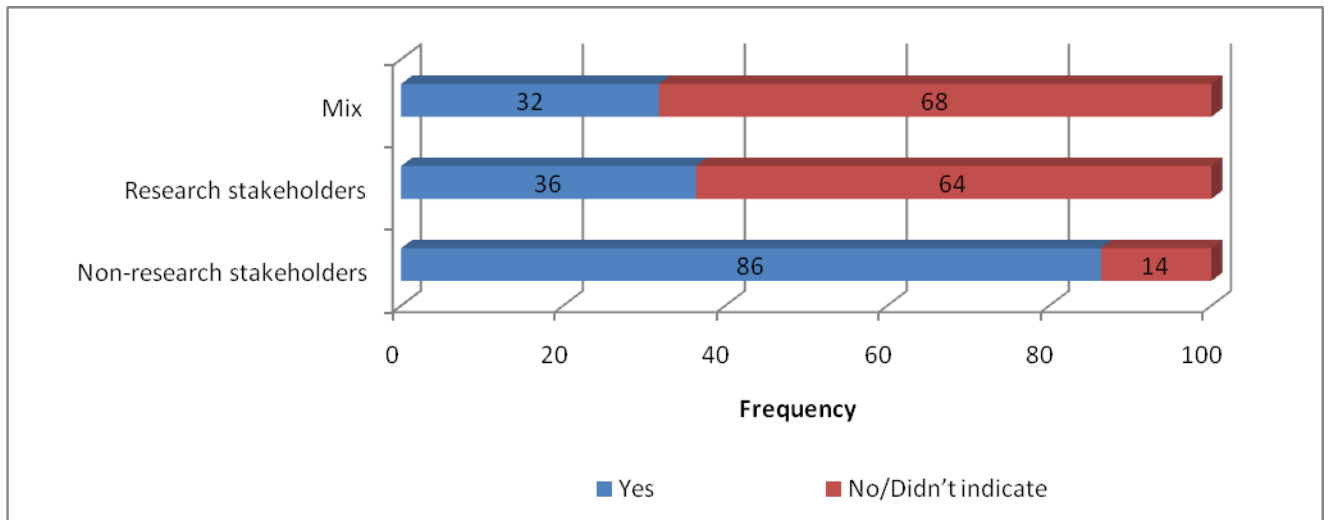
- Coordination of humanitarian, farmers, business and youth activities;
- Lobbying and policy advocacy (health, human rights (i.e., gender and youth), agriculture and natural resources;
- Capacity building and training agriculture and value adding;
- Agri-business development and value chain management;
- Agriculture, environment and food security policy, programmes/projects development;
- Rural micro financing and enterprise development;
- Rural water sanitation and supply;
- Disaster relief and humanitarian (e.g., food and clothing distribution, houses renovations and building and community rehabilitation);
- Promotion of renewable energy and energy efficient technologies;
- Provision of health and HIV/AIDS awareness campaigns;
- Baseline and evaluation studies;
- Concept, proposal and strategy development;
- Business research, advisory and development solutions;
- Change management and partnerships linkages facilitation;
- Tertiary education/teaching and research;

- Community service delivery initiatives;
- Consultancy with regard to professional leadership;
- Facilitate favourable environment for farmers (i.e., access to production inputs and markets).

Formal Partnership Experiences (non-research, research and mix stakeholders)

The Swaziland consultation data analysis showed that 86% of organisations formed formal partnerships with non-research stakeholders. This was followed by partnership with the research stakeholders (with 36% of organisations saying yes) and then followed with partnership with the “mix” of non-research and research stakeholders (were 32% of organisations answered yes); like depicted in Figure A7.12.

Figure A7.12 Partnerships with different stakeholders



The responses to the question about lessons learned are sub-divided into three sub-groups: non-research stakeholders, research stakeholders, and the “mix” of non-research and research stakeholders.

The lessons learned from partnering with **non-research stakeholders** are:

- Good for information and skills sharing or that information sharing is key;
- Good for resource mobilization and collective fundraising (better complementary and effective use of resources);
- Projects need to be carefully coordinated;
- For effectiveness and efficiency, project and financial management skills are important;
- Shared success and failure experiences have made the organization better positioned for response, and adapting programme activities;
- Mandate limitation seriously compromises the impact of organisations programmes/projects on the local communities;
- Prolonged food AID causes harm to local communities in that it hurts local economy and creates dependency;
- Private and public partnerships are crucial in empowerment initiatives;
- Agricultural sector still requires partnerships to harness existing opportunities and export expertise to external partners;
- Future partnership need to be formalized and performance based as best practice prerequisite;
- Networking.

The lessons learned from partnering with **research stakeholders** are:

- Agricultural development is better informed by research;

- Joint project planning and coordination for maximum the project benefits/ impact;
- It is important that a research project is owned by project beneficiaries;
- Evidence from research can strengthen and improve targeting;
- University of Swaziland needs to work with practitioners to conduct relevant and cutting edge research that brings solutions to practical, felt problems in the country;
- Sharing of data and analysis is enhanced;
- Coordinated planning and networking is enhanced.

The lessons learned from partnering with “**mix**” stakeholders are:

- Having partnership which includes a mix of activists and non-activists adds value;
- The value of communication, reporting, transparency, accountability and most importantly partners ‘feeding’ to each other as a common denominator;
- An atmosphere of mutual respect in interactions helps in fostering partnerships;
- Commitment from national and local government is important for the success of ARD partnerships;
- Stakeholders need to be managed in the implementation of the project;
- Some partnerships do not have MOUs; therefore obligations of each not clearly defined;
- Limited resources from some partners not allowing them to fulfil their obligations hinder progress;
- Unsustainable partnerships after projects life/funds;
- Meeting deadlines and fulfilling agreements is very important;
- Coordinated endeavour has more impact because efforts are from different parties with diverse resources.

Partnerships considered innovative

Table A7.5 shows partnerships that were considered innovative and reasons thereof.

Table A7.5 Partnerships that are considered innovative

Partners name	Reason
The Open Society Initiative for Southern Africa (OSISA)	Whilst they are a donor, they work closely with the partner in terms of designing interventions
African Capacity Building Foundation	Build capacity of partner through sharing common policies. They also have constant visit and reviews that help address projects’ bottlenecks and shortcomings. They also have established forums where all their partners will participate in review of procedures that governs the project and partnership
FANRPAN	The organization’s tool to measure household vulnerability; this is important when targeting interventions
SACAU	Was pro-active to arrange workshop on cooperate governance
US PCV	The use of frontline short message service (SMS) to help improve oversight on WFP activities
Red Cross (Finch and Swiss); FAO, UNICEF	Good coordination
NGOs	Because they deal directly with communities; and they know their problems and come-up with practical and tangible ways of solving them
Kirklees Neighbourhood Housing (KNH)	No reasons given
SWASA	Setting up of environmental standards
RAEIN-Africa	Bio-technology and biosafety initiatives
Ministry of Agriculture	Invest in agro business

Partnerships Challenges and mitigation Strategies

When organisations agree to cooperate to advance their mutual interests there are challenges that need to be managed. Table A7.6 presents identified challenges and the mitigation strategies that have been employed.

Table A7.6 Partnership challenges and mitigation strategies

Challenges	Mitigation Strategies
<ul style="list-style-type: none"> - Staff turnover in each of the partnering organization leads to loss of institutional memory - Other partners failing to meet deadlines which at times ended up delaying the project - Shortage of resources - Problem of transparency with regards to resources and ownership of the product of the partnership - Roles, rights and responsibilities sometimes not clearly spelt out - Technical and ICT challenges - Difficult to find a suitable/credible consultant to engage to do some of the activities - Red-tape and lengthy consultations, which can be avoided, when dealing with counterparts may cause delay in project implementation - Lack of support from high authorities - Lack of accountability - Lack of measures to monitor and enforce - Conflicting interests; which are sometimes visible during implementation and to beneficiaries - Partnerships are informal ; therefore there is no agreed modes of partnership - Duplication of efforts within the implementation process - Sometimes donors expects miracles (unknown or unreasonable expectations) - Unavailability of information in local country office - Minimum support to organizational development resulting into decline of organizational capacity - Working with non-flexible time schedules in the case of late arrival of funding - Funding partner use resources to control implementing partner - Officers from partner organisations not respecting hierarchy in the partner organization 	<ul style="list-style-type: none"> - Proper handover of project documents is practiced - Constant communication between partners (i.e., meetings and sharing of important information) - Joint management and supervision of projects - Open and frank communication (i.e., if there is a dissatisfaction) through regional meetings and round table discussions - Transparency and accountability - Mutual respect - Constant review and reporting - Adherence to agreements - MOU to provide guidelines on the partnerships (i.e., inputs and expectations from each partner) - Constant follow-up on assigned institutions to ensure delivery - Engaging officers constantly to ensure common understanding - Negotiation with regard to the issues or the problem

Areas of Interest in Future Partnerships

Table A7.7 shows a brief summary of areas that would be of interest in future partnerships by the surveyed organisations.

Table A7.7 Areas of interest in future partnerships

General	Specific
<ul style="list-style-type: none"> - Resources mobilization - Research - Advocacy - Humanitarian aid - Programme implementation - Social facilitation - Rural finance 	<ul style="list-style-type: none"> - Food security - Energy auditing and energy efficiency technologies - Water and sanitation - Environment management - Business development - Market linkages; Market intelligence - Children rights - HIV and AIDS - Documentation of lessons - Project management

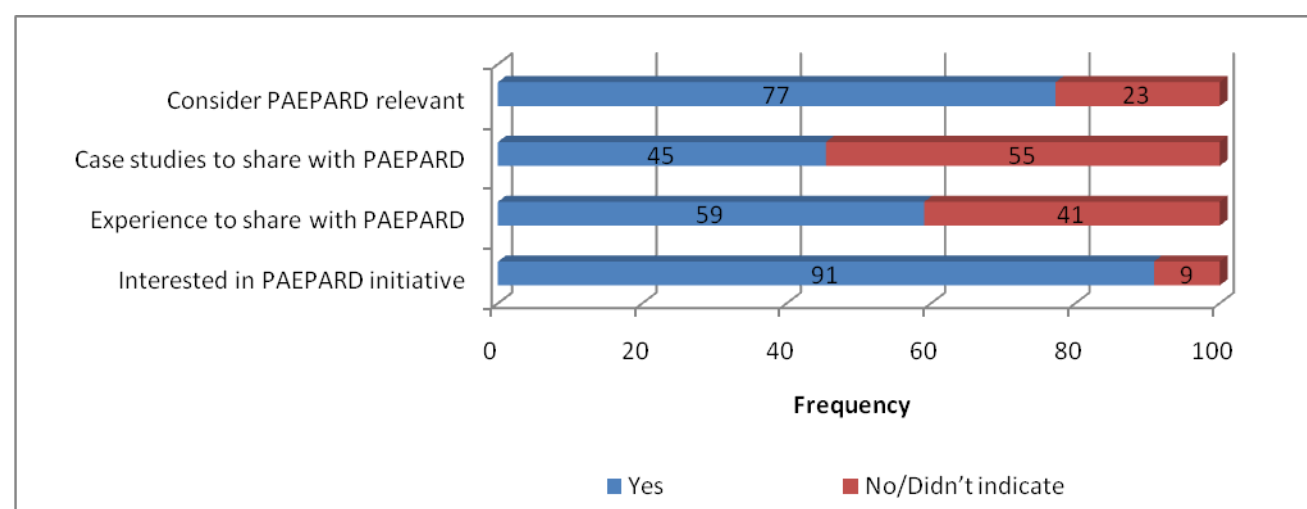
PAEPARD Opportunity: Its Utility and Relevance

One of the specific objectives of the AMSC is to identify organisations who are interested in participating in PAEPARD projects. Further, if the answer is yes to also indicate if: (i) they are willing to share their experiences, (ii) they have partnerships case studies to share, and (iii) PAEPARD initiative is relevant for the African region (also stating reasons why).

To the question: would your organization be interested in participating in PAEPARD project? 91% indicated that they their organization will be interested in participating in PAEPARD project. Figure A7.13 shows frequencies of those that answered yes or no (or didn't indicate) to these issues related to partnering:

- 59% of the organisations will be available to share their experiences
- 45% indicated that they currently have success or failure case studies of partnerships that they can share; and
- 77% regard PAEPARD initiative relevant for the African region in terms of development.

Figure A7.13 Utility and relevance of PAEPARD also showing willingness to partner



The main reasons given by those who answered the question (n=11) are that the PAEPARD initiative is important and relevant because:

- It is intend to strengthen the coordination of development service providers;
- Africa still largely relies on agronomy; and food security is still a challenge;
- It will broaden ARD research agenda and stakeholders; this is because most of the time research is focused on the researcher as the only partner and the involvement of non-research partner is important for sustainable agricultural development;
- The culture of knowledge management and learning is important in ARD;
- It promotes networking and collaborative research;
- A lot of effort and commitment is still required in ARD;
- It will add value to the work done on food security and economic development in the African region;
- Agricultural research does not appear to be a major strength within the African context; therefore ARD science more than welcome;
- Stronger partnerships are required to solve Africa's poverty problem.

Annex 8 Literature Review of Capacities Needed for Partnerships

Capacity and Capacity Development

In terms of partnerships, capacity can be defined as the potential suitability or fitness of the different partners to engage for purposes of achieving intended objectives and aims. It entails the specific ability of an entity (person, organisation and/ or system) or resource to undertake and/or perform an act. Capacity can be viewed at three levels as follows:

1. *Enabling environment*: the broader system within which individuals and organisations function and one that facilitates or hampers their existence and performance. This level of capacity is not easy to grasp tangibly, but it is central to the understanding of capacity issues. They determine the ‘rules of the game’ for interaction between and among organisations. Capacities at the level of the enabling environment include policies, legislation, power relations and social norms, all of which govern the mandates, priorities, modes of operation and civic engagement across different parts of society.
2. *Organizational level*: the internal policies, arrangements, procedures and frameworks that allow an organization to operate and deliver on its mandate, and that enable the coming together of individual capacities to work together and achieve goals. If these exist, are well resourced and well aligned, the capability of an organization to perform will be greater than that of the sum of its parts.
3. *Individual level*: skills, experience and knowledge that are vested in people. Each person is endowed with a mix of capacities that allows him or her to perform, whether at home, at work or in society at large. Some of these are acquired through formal training and education, others through learning by doing and experience.

Capacity development commonly refers to the process of creating and building capacities at each of the above levels and their (subsequent) use, management and retention. This process is driven from the inside and starts from existing capacity assets. Literature is replete of scenarios in which capacity development and capacity building are used synonymously (Mentz, 1997; Bolger, 2000; Potter and Brough, 2004; UNDP, 2009). However, in the strict sense, capacity building commonly refers to a process that supports only the initial stages of building or creating capacities and is based on an assumption that there are no existing capacities to start from. It is therefore less comprehensive than capacity development. The OECD/DAC writes that capacity building ‘suggests a process starting with a plain surface and involving the step-by-step erection of a new structure, based on a preconceived design. Experience suggests that capacity is not successfully enhanced in this way.’

The Capacity Building - Agenda 21’s definition (Chapter 37, UNCED, 1992) - provides that “capacity building” entails:

- The creation of an enabling environment with appropriate policy and legal frameworks;
- Institutional development, including community participation (of women in particular);
- Human resources development and strengthening of managerial systems.

The United Nations Development Programme (UNDP) recognizes that capacity building is a long-term, continuing process, in which all stakeholders (ministries, local authorities, non-governmental organisations and water user groups, professional associations, academics and others) participate.

The various sources that link capacity building to capacity development view it as much more than training and includes the following:

- Human resource development, the process of equipping individuals with the understanding, skills and access to information, knowledge and training that enables them to perform effectively.

- Organizational development, the elaboration of management structures, processes and procedures, not only within organisations but also the management of relationships between the different organisations and sectors (public, private and community).
- Institutional and legal framework development, making legal and regulatory changes to enable organisations, institutions and agencies at all levels and in all sectors to enhance their capacities.

Thus, despite consensus that capacity development is cyclic and entails 5 steps listed below, different development partners view and define capacity development differently (see Box 1, adapted from Horton *et al*, 2009))

1. Engage stakeholders on capacity development
2. Assess capacity assets and needs
3. Formulate a capacity development response
4. Implement a capacity development response
5. Evaluate capacity development

Box A8.1 Definitions of Capacity Development

UNDP: Capacity development is the process through which individuals, organisations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time. Despite some variation, there is general consensus among development practitioners on the key elements of the definition of capacity development.

OECD: The process by which individuals, groups and organisations, institutions and countries develop, enhance and organise their systems, resources and knowledge; all reflected in their abilities, individually and collectively, to perform functions, solve problems and achieve objectives.

GTZ: The process of strengthening the abilities or capacities of individuals, organisations and societies to make effective and efficient use of resources, in order to achieve their own goals on a sustainable basis.

JICA: The ongoing process of enhancing the problem- solving abilities of developing countries by taking into account all the factors at the individual, organizational, and societal levels.

Approaching capacity development through this process lens provides a rigorous and systematic way of supporting it; improves the consistency and impact of efforts; and helps promote a common frame of reference for a programmatic response for capacity development.

Capacity development is viewed as one of the most effective ways of fostering sustainable human development. By strengthening the capacities of individuals, organisations and the enabling environment, the foundation is laid for meaningful participation in national and local development processes and thereby sustainable development results. Conversely, improved human development is conducive to capacity development. According to Byerlee (2000) and Chambers (2005) there are very direct implications for agricultural education in the area of human resource capacity building since by definition the term (and the process) has education, both formal and non-formal, at its core. Education and training lie at the heart of development efforts, without human resources development (HRD) most development interventions will be ineffective. Capacity development focuses on a series of actions directed at helping participants in the development process to increase their knowledge, skills and understandings and to develop the attitudes needed to bring about the desired developmental change. Another essential mechanism for capacity building and/or capacity development is partnership development. Partnerships give a actors in capacity development access

to: knowledge and skills; innovative and proven methodologies; networking and funding opportunities; replicable models for addressing community needs and managing resources; options for organizational management and governance; and strategies for advocacy, government relations and public outreach.

The concept and meaning of partnership

The concept and operation of partnerships has been well reviewed by Horton *et al* (2009). Others, such as Leach and Pelkely (2001), Hall *et al* (2004), Sanginga *et al* (2007), have also explored the operation of partnerships in ARD and rural innovation.

Stakeholder participation and multi-stakeholder partnerships form key cornerstones and strategic approaches of the new paradigms of agricultural research for development that aim to improve the relevance, efficiency, equity, ownership, sustainability and impacts of agricultural and natural resources management technologies and innovations (Sayer and Campbell, 2001; Johnson *et al.*, 2003; Michelsen, 2003a, b). Within the participatory research literature, there is a wide recognition for the need of more pluralistic arrangements for conducting research with a greater role for civil society, including farmers and other non research organisations, rather than just acting as conduits of technology (Ashby, 1994, 2003; Chambers, 2005). Innovation system theories call for change in the way agricultural research is conducted (Hall *et al.*, 2001) The innovation system theory sees agricultural research as a complex process produced by a network of actors and stakeholders that co-evolve with the technologies and processes they generate (Douthwaite *et al.*, 2004; Hall *et al.*, 2001). A key feature of the innovation system theory is that innovations are often complex systems whereby networks of research, entrepreneurial, and other actors interact to produce and use new knowledge. Central to this theory is the concept of partnerships (Hall *et al.*, 2004) as farmers and rural communities are increasingly faced with complex problems that cross the traditional boundaries and mandates of agricultural R&D organisations.

In the international development community, partnership is currently the preferred and fashionable, term used to describe a host of different ways in which organisations work together (Horton *et al*, 2009). Working in partnership is increasingly common both for research organisations and for those engaged in rural development activities and has become central in efforts to address complex development challenges as cited in the Paris Declaration on Aid Effectiveness (2005), the Accra Agenda for Action (2008); and the Consultative Group on International Agricultural Research (CGIAR's) new Strategy and Results Framework presented at the Global Conference on Agricultural Research for Development in 2010. Partnerships are viewed as central to the interactive learning processes that promote agricultural innovation and have been a key mechanism in the process of and for delivering results in agricultural research for development. Over the past two decades, the number of partnerships the CGIAR centres have engaged in has expanded sharply and broadened from links among research centres to more extensive networks involving the public sector, non-governmental organisations, producer groups and private firms. This evolution, according to Horton *et al.* (2009) reflects the changing role of international agricultural research centres vis-a-vis others engaged in research and development, broadening research goals and the increasing demands of donors and partners for visible, short-term returns on their investments.

A major problem with the term partnerships, like many others in current vogue such as development, participation, social capital, innovation (Chambers, 2005; Pretty and Ward, 2001), is that partnership is often used as a generic term that covers a multitude of forms of organizational affiliation and institutional arrangements, lacking a precise definition, theory and framework. The theories of partnerships are diverse and range from resources dependency theory (Alston *et al.*, 1995; Byerlee, 2000; Collinson & Tollens, 1994), organizational and institutional theories (Barret *et al.*, 2005; Eilbert, 2003; Lowndes & Skelcher, 1998) to the innovation system theory (Douthwaite *et al.*, 2003; Hall *et al.*, 2004). Thus, authors working in different fields define partnerships in different ways. In the international community, partnership refers to a relationship that has more in common with an alliance in the private sector than with a business partnership, in which the owner-partners share in the profits or losses of the business (Horton *et al*, 2009). Two useful definitions for the purposes of PAEPARD are therefore given in Box 2.

Box A8.2 Definitions of Partnership

Partnerships are voluntary and collaborative relationships between various parties, both state and non-state, in which all participants agree to work together to achieve a common purpose or undertake a specific task and to share risks, responsibilities, resources, competencies and benefits (*Sanginga et al, 2007*)

[A partnership is] “a sustained multi-organizational relationship with mutually agreed objectives and an exchange or sharing of resources of knowledge for the purpose of generating research outputs (new knowledge or technology) or fostering innovation (use of new ideas or technology) for practical ends.” *Horton et al. (2009)*

Eilbert (2003) and Castello & Zumla (2000) highlight criteria that characterize the extent of collaboration between organisations. These include formalization (social legitimacy gained, official recognition), reciprocity (degree of mutual exchange of resources and decision making), standardization (rules and regulations) and frequency and intensity of interactions (commitment and enthusiasm). These are different from contractual and consultative arrangements between organisations or individuals where one organization retains resources, responsibilities and powers for decisions and actions, while other parties are only responsible for delivery of services and have only marginal interest or role. Partnerships are also different from networks of personal or professional relationships that do not involve organizational commitment.

Many models and frameworks have been developed to describe partnerships, using different criteria. Some of these models are based on the degree of formalization of partnership, while others consider the cycle and process of partnerships. Lowndes and Skelcher (1998) suggest a partnership model based on a four-stage life-cycle (i) pre-partnership collaboration; (ii) partnership creation; (iii) partnership programme delivery; and (iv) partnership termination. Ansari *et al.* (2001) defined three stages of partnerships: partnership formation, partnership implementation and delivery and institutionalization of partnerships. During the formation stage, a lead agency brings together participants who develop a common vision, define outcomes and develop action plans and agreements. At the implementation stage, the focus turns to programme and activities as well as to maintenance and reutilization of structures and processes. During the institutionalization stage, organisations adopt the programme as their own and allocate their own resources to the implementation of activities with little or without external funding.

Characteristics of individuals that facilitate effective partnerships

Many of the reviews cited describe the qualities that individuals need to be successful partners. These can be written as:

- *Trust.* The concept of trust is prominent in literature on partnership principles and key success factors. Horton *et al.* (2009) describes trust as the “glue” that binds relationships. It may not be present at the beginning, but needs to be cultivated over time. If trust cannot be established or is lost, the partnership is unlikely to be sustainable.
- *Openness, honesty.* Sharing of data, protocols, materials and ideas/information, resource materials and partnership outputs available prior to publication. Remaining available to build a trusting relationship is important for the collaborative understanding of the problem being tackled and for the subsequent joint thinking throughout the evolution of the partnership.
- *Communication.* Consistent communication with your partners is the best way to make sure the partnership is going in the planned direction. Communication is always better face-to-face if possible, for example by travelling to meet your collaborators and partners or by scheduling discussion related to your partnership during conferences/meetings that people involved will attend. Synchronous communication by telephone or video teleconferencing is preferred over

asynchronous communication by e-mail. Data could be exchanged by e-mail prior to a call so that everyone can refer to the data while talking.

- *Shared passions.* A partnership requires a shared passion for the undertaking, and not just because it will get a grant, or look good on a curriculum vitae and/or project profile of the institution. Time is needed to consider all aspects of the potential collaboration and assess whether the partnership will really make a difference to the mission and interests of an organization. Is there motivation to seek out the partnership? Is there resident capacity and expertise to tackle the proposed tasks? What priority will the partnership have for the different partners? Will they be able to deliver on time? If the answer is no for even one of these questions, the partnership could be ill-fated. It is better to say no to a proposed partnership, even if it is an attractive option, than to launch an ill-fated partnership that drags on and progressively becomes more difficult to end.
- *Roles.* Deciding at the outset who will work on what tasks; carefully establishing the purpose of the collaboration and delegating responsibilities; revisiting the specific aims regularly and be sure the respective responsibilities are being met. Getting tasks done in a timely manner should be top priority for all partners.
- *Respect.* Without respect for the work of partners, there will be no partnership. There is nothing more frustrating for partners than to have to waiting for other partners to provide information. Respect means informing partners an agreed deadline becomes difficult, so that other arrangements can be made.
- *Focus.* Collaborative arrangements are such that every answered questions and/or task begs a number of new questions to be answered. Digression into new questions and tasks without first discussing the change with partners, thinking they will be pleased with a new approach or innovation, is often misplaced and can lead to conflict.
- *Flexibility.* Leaving room for evolution and fresh thoughts over the course of the partnership as new ideas will always arise. Have a mutual understanding up-front such that these ideas can be embraced as an extension of the original partnership agreements.

In addition to the above, several other personality traits including physical activity/ energy, social background, judgment, knowledge, fluency of speech, alertness, originality, creativity, personal integrity. Self-confidence, work orientation – achievement drive, responsibility drive, task orientation and social characteristics and/ or leadership attributes are cited by Vicens and Bourne (2007) as key prerequisite for building successful partnerships.

Characteristics of organisations that facilitate effective partnerships

Drawing lessons from a case study, Sanginga et al (2007) presents six critical elements that need to interact at different stages in operations of organisations to build and sustain effective partnerships. The six elements include (i) shared vision, interdependence and complementarily, (ii) strong endorsement and consistent support from senior leadership; (iii) institutional and individual benefits; and (iv) investments in human and social capital; (v) resources sharing and joint resources mobilization, and (vi) prospects for scaling up and institutionalization.

- *Shared vision, interdependence and complementarily.* An important element in forming partnerships is to develop a collective vision shared by partners, and to translate this vision into intended outcomes, practical deliverable outputs and activities. Effective partnerships do not naturally emerge just because poverty alleviation and food security are appealing goals to all agricultural research and development organisations (Barret et al., 2005). It is the ability to achieve something together that no organization could have produced on its own, and the ability of each organization, through collaboration, to achieve its own objectives better than it could alone that brings partners together. These outcomes and outputs are regularly refined in annual partners meetings to ensure internalization and alignment of different partners with the collective vision. Research and development organisations adopt partnerships as a response to increasing specialization and complexity or in response to external environment (Barret et al., 2005; Eilbert, 2003; Lowndes & Skelcher, 1998). Many organisations search for partners with

knowledge, technologies and skills to complement their own, and to gain comparative advantage to achieve its objectives and deliver impacts.

- *Strong endorsement and consistent support from senior leadership.* Getting partnerships off the ground required drive and determination by some individual “champions” with the necessary leadership to commit their organisations and resources to the partnership. Sustaining institutional commitment and support from leadership requires maintaining regular and interactive communication with senior leadership, including joint field visits.
- *Institutional and individual benefits.* A major factor in sustaining partnership is evidence of benefits for institutions, as well as incentives for individual staff members. At the institutional level, important benefits include evidence of farm-level impacts, increased visibility and recognition, expanding partnership opportunities, and leverage of additional resources. Evidence of success with farmer’s groups has prompted partners to devote more resources to partnerships, and enhance institutional commitment to scale out to other areas. An important aspect of institutional benefits has been credit sharing and recognition of partners’ contributions in all public presentations, visits, publications or production of any material, which result from partnerships.
- *Investments in human and social capital.* At the individual level, most participants will always view capacity building as one of the more stimulating and rewarding aspects of the partnerships. Frequent examples of benefits to individual staff members of partners’ organisations include increased skills, knowledge, confidence, self-esteem, exposure and career opportunities. At the organisational level, the presence of energetic, motivated, and highly committed community development facilitators, scientists and development staff with good skills in participatory approaches is critical in achieving success. In addition to mutual learning, these human resource capacity development activities in partnerships have the advantage of broadening partners’ worldviews through exposure to new approaches, skills and tools, but also to new areas, countries and people. Studies indicate that partnerships have resulted into high levels of social capital, personal relationships, friendships and social networks that facilitate communication, exchange of information, cooperation, reciprocity, and trust that enable people and organisations to work together for mutual benefits. In turn, social capital provides benefits for both individuals and organisations (Gillies 1998; Pretty, 2003) groups and communities (Pretty and Ward, 2001; Ruud, 2000; Spielman and Grebmer, 2004).
- *Resource sharing and joint resource mobilization.* The availability of financial resources within partners’ organisations has a major influence on the success of partnerships. Although partnership funds are usually initially secured from donor agencies to support research for development activities, increasingly and with time majority of partners should endeavour to contribute more resources than the project budget, both in financial and material terms. Co-financing and joint resources mobilization, helping some partners to raise funds through proposal development has been a successful strategy in reducing financial burden, and has increased partners’ stake and commitment. Joint budgeting and planning increased transparency in resources allocation.
- *Prospects for scaling up and institutionalisation.* Potential successful partnerships should from the start demonstrate evidence of institutionalization and scaling up of initiatives, and expanding to new sites or making the partnership an important thrust of the organisations involved. At the same time, plans must be in place to manage demands from new partners and new countries, offering considerable prospects to scale out and influencing research and development approaches in several countries. However, maintaining quality partnerships during up-scaling process, and reducing tensions between research (scientific rigour) and development (activism) is always a challenge. One of the key strategies involves building bridges to other networks, and forming learning alliances to reach other organisations into new areas.

Other key elements of organisations that drive development of effective partnerships include the following:

Dynamic strategic formulation and implementation

There is now a growing recognition that no single strategy process or single strategic capability will lead to a sustainable competitive advantage. Organisations increasingly have to adjust dynamically their characteristics to the requirements of the environment by constantly changing their strategies and strategic capabilities. Recent research indicates that organisations achieve superior results if they can select from a wide range of strategic capabilities rather than concentrating on a single capability process.

The focus of strategy research is once again shifting away from identifying drivers of organization success towards maximizing the range potential of an organization. The role of strategists has to change from that of planners and strategy creators to that of strategy finders, knowledge generators and catalysts of change, and that strategic planning must be replaced by strategic thinking. This implies that strategy formulation can no longer be separated from strategy implementation because of the speed which is necessary to exploit opportunities in the competitive environment. Too much analysis can be harmful, by the time an opportunity is investigated fully, it may no longer exist, and thus, an entrepreneurial approach based on the following guidelines is necessary:

- Screen opportunities quickly and eliminate unpromising ventures;
- Analyze ideas parsimoniously and focus on a few important issues; and
- Integrate action and analysis; do not wait for all the answers, and be ready to change course.

Being a learning organisation

Argyris (1977) defines organizational learning as the process of "detection and correction of errors." In his view organisations learn through individuals acting as agents for them: "The individuals' learning activities, in turn, are facilitated or inhibited by an ecological system of factors that may be called an organizational learning system" (p. 117). Huber (1991) considers four constructs as integrally linked to organizational learning: knowledge acquisition, information distribution, information interpretation, and organizational memory. He clarifies that learning need not be conscious or intentional. Further, learning does not always increase the learner's effectiveness, or even potential effectiveness. Moreover, learning need not result in observable changes in behaviour. Taking a behavioural perspective, Huber (1991) notes: An entity learns if, through its processing of information, the range of its potential behaviours is changed.

Weick (1991) argues that the defining property of learning is the combination of same stimulus and different responses, however it is rare in organisations meaning either organisations don't learn or that organisations learn but in non-traditional ways. He further notes: "Perhaps organisations are not built to learn. Instead, they are patterns of means-ends relations deliberately designed to make the same routine response to different stimuli, a pattern which is antithetical to learning in the traditional sense" (p. 119). Or else, he argues, organizational learning perhaps involves a different kind of learning than has been described in the past: "the process within the organization by which knowledge about action-outcome relationships and the effect of the environment on these relationships is developed" (Duncan & Weiss 1979). In his view, "a more radical approach would take the position that individual learning occurs when people give a different response to the same stimulus, but organizational learning occurs when groups of people give the same response to different stimuli."

Senge (1990) defines the learning organization as the organization "in which you cannot not learn because learning is so insinuated into the fabric of life." Also, he defines the learning organization as "a group of people continually enhancing their capacity to create what they want to create." He goes on to further define a learning organization as an "organization with an ingrained philosophy for anticipating, reacting and responding to change, complexity and uncertainty." The concept of the learning organization is increasingly relevant given the increasing complexity and uncertainty of the organizational environment. As Senge (1990) remarks: "The rate at which organisations learn may become the only sustainable source of competitive advantage." McGill et al. (1992) define the learning organization as one that "can respond to new information by altering the very "programming" by which information is processed and evaluated."

Ang and Joseph (1996) contrast organizational learning and the learning organization in terms of process versus structure. McGill et al. (1992) do not distinguish between a learning organization and organizational learning. They define organizational learning as the ability of an organization to gain insight and understanding from experience through experimentation, observation, analysis, and a willingness to examine both successes and failures.

Vertical and horizontal structures

Vertical and horizontal structures in organisations are critical for effective partnerships. Vertical links reflect organizational hierarchy and power. The organization and delegation of power and decision making within an organization to what are referred to as the “vertical” structures. Horizontal links represent communication and co-ordination, and they focus on how different arms of an organization work together to achieve organizational objectives. These vertical and horizontal structures of partnering organisations will define the organizational culture of the partnership. The term “organizational culture” describes the way things are done and relates to the shared body of assumptions, beliefs, values, norms, and actions that characterize an organization.

Organizational cultures are reflected in, and shape organizational structures. They are also influenced by past events, current climate, type of work, dominant groups, and the aims of the people working there. Based on the a consideration of these notions of vertical and horizontal/matrix structures, it is possible to identify a series of different organizational cultures with overlapping organizational structures that greatly impact on partnership performance. Handy (1993) offers the following cultures:

- *Power culture* – This is dependent on a central power source. It is built on trust and communication and has few rules. It has similarities with Mintzberg’s simple structure (Mintzberg, 1983). The strengths of the power culture include dynamism/flexibility and high levels of satisfaction. The weaknesses include the fact that it is fairly small scale in terms of range and scope and that it is often dependent upon individuals. Examples of power cultures within IARD systems would include the working culture of consultants and their research teams (or firms).
- *Role culture* – the role culture is found with bureaucratic organisations built upon rationality and order, with prescribed roles. Power comes from an individual’s position (known as “position power”) within the organization rather than from their personal characteristics/skills/traits. It is similar to Mintzberg’s machine bureaucracy, and it shares the strengths and stability, certainty, and economy of scale. On the other hand, it has the possible weakness of inflexibility and a relative inability to cope with rapid change and turbulence. Examples of role cultures within agricultural research systems would include civil servants and Ministries of Agriculture, and perhaps those professional groups in the agricultural sector which have demonstrated a strong reliance on the importance of roles and positional power.
- *Task culture* – in the task culture, power/influence is located at the “knots” in a matrix structure, with individual power being based on expertise/professional status rather than hierarchy or positional power. Matrix structures are a mixture of Mintzberg’s professional and adhocracy organisations. They have the advantage of being adaptable and accommodative to change. On the downside, control can sometimes be difficult to achieve within a task culture. Examples of task cultures would include inter-agency extension networks (e.g., to tackle problems of extension and dissemination pathways) and locality-based extension and advisory arrangements with a range fieldworkers and agricultural-related professional working together to tackle local extension problems.
- *Personal culture* – this puts the individual at the central point in an organization, and is quite individualistic. There is a connection with the power culture and also with the Mintzberg’s simple structure. Examples of the personal culture would include organizational models based on professional partnerships whereby professional practice is promoted and professional have a significant degree of decision-making autonomy.

The enabling environment

Defining boundaries vs. commands and control

Partnership requirements concerning speed, flexibility and maintenance of overall direction and structure can be achieved by a system that defines overall objectives and boundaries as opposed to a system that commands and controls. Effective implementation of partnerships calls for a structure and culture which:

- Is supportive and enabling;
- Provides a large degree of freedom for individuals and business entities in the decision-making process;
- Delegates and demands responsibility for any action taken;
- Builds up commitment and leadership;
- Adjusts dynamically the organizational structure with changing requirements;
- Treats individuals and teams according to their tasks and roles within the business process rather than as part of a hierarchical structure; and
- Gives teams and individuals the charter to select new business opportunities and realize their ideas by working closely together with potential customers.

Participatory approach

The increasing complexity of partnership issues also requires the close co-operation of people from different areas and functions within the organization in order to optimize the use of the knowledge base is available in addressing issues and enhance the level of creativity in the development of solutions.

Innovativeness

Successful partnerships are driven by the possibilities of the future rather than the restrictions of the past. This cannot be achieved by sequential inductive/deductive approaches to implementation of partnership activities. A sequential inductive/deductive approach usually results in already known solutions that do not necessarily differentiate the organisations in a partnership from their competitors. What is required is a process of visioning which lends itself to creative solutions thus, forming the basis of differentiation. This process requires the close co-operation of all partners and people throughout the organization and a communication structure which is open and flexible.

Strengthening capacities for effective partnerships

According to Horton et al. (2009), addressing knowledge gaps in partnerships is critical for designing strategies to strengthen capacities for building effective and functional partnerships. However, there are very few empirical studies and systematic evaluations of partnerships. This is certainly the case in international agricultural research and development. Most research on partnerships is based on secondary data, questionnaire surveys or personal observations, with only a few detailed and grounded case studies.

One of the few studies that specifically look at capacity strengthening for partnerships is that of Hartwich *et al* (2007). They suggest that, while the empirical evidence on how best to build capacity for innovation partnerships is thin, from an innovation systems context, capacity strengthening to build partnerships can target three different levels: the partners, their relationships, or the overall network or system:

- *At the partner level*, capacity strengthening can focus on motivating and providing incentives, fostering leadership, improving relevant skill levels, and enhancing the ability of partners to maintain relationships, collaborate, and learn from each other.
- *At the relational level*, the linkages, partnerships, and networks that enable innovating agents to operate efficiently and effectively can be enhanced through capacity building focusing on communication, negotiation, conflict resolution, and the development of social capital and trust.

- *At the system level*, the capacity of decision- and policymakers can be developed as a foundation for improving the macro institutions, structures, policies, and rules that support the actions and interactions of innovating agents.

From an NGO perspective, Killough (n.d.) also asserts that much of the existing knowledge on partnerships is tacit in the minds of partnership practitioners, and it is therefore difficult to formulate and implement capacity strengthening strategies for effective partnerships. Nevertheless, he concludes critical staff skills, knowledge and attitudes include:

- *Skills*: facilitation, inter-personal and social interaction, consultation, networking, dialogue and communication, conflict management and resolution.
- *Knowledge*: understanding of the dynamics (i.e. politics) of the partner organisations, and own organization; understanding of what motivates partners to be in the partnership (e.g. How will they benefit? Are they sincere?).
- *Attitude*: willing to make compromises/adjustments; patience to work through the necessary steps of a successful partnership (e.g. define objectives, set the agenda, etc.), a willingness to share the successes and to bear the risks of failure.

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Annex 9 Review of Capacity Building Experiences

Projects and Research Frameworks

SCARDA

Overview

The goal of the Strengthening Capacity for Agricultural Research and Development in Africa (SCARDA) Programme (2007-2011) is to contribute to sustained poverty reduction in Sub Saharan Africa by empowering institutions and stakeholders involved in agricultural research and development to leverage the full potential of agriculture in sustainable wealth creation.

Its purpose is to maximize the poverty reducing impact of interventions in the agricultural sector by supporting the clearly expressed demand for human and institutional capacity strengthening

SCARDA is lead by FARA and receives funding from DFID. Partners include: Natural Resources Institute (NRI), Centre Regional de Formation et d'Application en Agrométéorologie et Hydrologie Opérationelle (AGRHYMET), Regional Universities Forum for Capacity Building in Agriculture (RUFORUM), Sub-Regional Organisations (SROs).

Programmes

The SCARDA Programme was structured into two main components:

- 1 Strengthening competencies and capacity in agricultural research management, and
- 2 Strengthening the capacity for professional development (of agricultural scientists and extension workers) in research and development.

The first component focused on improving research management by equipping personnel involved in stewardship of research at all levels, with the needed skills through continuous training, mentoring and attachments. The second component aimed to enhance the depth and breadth of skills required for NARS to conduct quality research that will assure impact to end-users. It also aimed to generate empirical information on the relationship between increased investment in strengthening agricultural research capacity; and agricultural productivity and profitability. Both components were expected to contribute towards increasing the capacity of African institutions to build capacity.

Capacity Development Strategy

SCARDA began with an institutional analysis as the basis for needs assessment, supported MSc programmes, personal and institutional mentoring, technical short courses, courses in all aspects of research management, organizational change management, partnership building, application of innovation system approaches and participatory methods. Following a baseline study of the NARS in most of the countries in 3 sub-regions, three pilot countries were chosen from each sub-region. Two pilot organisations from each country were then selected to participate with co-ordination from the relevant SRO.

To build capacity, SCARDA has used MSc training, attendance at existing short courses in the respective regions, shared learning workshops, training workshops, mentoring, lesson learning reviews.

Organisations offering capacity strengthening services to SCARDA included: NRI, PICOTeam, ESAMI, Agricultural Research Management Training Institute (ARMTI) in Nigeria, the Ghana Institute of Management and Public Administration (GIMPA).

In particular, PICOTEAM adopts a “Systemic Competency Development Approach” where training is not be done under modular topics, but engages people in learning processes in how to perform their jobs better. Capacity is based on the notion of ‘competencies’ - performance for delivery in the job by individuals, teams and organisations. This implies more than qualifications or technical skills; it is the creative and entrepreneurial spirit of doing business and finding innovative solutions to challenges. It requires space for the individuals to develop and the capacity to utilise their space and creativity effectively. PICOTEAM considers that strengthening the research management capacity in the NARS

needs to be broader than the areas identified by SCARDA, and has identified 5 core competency areas for research managers: 1) facilitation for change; 2) managing research for development and quality science; 3) facilitating partnerships and impact; 4) managing organisations, units and teams; and 5) managing self – self-development for leadership. PICOTEAM recognizes that each of the five topics are individually very important, but argues that if they are not integrated they will neither result in sustainable increased capacity nor lead to system change. What is needed is a more systemic organisational approach to achieve lasting results (see section 4.2.6 for more information on PICOTEAM).

Lessons Learned

Lessons learned from SCARDA include:

- Organizational change is difficult to effect from the outside and requires strong commitment from top management and staff.
- Similarly for ‘institutional change’. In some countries, the AR4D institution was not effectively linked even at the level of the NARS and AKIS and no countries had developed any of the characteristics for an “agricultural innovation system” (AIS).
- Building the research management capacity of a few individuals had little impact on institutional development unless policy makers were involved from the start and fully engaged throughout the project.
- Greatest progress was made in developing AIS approaches and encouraging partnership with non-research partners when activities were focused around a specific value chain (e.g. small stock in Botswana).
- Engaging the private sector was almost impossible; it rarely responded to invitations to attend workshops.
- Tertiary education organisations cannot be the main ‘partners’ or ‘focal institutions’ for projects aimed at improving research implementation because their ‘core business’ is education and young lecturers often have heavy teaching loads. The main role of education organisations in the improvement of research competencies, is through ‘building capacity to build capacity’. This is not to deny that excellent agriculture-related research is being conducted in some African Universities but generally, their mandate is more suited to basic and strategic research, rather than adaptive and as such, they are less likely to see the value of involvement with non-research partners.
- One important area where communication needed to be improved is the sharing of information among all relevant partners. In part, this is due to a reluctance to circulate documents whilst they are still in draft form. This is understandable but it means that useful ideas were not shared at an early stage and the opportunities for synergies across sub-regions were not maximised. Another reason is that the project lacked a common electronic platform for the storage of key documents and the facilitation of group discussions. The D-group website was available but was not used by the majority of project participants.

Further information and Resources

<http://www.nri.org/projects/scarda/scarda.htm>

<http://www.fara-africa.org/our-projects/scarda/>

PowerPoint course materials for capacity building on all aspects of research management, change management, research partnerships, AIS, farmer participatory research

Implications for PAEPARD

- Do not assume that NARIs are well integrated with the “NARS”, much less the “AIS”
- Need to create links with policy issues/ policy making
- Federating themes around value chains easiest to organise
- Universities may not be best leaders of adaptive research projects
- Communication is critical – but partners do not always find use of electronic discussions easy

DURAS - Innovative Partnerships for Sustainable Development

Overview

The main objective of the DURAS Project (2004-2008) was to foster greater involvement of southern stakeholders in the agricultural research and innovation process and to ensure as well as ensuring that their voices were heard at the international level. DURAS was designed to support the facilitation role of the Global Forum on Agricultural Research (GFAR) in its effort to promote the opening up of the agricultural research system, particularly by ensuring that research priorities are identified in a participatory fashion and that the less vocal stakeholders, most notably civil society groups, are mobilized and able to meaningfully participate in agricultural research for development (ARD) processes. It was also conceived so that stakeholders could share and exchange information through available interactive regional agricultural information systems.

Funding for DURAS was from the French Ministry of Foreign and European Affairs: *Fonds de solidarité prioritaire* (FSP). Lead organisations were the Global Forum on Agricultural Research (GFAR) and Agropolis International in Montpellier. There were numerous partners in the different countries.

Project Strategy

The project had three components:

1. Support for the facilitation role of the GFAR Secretariat;
2. Development of functional information and communication systems; and
3. Implementation of a Competitive Grants Scheme.

At the heart of DURAS was its competitive grants system. Following an original selection and evaluation process that put a premium on building multi-stakeholder partnership, 12 projects were funded over a period of about three years, each involving an array of disciplines and partners from around the world. The focus of these projects varied from specific products/value chains (e.g. poultry in West Africa, sorghum/millet in West Africa, pigs in Vietnam/Cambodia), to natural resource management (e.g. cultivated ecosystem management in the Cameroon rain forest zone, soil fertility and sustaining agropastoral systems in sub-Saharan Africa using organic fertiliser, uplands reclamation in Vietnam and Laos), and organisational management (e.g. farmer access to innovation resources, partnership networks to support small and medium enterprises in Kenya and Vietnam), etc.

Methods to Strengthen Capacity

Regional training workshops were organized in order to help information managers develop strategies for their organisations, and establish structures and procedures for effective information management. Other training activities related to advocacy, capacity building and regional knowledge sharing (strengthening linkages among network members). Regular interactions among the 12 funded projects were organized in order to co-define indicators, document experience and generate lessons, among other objectives. Funding (€5000) was provided to 24 pre-selected proposals to fund proposal-writing workshops involving project partners. The project ended with lesson-learning workshops.

Lessons Learned

Lessons learned on capacity building are not easy to identify from the available DURAS output. With respect to partnerships, the documented lessons are project-specific in the final project document: for example:

- Need to create direct links between researchers and farmers.
- Partnerships should be established with organisations not just individual members.
- Financial and technical responsibility should be apportioned between all partners.
- Researchers need to be persuaded at the outset to accept the loss of some of their 'power'.
- Make farmers aware of the research process as well as the findings.

Further information and resources available

<http://www.duras-project.net/>

DURAS project: Innovative partnership for sustainable development. AGROPOLIS International, 48 pp. (booklet available for download)

Implications for PAEPARD

- Find ways to apportion financial responsibility between all partners (consequent need to develop financial system understandable and acceptable to all)

ICART - SADC Region

Overview

The purpose of the project “Implementation and Coordination of Agricultural Research and Training in the Southern Africa Development Community” - ICART (2006-2010) was to enable NARS in the 14 SADC countries to enhance their national efforts in order to improve incomes of small-scale farmers, processors, traders and other beneficiaries while maintaining the natural resource base. By addressing common regional researchable constraints and opportunities in agriculture, the programme also aimed to improve the capacity of NARS to manage regional initiatives, thereby making a major contribution to the long-term sustainability of regional research, as well making important inputs to the SADC rural development sector

Project Strategy

ICART was implemented by activities linked to 6 ‘result areas’:

1. SADC has the regional capacity to coordinate agricultural research and training;
2. Research Networks are established in accordance with the research priorities for the SADC region;
3. The Competitive Fund System (CFS) has improved performance of the regional agricultural research and training;
4. Competitively funded research projects provide results and outputs to meet rural development needs;
5. A regional information system is operating;
6. The scholarship fund (MSc) has strengthened the regional training capacity.

Methods to Strengthen Capacity

Teaching materials and tools were developed, based on local resources, to make university teaching more effective and relevant to local situations.

A sub-regional scholarships fund for postgraduate and professional training was established. Mechanisms identified to ensure research and training synergies. ICART sponsored a number of workshops and training courses, including:

- Proposal development, scientific writing and communication skills workshop (22-27 September 2008, Botswana, implemented by RUFORUM and Egerton University);
- RUFORUM/SADC Proposal, Scientific Writing and Communication Workshop, East and Southern Africa Management Institute (ESAMI), 20 to 25 April, 2009 Arusha, Tanzania, implemented by RUFORUM;
- Training Workshop on Planning, Monitoring, Evaluation and Impact Assessment of R&D Investments in Agriculture (Johannesburg – 18-29 May 2009, in collaboration with IFPRI and ILRI)

Information and Resources available

Documents (e.g. reports from the training workshops) are available on ICART website: http://www.sadc.int/fanr/agricresearch/icart/inforesources/index.php#Project_Coordination_Unit

Implications for PAEPARD

- RUFORUM experience with proposal writing workshops

DONATA

Overview

Dissemination of New Agricultural Technologies in Africa (DONATA) is one of 2 main components of the broader “Partners in the Promoting Science and Technology for Agricultural Development” (PSTAD) project, with a grant from the African Development Bank (AfDB). The other main component of PSTAD is RAILS (Regional Agricultural Information and Learning System). The PSTAD project is led by FARA, managed by the SROs, and implemented by the NARS. Funding for DONATA is from The African Development Bank (AfDB), the project is lead by FARA in partnership with the Sub-Regional Organisations (ASARECA, CORAF-WECARD, SADC-FANR)

The purpose of DONATA is to strengthen the innovation capacity of stakeholders in African agricultural research and development to effectively and efficiently facilitate and or catalyse rapid and large scale dissemination and adoption of successful agricultural best bets in areas where they are needed but are not accessed and utilized.

Specific objectives are:

1. To identify the most profitable and environmentally beneficial African model crops, best bets, and other agricultural enterprises for scaling-up and out in areas where they are suited but where they are currently not accessed and utilised
2. To analyse challenges and opportunities in value chain approach in scaling-up and out, agricultural best bets and disseminating success stories
3. To develop toolkit(s) for disseminators that facilitates the targeting of best bets to where they fit the prevailing social, environmental and market conditions.

Project Strategy

The main strategy employed by DONATA is the development of “innovation platforms for technology adoption” (IPTA). The IPTAs are intended to facilitate the gathering of partners from relevant institutions/actors who agree to work on common objectives. The IPTAs also facilitate learning and acquisition of skills to adapt innovations to local settings and needs. IPTAs follow a process of value chain analysis and mapping conducted at the initial phase of the project, but the entry point within a community is based on technology identified by SROs through analysis and consultations, and which proven to be successful from participatory research. Technologies selected were quality protein maize and vitamin A-enriched sweet potato (E. & C. Africa), open pollinated variety maize and improved cassava cultivars (W. and C. Africa), and open pollinated variety maize and sorghum varieties (S. Africa).

Each national level IPTA consists of value chain actors (individuals, organisations) implementing the innovation platform, among whom are facilitators, mostly drawn from research and extension agencies, who can mobilize the other actors within the platform to work towards common goal. A lead institution (mostly appointed by the Ministry of Agriculture) coordinates the implementation. In addition, a communication team includes individuals or organisations (including MSc students sponsored under the PSTAD project) who are assigned to document the process and outcomes (in collaboration with RAILS).

Methods to Strengthen Capacity

Facilitators of the platforms are trained on specific skills required, based on skills assessment conducted as part of the value chain mapping. Backstopping of these facilitators is provided by international institutes, where there is limited capacity in national research and extension systems.

One example of such technical backstopping of is that provided by the International Centre for development-oriented Research in Agriculture (ICRA) to the Southern Africa IPTAs. This support includes:

- In-depth training of (6) regional and national level facilitators on ICRA's 3-week programme on the "Design & Management of Interactive Learning", held in Europe, during which the facilitators develop a common understanding and approach to the IPTAs and the coaching of the innovation clusters.
- Coaching of the national-level facilitators to assist the IPTAs in preparing national level work plans to establish and operate 1-2 innovation clusters in each target country (estimated ICRA input of 28 days).
- Coaching of the implementation of interactive learning and technology dissemination in each innovation cluster (estimated ICRA input of 42 days)

Information and Resources available

<http://www.fara-africa.org/our-projects/donata/>

<http://www.icra-edu.org>

Implications for PAEPARD

- ICRA experience with training and (plans for) coaching of AI facilitators

Sub-Saharan Africa Challenge Programme (SSA-CP)

Overview

The linear research–extension–adoption approach to technology development and transfer is regarded as a limiting the impact on rural livelihoods of much agricultural research in Africa. The Sub-Saharan Africa Challenge Programme (SSA-CP), managed by FARA, was therefore designed to implement and evaluate the "Integrated Agricultural Research for Development" (IAR4D) approach, which draws upon innovation and uses a systems perspective as its organising principle .

The SSA-CP started with an initial concept note in 2001 and required over three years to develop, plan, and launch. After a 3-year research phase from 2008-2010, a further 2-year phase (2011-2012) is now being implemented. The Programme is focused on 36 "innovation platforms", grouped at three "pilot learning sites" (PLS), in 8 countries in the ASARECA, CORAF/WECARD and SADC-FANR sub-regions.

Funding for the SSA-CP comes from the World Bank, EU, DFID, Netherlands, Italy, Denmark. The programme is lead by FARA, in partnership with the Sub-Regional Organisations, CG International Research Centres, National Agricultural Research Institutes (NARIs), Local Government, Universities, NGOs, others.

Objectives

Broadly speaking, this complex programme has dual objectives, which have evolved since its conception:

1. To improve agricultural productivity, enhanced natural resource management and rural livelihoods through the establishment of "innovation platforms"; and.
2. To evaluate the efficiency and sustainability of the IAR4D approach, compared to conventional approaches ("proof of concept").

IAR4D and the SSAP-CP is framed within agricultural innovation system theory, shifting the focus from technologies per se to the utilization and application of new knowledge. There is an explicit focus on improving linkages between organisations within an innovation system in order to achieve impact. How to facilitate these organizational linkages around problem-solving innovations is the central implementation challenge within the innovation systems approach, and this is organized through innovation platforms (IPs).

Project strategy

The IPs constitute the institutional innovation in IAR4D, and the methods and implementation of these was essentially led by CGIAR Centers, apart from INRAN leading the Sahel Task Force, ISAR leading the productivity Task Force in Lake Kivu, and Makerere University leading the NRM Task Force in Lake Kivu. The

Core Research Support Team (CRST), drew primarily on talent across the participating CG Centers and built on the team that put together the research plan. Consultants were used during the inception phase, and did training but provided no backstopping.

Methods to strengthen capacity

Important capacity strengthening processes included (a) developing a joint understanding by all partners of the principles and practices involved in IAR4D, usually done through a set of facilitated courses and discussion groups; (b) an iterative process of problem identification and development of an joint action plan; (c) enhancement of farmer organization as vehicles for communication flow, adaptive research and extension, and market aggregation and quality control; (d) farmer training, information dissemination, and enhanced learning by doing; (e) developing methods of participatory M&E that fed into decision making at the IP level; (f) capacity strengthening in identified gaps within the IP; and (g) developing effective communication strategies at all levels of the IP.

It was concluded by the 2nd External review that, especially given the time frame for IP implementation, these capacity-strengthening processes were best developed and iteratively enhanced when done at the PLS level. In general, the variety of different methods and experiences used “would take some time to assess and effectively codify.... There seems “to be little sharing of information or guidance across TFs, even within the same PLS, apart from Lake Kivu PLS. The coordination and learning that was expected to take place ...at the Pilot Learning Sites and at the SSA-CP level...seems to be sporadic and opportunistic, rather than systematic and strategic”.

Lake Kivu PLS implemented a substantial number of activities to improve the capacity of different stakeholders in different areas. Over the period 2008-2010, there were at total of 92 events – workshops and consultations, etc. at national and regional level - to strengthen understanding of IAR4D, improve the innovation process and partnership development, improve natural resource management and crop production, strengthen market linkages and value addition, policy linkages and improve project planning, reflection, etc. in general (Moses Tenywa, personal communication). In addition, 2 of the innovation platforms in Uganda participated in a series of 4 5-day workshops to improve the concept of IAR4D, the innovation process and partnership interaction, supported by the SUCAPRI project and ICRA. These SUCAPRI workshops focused on establishing a common vision and objectives, applying concepts of innovation platforms, stakeholder analysis and value chains, as well as improving skills in communication and teamwork, etc.

Lessons learned

The 2nd External review concluded that “the success in formation of a functional IP depends largely on the level of facilitation by the experts. The facilitation should however not be at a level of spoon feeding but guiding the learning an implementation through reflection. There is need to first invest in creating a common understanding of the process, basis and benefit of having a multi-stakeholder platform among communities, local and high level policy maker / leaders, technical service providers and private sector organisations before organizing stakeholders for IP formation. This need is indicated by the fact that even after two years some members of these pilot IPs still show signs of not understanding the purpose of the IP”.

In practice, the three pilot learning sites (PLSs) evolved quite differently, and had different approaches to organizing the Task Forces (TF) in relation to their support to the IPs. The Lake Kivu PLS, for example, built on the research/development approach of “Enabling Rural Innovation” previously developed by CIAT (see below in this chapter). IPs in Lake Kivu were created *de novo*, as compared to the PLS in West Africa where IPs were embedded in existing institutional structures, especially in Nigeria. The Lake Kivu IPs also developed a quite sophisticated committee structure, usually consisting of executive, research advisory, finance and audit, market, and M&E committees, although these varied depending on the core problems being addressed by the IP. There are also committees organized at village or parish level.

Information and resources available

<http://www.fara-africa.org/our-projects/ssa-cp/>

http://www.coraf.org/documents/SSA_CP_Report_FINAL%202011.pdf

Workshop reports from the SUCAPRI project, which collaborated with the Kabale and Kisoro IPs in Uganda (Lake Kivu PLS) are available from: <http://www.iar4d-ict4d-l3f.org>

Implications for PAEPARD

- Potential resource persons from project PLS with practical experience of research partnerships and capacity strengthening efforts (esp. Lake Kivu PLS).

RiU *Research in Use*

Overview

The RiU Programme (2006-2010) was conceived as a successor to DFID’s 10-year, £200-million Renewable Natural Resources Research Strategy (RNRRS). Its objective was to extract impact from excellent but underused agricultural research, as well as accumulate and evaluate evidence to shape and share lessons on how best to enable innovation in the agricultural sector so as to achieve social and economic gains in diverse developing country settings.

Funding for RiU came from DFID. NRInternational led the programme, in partnership with the United Nations University Maastricht Economic and Social Research and training centre on Innovation and Technology (UNU-MERIT), and others.

The key research objective for RiU was to tease out how a range of different approaches impact on making the best use of agricultural research as a policy instrument for development. This involved looking at timing, settings, contexts, people, policies and institutions. In seeking answers to this complex question, RIU aimed to provide guidance (but not a blueprint) to those seeking to make better use of agricultural research as a tool to bring about social and economic development, thereby helping to shape future practice and policy. RiU established six Africa country programmes: in the east Rwanda and Tanzania, Malawi and Zambia in the south, and in the west Nigeria and Sierra Leone. The rationale of these programmes is that currently, mechanisms to articulate the demand for research and other information are poorly developed. The country programmes are therefore, experimenting with a variety of networking approaches to establish better linkages between the research, entrepreneurial, policy and farming communities with a view to strengthening innovation capacity.

Strategy

The RiU programme worked with 6 target countries where they set-up “National Innovation Coalitions” which co-ordinated a number of “Commodity Innovation Platforms”, and within these selected several ‘best-bet’ research outputs which showed promise for adoption and impact.

Lessons learned

The RiU programme identified the following as major lessons learned:

- Research products are just one element needed to “enable innovation in agriculture”. Addressing other pressing constraints, such as access to markets, credit and appropriate inputs and information, and establishing more supportive policy and institutional environments can create effective demand for appropriate research products.
- Brokering networks and alliances is a critical role in putting research into use and enabling innovation in agriculture. These brokerage roles need to be recognized as indispensable and unavoidable research costs, but currently investors appear unwilling to fund this crucial role and the capacities and competencies required are scarce in both the public and private sectors.
- New types of entrepreneurs are emerging in poor countries, which could be the key to enabling innovation in agriculture. These “bottom billion businesses” are starting to supply goods and services to poor farmers and other consumers. With relatively modest short-term investments by development partners, these entrepreneurs can unlock potential (including from publicly-funded agricultural research) and remove barriers to enable sustainable and responsive businesses to become established. The private sector is, however, unevenly developed amongst African countries and measures to enhance entrepreneurial skills and capacity are required.
- RNRRS legacy. A significant number of RIU’s activities are building on research undertaken during the RNRRS. Relatively small additional investments, often with private sector partners, appear to be effective way of putting this research into use.
- Innovation champions. Under the RNRRS, whilst much of the research undertaken succeeded in developing innovative approaches, usually these did not become institutionalised and failed to displace existing approaches. To put research into use requires a champion who is able to navigate complex political and institutional landscapes, building networks of practitioners and policy actors willing to advocate and promote the approach – and this is unlikely to be the originator of the research. A successful, champion needs stronger ownership of outcomes, strong networks with policy and entrepreneurial actors – and they may work in a private company.
- Flexible, fleet-of-foot and bold management. An important feature of RIU is its management style and general approach, which enables it to be flexible, fleet-of-foot and to take calculated risks. For example, in 2009 the Africa Country Programmes were made more autonomous, and flexibility funds were established to enable them to pursue promising opportunities and try things out as pilots with a minimum of bureaucracy.

Information and Resources

<http://www.researchintouse.com>

Many reports and discussion papers, (including a number of case studies and insights on innovation) are available on the RiU website.

Implications for PAEPARD

- Brokerage roles should be factored into research costs (proposals and budgets)
- Researchers are not necessarily the best champions – leaders? – of an innovation project
- Research projects need flexible management systems

CIAT - The Enabling Rural Innovation (ERI) Approach

Overview

The Enabling Rural Innovation (ERI) Approach emerged as a research for development framework from three main streams of CIAT’s experiences: farmer participatory research; rural agro-enterprise development; and natural resource management. It has been used in a number of projects in Uganda and Malawi during the approximate period 2000-2006 (when the work largely became integrated into the SSA-CP programme). CIAT regards ERI as a mutual collective learning process for empowering

rural communities and facilitating an enabling environment to access and generate technical and market information for improving farmers' decision-making.

Project Strategy

Beginning with an analysis and collective vision of a community's strengths and opportunities, the participation of the community's stakeholders is regarded as essential, including farmers, other community members, outside business entities, or governmental and non-governmental organisations.

A key component of the ERI approach was building and managing effective partnerships between the rural community and research and development organisations, government, and the private agribusiness sector. CIAT admits that finding the right balance between research and development, and partners committed to both was challenging. Staff turnover, over-commitment, lack of partnership competencies, communication and personality issues were all issues limiting effective partnerships. Face to-face interactions and negotiations of explicit memoranda of understanding, work plans and budgets were all important. Building partners' capacity in ERI concepts, principles, tools and methodologies through regular training events, mentoring, joint planning and review meetings were also critical in building the necessary human and social capital and sustaining institutional commitments.

Methods used to Strengthen Capacity

The different partners carried out capacity strengthening within the ERI projects. NGOs developed/strengthened community groups, trained trainers, set up demonstrations of resource development, developed links with other stakeholders in the commodity chain. Each community or farmer group was facilitated by a community development facilitator, who through meetings and training helped develop leadership skills, group development, record keeping, as well as providing specific technical support and linking groups with service providers

Private sector stakeholders also helped establish on-farm trials and market linkages.

Different NGO's used different methods and models to engage farmers. Interviews, focus and group discussions were used to establish a vision of future opportunities.

Classroom training was provided to individual farmers who then used their farms as model farms to teach neighbouring farmers. Another NGO used a "one stop centre" model, to legally register associations and to facilitate the groups to aggregate demands for services. Another used collective community strength-weakness-opportunities-threats (SWOT) analyses, and market visits by groups to assess the market demand characteristics and match them with their own biophysical and socio-economic potential. Farmer research and market groups were used to specifically promote gender equity and the participation of women and the poor.

Lessons Learned

Lessons learned by CIAT suggest that it is important to build the necessary amount of human capital and social capital to create institutional commitments and clarity in understanding of the roles, responsibilities and expectations of the different partners. It was also critical to develop early in the project a simple and functional participatory monitoring and evaluation system, to build in regular reflection activities with communities and partners, to ensure that lessons are documented, and to enable adjustments to the project to be made in a timely manner.

In terms of the type of partnerships, CIAT concluded that the ERI process has been more effective at the community level. Considerable efforts are still needed to forge effective partnerships with the private sector and high-level policy and government institutions and initiatives on marketing. These are key for sustainability of rural agro-enterprises and for scaling up, linking community-micro initiatives to high-level macro economic policies.

Information and Resources

<http://webapp.ciat.cgiar.org/africa/eri.htm>

<http://webapp.ciat.cgiar.org/agroempresas/ingles/index.htm>

Implications for PAEPARD

- Need for projects to include regular, joint reflection activities, documentation of lessons learned and re-planning as necessary
- Building partnerships with private sector and high level government (policy) require more effort than (research-community) local partnerships

Prolinnova

Overview

PROMoting Local INNOVation in ecologically-oriented agriculture and NRM (Prolinnova) is an NGO-initiated programme to build a global learning network to promote local innovation in ecologically-oriented agriculture and NRM. Agricultural research and development organisations have drawn up their individual Prolinnova Country/Regional Programmes (CPs/RPs) as well as joint international activities for mutual learning and policy dialogue. The focus is on recognizing the dynamics of indigenous knowledge (IK) and enhancing capacities of farmers to adjust to change. They operate in several countries in Africa, Asia, Latin America and the Pacific.

Prolinnova receives funding or Support from

- Core donors: Directorate-General for International Cooperation (DGIS), Ministry of Foreign Affairs, The Netherlands; and Rockefeller Foundation
- Activity donors: Action Aid International; NGO Committee of the Consultative Group on International Agricultural Research (NGOC-CGIAR); Technical Centre for Agricultural and Rural Cooperation – ACP-EU (CTA); DURAS Project Promoting Sustainable Development in Agricultural Research Systems; Evangelischer Entwicklungsdienst - EED (Church Development Service); Global Forum for Agricultural Research (GFAR); International Fund for Agricultural Development (IFAD); Swiss Centre for Agricultural Extension (LBL); and World Bank IK Program

Program Structure

In each country or region, a local NGO convenes the major ARD stakeholders. The Prolinnova NGO serves as secretariat for a National Steering Committee (NSC) made up of people from government research, extension and education, other NGOs and farmer groups. The NSC defines the CP/RP activities, ranging from farmer-led research to policy advocacy. It gives the CP/RP strategic guidance, helps mobilize resources and is the apex structure for accountability. A smaller core team is responsible for day-to-day implementation of programme activities.

The International Support Team (IST) supports country-level activities through overall programme coordination, networking, capacity building, coaching, web-based knowledge management, publishing and advocacy. The IST is made up of IIRR in the Philippines, ETC EcoCulture and CIS-VUA in the Netherlands, and the coordinators of the FAIR (Farmer Access to Innovation Resources) and PROFEIS and HAPID sub-programmes.

Capacity Building Experience

Prolinnova has experience in participatory learning and mentoring in building farmer-extension-research-education partnerships to promote local innovation and planned joint international activities. Other capacity building experiences include:

- International training of PID facilitators to then train research and extension staff in their own countries;
- Multi-stakeholder partnerships to enhance good practice and to harmonize their participatory monitoring and evaluation (PM&E) activities;
- Engaging in international partners' meetings and "writeshops";

- Policy dialogue various international ARD forums;
- Curriculum development to reinforce current activities in several CPs to influence the curriculum in education and training in agriculture and NRM; and
- Farmer-led documentation through participatory video to allow innovators to make their own documents for sharing with other communities and influencing policy.

For wider sharing of information, ProInnova works with existing electronic networks and databases that serve groups with similar interests; shares concepts and experiences in participatory innovation to bridge the digital divide through media (e.g. radio); magazines (e.g. *Appropriate Technology*, *Ground Up*, *LEISA Magazine*) and electronic newsletters. The ProInnova website (www.prolinnova.net) is the main tool used for wider sharing of information. Lastly, ProInnova collaborates with the international research centers CIAT, IFPRI and ILRI to organize the Innovation Africa Symposium (IAS).

Capacity Building Methods include:

- Developing inventories and databases of local innovations, innovators and organisations working together with them
- Bringing farmers, development agents and formal researchers together to plan and implement participatory experiments, starting from jointly prioritized local innovations
- Creating national and sub-national multi-stakeholder platforms to share information about local innovations and to learn jointly about PID and its institutionalization
- Building capacity to identify and document local innovation and engage in PID, through training workshops for farmers and scientists
- PM&E of joint activities, outcomes and impacts
- Creating awareness (through innovator fairs, mass media etc.) and engaging in policy dialogue with decision-makers in agricultural research, extension and education to create enabling institutional and policy environments for PID.

Lessons Learned

General lessons from ProInnova are that:

- Country-level partners should define the international networking, learning and other support mechanisms needed to support their work;
- The participatory planning at international level must mirror the approach taken at national and grassroots level: partners should develop and own a programme based on their self-defined needs and interests;
- Scaling up of farmer-led approaches to development start with finding out how farmers do informal experiments to develop and test new ideas for better use of natural resources;
- Understanding the rationale behind local innovation transforms how research and extension agents view local people;
- ProInnova experience stimulates interest on both sides (demand and supply) to enter into joint action;
- Local ideas are further developed in a participatory process that integrates IK and scientific knowledge; and
- Joint action and analysis lead to joint learning and further action.

ProInnova has also described lessons learnt in building its multi-stakeholder partnerships:

- *Respect differences in pace and capacities of partners.* Stakeholder organisations differ in the speed with which they can take on board new ideas, make decisions and act.

- *Clarify roles and responsibilities.* These need to be negotiated and spelled out clearly, and a well-defined governance structure should make the decision-making process in the partnership clear to all. However, the need for and speed of formalising the partnership depends on the history of interaction between the stakeholders and the legal context.
- *Avoid unnecessary bureaucracy.* Bureaucracy consumes people's time and energy, and erodes the commitment and enthusiasm of partners. This is one argument for keeping the partnership as informal as possible.
- *Encourage relevant change in roles.* The number, type and roles of partners will and should change over time. Specific organisations or even persons may play an important catalytic role at the initial stages of building the partnerships, but an indicator of success will be if this role changes so that all partners feel responsible for continuing to nurture the interaction.
- *Reward active partners.* Ways have to be found to reward all active members for the time and energy they bring to make the partnership work. This is not necessarily or only in the form of money for carrying out activities under the programme. It can include opportunities to attend training courses or workshops, and access to information, recognition and contacts.
- *Pay attention to good communication.* Good information flow is crucial for partnership. More than just sending messages and documents, this involves personal visits to members' offices, joint field visits, and involvement of members in training and information-exchange workshops. Attention must also be given to good communication within each partner institution.
- *Provide concrete examples.* Clear evidence of the existence of inspiring local innovations and experiments, e.g. in brochures or posters or innovation catalogues or on field visits, boosts the interest and commitment of current partners and attracts new ones.
- *Build on existing initiatives and networks.* The small amount of funds available for PROLINNOVA has forced CPs to build on existing initiatives, projects and networks. The CPs gain strength from the momentum and resources, at the same time as influencing the concepts and ways of working within the projects and networks.
- *Encourage own contributions.* External funds are needed for the work of initiating and building the partnerships and institutionalising PID, but a growing preparedness of partners to carry the costs of the PID is evidence of its institutionalisation.
- *A vision beyond projects.* There are many steering committees that oversee implementation of projects and are formed for the sake of them. A partnership has a greater chance for success if the partners can identify with the jointly formulated objectives, link these to their institutional mandate and commit themselves to them irrespective of individual projects.

The Prolinnova paper (see below) also discusses the benefits and challenges of NGOs as coordinators of multi-stakeholder partnerships.

Information and resources

<http://www.prolinnova.net>

Training materials on participatory innovation and development are available at: <http://www.prolinnova.net/trngmaterials.php>

Ann Waters-Bayer, Laurens van Veldhuizen, Mariana Wongtschowski and Chesha Wettasinha (2005) Multi-stakeholder partnerships to integrate participatory approaches into institutions of Agricultural Research and Development (ARD). Available at: <http://www.tropentag.de/2005/abstracts/full/35.pdf>

Implications for PAEPARD

- Prolinnova's experience and insights into benefits and challenges of NGO partnerships, as well as with participatory innovation and development.

The (ASTI) Framework (CTA-UNU-KIT)

Overview

In 2004, CTA commissioned UNU/INTECH to develop a methodological framework for analysing the Agricultural, Science, Technology and Innovation (ASTI) system in ACP countries. This framework aimed at developing recommendations for policy-makers to improve the innovation system and stimulate learning and continuous innovation by stakeholders, all based on a shared development vision. It included policy analysis and the mapping of critical actors in the innovation system, as well as assessments of the competencies and habits of the actors as well as a qualitative assessment of the linkages among the actors in the system.

In 2005, the Royal Tropical Institute of the Netherlands (KIT) reviewed the methodology, based on a number of initial case studies. Recommendations emphasized the need to develop a flexible toolkit rather than a general blueprint, given the diverse, location and time specificity of innovation systems analysed. The revised framework (CTA/UNU/KIT, 2005) also focused more strongly on the quality of interactive learning between actors through linkage analysis, and tools on the learning organization and organizational and institutional analysis.

The revised framework was used for additional case studies in Africa and the Caribbean and Pacific regions in following years. These focussed either on export commodities or those that were of importance for export diversification or food security. The resulting recommendations included strategies for strengthening stakeholder linkages as well as institutional and financial policy implementation. In particular, it was noted that the information and knowledge flows in the system between the academia and the enterprise sector needed to be improved to support learning and innovation in the specific sub-sector.

Capacity Strengthening Strategy

CTA also launched in 2005 a series of training workshops alongside the framework review, to bridge the gaps in the ASTI system. The main objective of these workshops was to develop the capacity of ACP professionals to apply the innovation systems framework to support ST&I policy development and implementation for improving the performance of ACP agriculture. Participants in these “Training of Trainers” workshops also subsequently led the case studies. KIT provided input in the curriculum of the training workshop, along with CABI in Kenya, the Vrije Universiteit and Wageningen University International, in close collaboration with CTA. The workshops integrated three training modules: 1) analyzing the ASTI systems; 2) demand-led research and research priority setting; and 3) farmer experimentation and innovation. The training workshops also put forward recommendations for bridging the gap between service providers, policy makers, private enterprise and farmers by including farmer and small-scale enterprise innovation systems and policy and systems innovation into the overall ASTI systems approach.

These 5-day workshops involved mainly presentations and working group discussions, and also using the previous ASTI case studies. Key concepts also included innovation, national and agricultural innovation systems, conflict management, training methods and approaches, facilitating multi-stakeholder processes, and participatory monitoring and evaluation.

A sample programme is available at <http://knowledge.cta.int/en/content/download/8248/90162/file/Final+ASTI+TOT+programme+2006.doc>

Participants in the “training of trainers” workshops were mainly researchers or lecturers seen as leaders or change agents, who were willing to train others and facilitate multi-stakeholder processes that enhance understanding of innovation systems.

Information and Resources

<http://knowledge.cta.int/en>

Implications for PAEPARD

- Participants from CTA innovation workshops represent useful “pool” of AI facilitators

The BIO-EARN Programme

Overview

The Eastern African Regional Programme and Research Network for Biotechnology, Biosafety and Biotechnology Policy Development (BIO-EARN) was initiated as a joint effort between Swedish Government and four Eastern Africa Countries of Ethiopia, Kenya, Tanzania and Uganda to address the challenges and maximize on the application of biotechnology so as to realize the potential benefits of the associated techniques under local conditions in the region.

The strategic purpose of the BIO-EARN Program was to build capacity and support infrastructural development during Phases I (1999-2004), and to engage in research for development (R4D) within agricultural, environmental, industrial, bio-policy and bio-safety development areas in Phase II (2006–2009).

Over the ten years' period, the Programme has distinguished itself by combining several aspects of biotechnology development (agricultural, environmental, bio-policy and bio-safety) within one Program. The collaborative research has been undertaken by 35 institutions from Ethiopia, Kenya, Tanzania and Uganda, more than 100 scientists and an even larger number of policy makers and practitioners from the region. The BIO-EARN Programme, serving as a regional network of excellence has been effective in developing Eastern Africa capacity in biosciences, biotechnology policy and biosafety assessment with support to several research consortia, linking countries in the region and forging collaboration with partners globally.

The outcomes of these investments include: (i) Regional capacity to address existing and new bio-resource related challenges was strengthened through human and infrastructure development; (ii) an interdisciplinary body of knowledge to improve the performance of the agricultural and environmental sectors based on sustainable natural resource use was created; (iii) competitiveness in R4D among partner universities and research institutions was enhanced; and (iv) an integrated innovation approach involving the environment, agriculture, food and nutrition was initiated.

The Inter University Council for East Africa (IUCEA) has been the hosting and implementing institution for the BIO-EARN Programme.

Information and Resources

<http://www.bio-earn.org/>

There are over 200 publications emanating from the Programme activities currently in the public domain, including the “Biosafety Resource Book” (<http://www.bio-earn.org/Content/Downloads/biosafety/2004-Biosafety%20Resource%20Book.pdf>), and others on intellectual property rights, public-private partnerships, and policy in biotechnology, etc.

The success, investments, achievements and experiences from BIO-EARN Programme will be captured and further developed by the successor Program, the Bio-Innovate.

Organisations

The Partnering Initiative (TPI)

Overview

The Partnering Initiative (TPI) is a global programme of the International Business Leaders Forum (IBLF), an independent, not-for-profit organisation working with leading global companies on responsible business solutions to sustainable development challenges. The TPI is implemented in association with the European Partnership for Sustainable Development, the Overseas Development Institute (ODI), the United Nations System Staff College and the University of Cambridge Programme for Industry. Based in the UK, the TPI operates around the world through a growing network of associates – all trained and experienced partnership practitioners.

The TPI see itself as a global hub for learning about partnerships, enabling the sharing of practical experience, contributing to cutting-edge knowledge, offering support, training and advice as well as setting standards in what constitutes good partnering practice. TPI recognises that the effective collaboration between stakeholders with different missions, interests, cultures and even vocabularies is difficult to achieve. “It requires common understanding across partners; collective leadership; a collaborative mindset and a key skill set; and both strong relationship management and output-focussed project management. With these critical elements in place, partnerships can achieve real impact. Without them, partnerships are likely to under-perform or fail altogether”.

Organisational Strategy

The Partnership Brokering Project comprises a comprehensive training programme, action research and a communications campaign. It is designed to set standards and professionalise brokering as well as to produce compelling evidence of the importance of brokering in effective partnerships. The project aims to change the partnering landscape for the better by promoting good practice and influencing leaders, planners, donors, policy makers and practitioners working in all sectors.

In 2003 the IBLF in collaboration with the UK’s ODI established the “Partnership Brokers Accreditation Scheme” (PBAS). The aims of this scheme were twofold: to create a new profession – that of ‘partnership broker’ - to ensure that multi-stakeholder partnerships achieve their ambitious goals; and to create professionalism and integrity by ensuring that those operating as partnership brokers work to the highest possible standards. Accreditation is achieved through participation in a 5-day “Partnership Brokers Training” (“Level 1”), followed by a 3-month mentored professional practice (“Level 2”). By the end of 2010, there were over 500 graduates of the Partnership Brokers Training programme of which over 240 had gone on to be accredited brokers.

In addition, the TPI has developed a portfolio of training and partnering skills-building courses, including:

- Awareness-raising for senior managers, to help them understand the value and potential of partnering and to explore how to develop a partnering approach within their own organisation (e.g. for Aga Khan Development Network in Pakistan, Kenya, Tajikistan, Mali; the British Council UK partnership managers)
- Partnering in Practice: presenting a partnership framework and an outline of the principles, procedures and key performance indicators of good partnering (e.g for the Aga Khan Foundation, global staff team; the Business Community Foundation, India; Microsoft; Nokia, Plan International).
- Partnering Skills Training: building individual skills – often using tailored case studies and role plays – in cross-sector facilitation, interest-based negotiation, communications, partnership management and how to conduct partnership reviews (e.g. for the Department for Education and Skills, UK; Nike/EMEA corporate responsibility team; UN agencies; World Bank project managers).

- Topic-based Training: focused work on a specific issue or challenge, e.g. partner selection; resource-mapping; creating a partnership agreement; partnership reviews; managing exit strategies, etc. (e.g. for UNDP, World Vision, and others).
- Institutional Capacity Building: to enable organisations to partner more effectively and to become a ‘partner of choice’ (e.g. with GTZ, World Vision).

Although TPI’s tailored training is often designed for one organisation (a company, an NGO, a UN agency or a government department), it has also worked with whole partnerships. This can be particularly valuable since it means that all partners have been through the same learning experience and can apply their learning immediately to the challenges they face together in their partnering work.

Courses range from half a day to 5-days in duration. Sometimes organisations choose to run a 3-day skills-building course, followed by a period of mentored professional practice over 3 months and finishing with a 2-day follow up workshop to explore issues that have arisen and to hone partnering skills in the light of experience of what is needed on the ground.

Capacity Building Approach

TPI trains cross-sectorally, wherever possible, in the belief that learning is richer and more real if participants work and learn together across traditional sector boundaries. It builds on frameworks, case studies and practical tools, based on action research and a wide range of partnering experience. Individuals are encouraged to be intuitive and imaginative on the one hand, as well as rigorous and output oriented on the other. TPI’s training team (trainers, tutors, mentors and specialists) use a wide range of training methods, including experiential learning, serious games, role play and mapping.

The aims of the “Level 1”, 5-day intensive face-to-face training include:

- Deepen understanding of professional partnership brokering
- Introduce brokering concepts and practical tools
- Build key brokering skills and professional confidence
- Explore the challenges of partnering from different partner perspectives
- Articulate the benefits (and risks) of brokering
- Promote a ‘reflective practice’ approach
- Establish good practice principles and professional brokering standards

Participants from the 3-day course in Partnering Practice are expected to have gained:

- Understanding of the rationale for, and risks of partnering and when, and when not, to partner;
- Appreciation of the drivers, societal roles and mindset of each sector;
- Clarity over what constitutes a ‘transactional collaboration’, what is a ‘genuine partnership’ and where each may be appropriate;
- Appreciation of the ‘guiding principles’, challenges and success factors behind effective partnership;
- Understanding over what it takes to be a ‘good’ partner, and development of some of the skills and mindset required;
- Understanding how to create agreements, implement, manage & review partnerships successfully;
- Familiarity with the ‘Partnering Cycle’, a framework for the development and management of partnerships.

Information and Resources

<http://thepartneringinitiative.org/>

<http://www.partnershipbrokers.org/>

TPI undertakes original research that explores emerging partnership issues and innovative practice, and has produced a number of publications intended to disseminate new, practice-based knowledge through accessible systems and user-friendly dissemination channels:

- *The Partnering Toolbook* offers a concise overview of the essential elements that make for effective partnering across the sectors.
- *The Brokering Guidebook* illuminates the critical part played by brokers in multi sector partnerships as both process managers and behind the scenes leaders.
- *The Case Study Toolbook* is designed to help individuals to create their own case studies more successfully.
- *Talking the Walk* takes a highly practical look at the realities of communicating in and about partnership.
- *Moving On* addresses the exit aspects of a partnership - a part of the cycle often unplanned or mishandled
- *The Fit for Purpose Toolbook* is designed to help practitioners and partners deepen organisational engagement, impact mainstream practices and influence policy makers.
- *Getting Better* is a toolbook designed to help partnership practitioners review their effectiveness, measure the value added and ensure the impacts are sustainable

Implications for PAEPARD

- TPI has valuable resource material on partnerships
- Participation in the TPI short courses maybe useful to improve the competence of “trainers of AI facilitators”.
- Tailor-made courses by TPI are one option for PAEPARD (if training service providers from within the current PAEPARD partners is insufficient)

International Centre for development-oriented Research in Agriculture (ICRA)

Overview

ICRA is a capacity building organisation. It was established in 1981 by European members of the Consultative Group on International Agricultural Research (CGIAR). Since then, it's strategy has evolved from training individual scientists, to interacting more with institutional partnerships in targeted countries in an attempt to build national capacity. It stimulates innovation by strengthening the abilities of people and organisations in the rural sector, research and education to collaborate and learn from each other. It does this by: developing partnerships with national or regional organisations, building national teams that can facilitate learning between rural development partners and develop academic learning programmes, and learning from experience and diffusing good practices to improve rural innovation and organisational change.

Capacity strengthening strategy

The fundamental characteristics of ICRA's strategy include:

- The context of real-world challenges: learning about rural systems within the context of a shared R&D challenge or multi-stakeholder platform where different individual and organisational interests are in play.

- Multi-stakeholder and interdisciplinary interaction: an appreciation of the contributions of different stakeholders or disciplines, and a willingness to listen to and learn from diverse viewpoints. Teamwork. Learning in small, diverse groups (social learning) is considered more effective than individual learning.
- Action research-learning cycles: a cyclical and iterative process of plan-act-observe-reflect-plan provides a basis for improving action through changing behaviour, as well as simply accumulating new knowledge.

For 25 years or so, ICRA's main learning programmes were of 6-7 month's duration (later reduced to 3.5 months). Half of this time consisted of workshops in Europe (lectures and small group work based around case studies or sharing of experience, and field exercises with local value chains). The other half of the programme consisted of a "field study" in the South, where inter-disciplinary and inter-cultural teams worked with a host organisation or project to appraise research and development needs.

In recent years, ICRA has diversified activities, including for example:

- Collaborative "in country training" programmes in Ethiopia, Uganda, South Africa, Cuba/Venezuela, West Africa, etc. These have been designed to support organisational change and development (e.g. EARO in Ethiopia, NARO in Uganda, ARC in S. Africa) as well as particular projects (e.g. IFDC's value chain based "From Thousands to Millions" project in West Africa, the SSA-CP "innovation platforms" in Uganda). The structure of these learning programmes has varied, but all consist of a sequence of workshops (generally 1-3 weeks duration each), where learning is applied to and reviewed within the context of ongoing projects/programmes.
- Shorter 3-week courses in Europe, including, for example a) "Interactive learning competency for rural innovation in higher education", for lecturers and researchers working in higher agricultural and rural education organisations; and b) "Design & management of interactive learning in rural innovation" for facilitators of rural innovation platforms/ multi-stakeholder collaboration. These programmes are designed to support specific programmes or projects (e.g. new academic programmes in universities; or projects such as DONATA), and as such integrate new concepts and skills development with the specific planning of these initiatives.

Lessons learned

- Learning to work together (either in interdisciplinary teams, or in multi-stakeholder stakeholder partnerships) requires an iterative action-research-learning process. Short (1-3 week) training events can only allow the introduction of concepts, and need to be followed up by further mentoring, and/or continued series of opportunities to reflect on, and learn from experience. The skill of reflection as a means to learning therefore is critical.
- Learning can only take place in a real world, and therefore in a complex, messy, context. The organisational and institutional constraints that hinder or provide little incentive for individuals to change the way they do things need to be tackled – not considered as fixed parameters or "rules of the game". This means that building capacity for change in ARD has to be undertaken at different levels: individual, organisational and institutional. Changing organisations (management, procedures, incentives, culture) requires influencing senior management. Changing the way organisations interact requires brokerage and facilitation of their interaction. All this takes time.

Information and resources

<http://www.icra-edu.org>

A number of training materials can be downloaded from the site at:

<http://www.icra-edu.org/page.cfm?pageid=anglolearnhome> (in English), and

<http://www.icra-edu.org/page.cfm?pageid=francoradhome> (in French)

Also available is:

Integrated Agricultural Research for Development (IAR4D), A Concept Paper for the Forum for Agricultural Research in Africa (FARA) Sub-Saharan Africa Challenge Programme (SSA CP), available at:

http://www.icra-edu.org/objects/anglolearn/IAR4D_concept_paper.pdf

“Collective Innovation – A Resource Book”, published in collaboration with the National ARD Task Force in South Africa, available at:

<http://www.icra-edu.org/page.cfm?pageid=publicenglishjointpublications>

Implications for PAEPARD

- ICRA is a PAEPARD partner. Its experience with training and coaching of AI facilitators (e.g. in DONATA) is relevant, although ways need to be found to distil the current 3-week programme offered by ICRA.

African Capacity Building Foundation (ACBF)

Overview

The African Capacity Building Foundation was established on February 9, 1991. The establishment was the outcome of a partnership between African governments and the international donor community. The creation of ACBF was in response to the severity of Africa’s capacity needs, and the challenge of investing in indigenous human capital and institutions in sub-Saharan Africa. The ACBF mission is to build human and institutional capacity for sustainable growth and poverty reduction in Africa. Its mandate is to establish priorities and development policies and programmes to promote capacity building, establish processes for coordinating capacity building efforts and strengthen capacity utilization in policy analysis and development management. The Foundation’ mandate also covers addressing issues of brain drain and mobilizing financial and technical resources for increased investment in human capacity and manpower development in Africa. The major sponsors of the ACBF are the African Development Bank, the United Nations Development Programme and the World Bank, the IMF as well as 42 African countries and non-African countries and institutions.

Programme Structure/Membership

ACBF is designed to serve as a coordinating mechanism for donor support to capacity building on the Continent, through the pooling of resources and common governance and reporting system. As at the end of December 2009, the ACBF portfolio comprised 111 active projects and programmes across the Foundation’s six core competency areas. The distribution is as follows: economic policy management/training institutions (44.5%); financial management and accountability (11.7%); public administration and management (12.5%); national parliaments and parliamentary institutions (7.0%); national statistics and statistical systems (5.5%) professionalisation of the voices of the private sector and civil society (18.8%).

With regard to membership, the Foundation currently has 48 full members comprising: 4 international development institutions (the African Development Bank, United Nations Development Programme, The World Bank and International Monetary Fund); 44 countries; and one honorary member, the African Union.

Capacity Building Experiences

Since its creation, ACBF has supported a total of 246 programmes and projects in some 44 Sub-Saharan African countries and committed more than US\$ 400 million to capacity building. Over the last two decades, ACBF has focused on building sustainable, effective institutions and policies to deliver development results for poverty reduction. ACBF has worked in fragile states, such as Rwanda and Liberia for example, to respond to the urgent needs of such societies, by identifying and filling gaps within the current capacities of local and international actors. Lessons learned from more than 15 years of support in the creation of Think Tanks and Policy Units have allowed the Foundation

to embed effective approaches to capacity development in its other interventions, as well as supporting the creation of similar policy hubs in other countries.

The Foundation's scope to covers the following areas:

- Support to projects and programmes designed to strengthen the core public sector and its interface with the private sector and civil society in order to enhance their contributions to good governance, poverty reduction and sustainable development.
- Support to regional initiatives in the areas of training, policy analysis, applied policy research, trade policy development and negotiations as well as policy advocacy.
- Support for the emergence of institutional frameworks for country ownership and coordination of capacity-building activities as well as for participatory development.
- Knowledge generation and sharing for the transformation of the Foundation into a knowledge-based institution and to support the emergence of knowledge-based economies in Africa.

Capacity Building Methods

- Grant making: ACBF provides grants to capacity building institutions rigorously selected on the continent in support of operations in the areas of the Foundation's mandate. Once the grant is approved, a Grant Agreement is signed outlining the obligations of the parties and ACBF exercises a regular supervision of the implementation of the programmes or project supported.
- Knowledge and Learning: generates, collates, synthesizes and disseminates knowledge and information on capacity building and development management to enhance and to strengthen the quality of the Foundation's operations and enhance interventions in capacity building and the management of the development process on the continent.
- Knowledge Management: ACBF generates and collects knowledge through supporting relevant research and studies on capacity building. ACBF also promotes the sharing of knowledge between African countries as well as South-South Cooperation in capacity building.
- The Monitoring and evaluation (M&E): provides a framework for tracking organizational results as well as ACBF's contributions to development effectiveness. The system also generates information to guide management decision and learning in order to improve performance.

Lessons Learned

Lessons from the ACBF include:

- The foundation effectively serves the African continent through projects and programmes and knowledge sharing activities in capacity building and development management;
- Monitoring and Evaluation presents an opportunity to develop a systematic assessment of the Foundation's performance and serve as a tool for efficient resource allocation, operational effectiveness, and learning from lessons.

Document consulted

The African Capacity Building Foundation Available at: <http://www.acbf-pact.org> (Accessed: April 20, 2011)

The Regional Universities Forum (RUFORUM)

Overview

RUFORUM is a consortium of 29 universities in Eastern, Central and Southern Africa, was established in 2004. The consortium originally operated as a program of the Rockefeller Foundation from 1992. RUFORUM has a mandate to oversee graduate training and networks of specialization in the Common Market for Eastern and Southern Africa (COMESA) countries. Specifically, RUFORUM recognizes the important and largely unfulfilled role that universities play in contributing

to the well-being of small-scale farmers and economic development of countries throughout the sub-Saharan Africa region.

Capacity strengthening strategy

In collaboration with member universities, RUFORUM implements a number of capacity strengthening projects, with funding from European sources (ACP Science and Technology; ACP Edulink). These projects include:

The “Innovations” Project, in partnership with Egerton University (Kenya), Makerere University, (Uganda), University of Malawi, Bunda College of Agriculture (Malawi) and KIT (Netherlands). This project has the main objectives to: 1) enhance partnerships for effective networking & institutional change management; 2) establish and implement a part-time mid-career professional training course on the facilitation of agricultural innovation processes.

The “Catalysing Change” Project, in partnership with Sokoine University of Agriculture (Tanzania); Makerere University, University of Malawi, Bunda College of Agriculture, and the University of Greenwich (UK). Main objectives are to develop leadership, management and crosscutting professional competencies (facilitation, management, team building, communication), of university managers and lecturers.

The Agricultural and Rural Innovations Studies (ARIS) Project, coordinated by Makerere University, and also in partnership with Egerton University, Sokoine University of Agriculture. The specific objective of the project is to strengthen the capacity of a consortium of three universities in Eastern Africa to train PhD level professionals in agricultural and rural innovation.

The Enhancing Research Capacity and Skills (ERESA) Project, in partnership with Makerere University, Jomo Kenyatta University of Agriculture and Technology, JKUAT (Kenya); Bunda College of Agriculture, University of Zambia, and Reading University, (UK). This project includes main activities of short courses to enhance research skills of academic staff and scientists in national agriculture research and extension organisations (NARES); and increased inter-institutional networking.

The Quality Assurance Management (QAM) Project in partnership with Makerere University, Egerton University, Bunda College of Agriculture, University of Zambia and Montpellier SupAgro (France). The purpose is to strengthen capacity for shared training, quality assurance and knowledge management for lesson up-scaling. Relevant issues include credits transfer systems, quality assurance mechanisms, resource mobilization, competitiveness of the graduate training programmes and the need for new teaching delivery and management methods that emphasise facilitation and team building.

The “Outreach” project. in partnership with Makerere University, Moi University School of Agriculture and Biotechnology in Kenya, Bunda College of Agriculture and Wageningen University and Research Centre (WUR) in The Netherlands. The specific objective of the project is to facilitate the creation of responsive university programmes (research, education and outreach) that deliver competent graduates to support farmers and small and medium enterprises (SMEs) establish sustainable agro-food value chains.

All of these projects follow a strategy of strengthening university capacity through one or more of the following:

1. Supporting graduate studies in key areas;
2. Short workshops for university staff, to exchange experience and upgrade specific technical, managerial and personal skills;
3. The establishment of new and joint, regional PhD/Msc programmes in topics such as in innovation, research methods;
4. Providing opportunities for staff exchange.

Implications for PAEPARD

RUFORUM is a PAEPARD partner, and co-manager of WP4. Its experience and expertise means that it is well placed to a) identify facilitators for both capacity-strengthening workshops (for partnership inception and agricultural innovation (AI) facilitators within the project; b) identify candidates for the pool of AI facilitators; and c) disseminate information on the project to universities within the region.

Information and resources

<http://www.ruforum.org/>

ANAFE

Overview

The African Network for Agriculture, Agroforestry and Natural Resources Education (ANAFE), was registered as an international NGO in June 2007. Its objective is to strengthen the teaching of multi-disciplinary approaches to land management. Over the years, the ANAFE mandate has been expanded to include agriculture and natural resources education. ANAFE's current mission, stressed in its 2008 – 2012 strategy is "To improve Agricultural education for impact on development"; working closely with Agriculture, Agroforestry and Natural Resource Management initiatives in Africa.

The ANAFE Secretariat is hosted at the International Centre for Research in Agroforestry (ICRAF) headquarters in Nairobi. This provides advantage for network management, linkages with the research and development activities of ICRAF and its partners, and convenient communication facilities. Administratively, the network is attached to the World Agroforestry Centre (ICRAF).

The Swedish International Development Cooperation Agency (SIDA) has provided financial support to ANAFE since July 1991. Members of the network contribute to the cost of managing specific activities.

Membership

ANAFE has national chapters NAFTs (National Agricultural Forum for Training) in 36 member countries. Members of ANAFE are colleges and universities in Africa offering education programmes in Agroforestry, Agriculture, Forestry, Natural Resource Management and Environment, including related topics in social sciences. ANAFE has 136 member colleges and universities in 36 African countries. It is among the largest working networks of educational institutions in Africa. Colleges and Universities outside Africa may apply for Associate membership. ANAFE collaborates with ICRAF's regional programmes to link research with education and training. ANAFE also collaborates with several regional and development organisations on education, training and research as well as providing human resources to form a pool of trainers. These include the Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA), the Southern African Development Community (SADC) and the West African Council for Agriculture, Research and Development (CORAF).

Program Structure and Projects

ANAFE works through four regional chapters known as RAFTs (Regional Agricultural Forums for Training - one each in Eastern and Central Africa (ECA), Southern Africa (SA), the Sahelian countries (Sahel), and the Africa Humid Tropics (AHT)).

Projects include Strengthening Africa's Strategic Agricultural Capacity for Impact on Development (SASACID); Strengthening Capacity for Agricultural Research and Development in Africa (SCARDA); Mobilizing Regional Capacity Initiative improving the availability and relevance of Agricultural Learning Resources in Africa; and Revitalizing Forestry Education in East Africa.

Capacity Building Experiences

A wide range of experience (activities) include policy advocacy, institutional reforms to link education to development, review of curricula, development of learning resources, facilitating

knowledge sharing, promoting women and youth in agriculture, HIV/AIDS mitigation, sound environmental practices, mitigation and adaptation to climate change, quality education assurance and risk management in agriculture. Also, ANAFE has facilitated educators and researchers to transform and improve research results into learning objects useful at all levels from basic education to university programmes. The products or services emanating from the collaborations include e-learning, experiential and problem-based learning, practical training with internships, agribusiness studies and training in teamwork and other systems skills that are needed for effective interdisciplinary and multi-institutional innovation systems. The wide networks of the UniBRAIN partners, i.e. ANAFE, ATPS, FARA-SROs and PanAAC are vital assets in facilitating sharing of knowledge and experiences to accelerate future agribusiness innovation.

Capacity building methods include:

- Development of agricultural business innovations in a conducive institutional setting, linking universities, research institutions and private sectors;
- Production of agribusiness entrepreneurs and innovators by improving BSc and MSc agribusiness teaching and training;
- Sharing and up-scaling innovation outputs, experiences and practices through improved networking and channels of communication.

Their training modules are available at: <http://www.anafeafrika.org/anafemoodle>

Lessons Learned

The lessons learned include:

- Contextualized learning resources improve relevance and utility of the capacity building;
- Collaboration achieved in developing contextualized learning materials is essential in improving quality of teaching and learning in ARD in Africa;
- There is goodwill by lecturers to develop contextualized material but a platform is lacking hence ANAFE efforts need to be up-scaled;
- People respond to motivation;
- Partnerships and networking are imperative in the promotion of contextualized learning materials production;
- Staff cannot produce good contextualized learning materials without training;
- Tertiary agricultural institution graduates need to “hit the ground running” upon graduation; therefore they can only manage that if they have been adequately grounded on the dynamics of rural development during training, and
- In addition to working closely with the communities during the training period, local examples need to be brought into the learning materials “to contextualize” the learning experience.

Further information

The African Network for Agriculture, Agroforestry and Natural Resources Education (ANAFE). . <http://www.anafeafrika.org> (accessed April 20, 2011)

Natural Resources Institute (NRI), UK

Overview

The mission of the NRI “...is to provide distinctive, high quality and relevant research, consultancy, learning and advice in support of sustainable development, economic growth and poverty reduction.”

Capacity strengthening is therefore a key dimension across the research, advisory and teaching activities of NRI, which recognizes the crucial importance of institutional development and capacity

strengthening to enable organisations to contribute effectively to the development process. NRI is a also member of AGRINATURA, which is an association of over thirty-five European universities and research organisations involved in agricultural research, education, training and capacity-strengthening for development

Capacity Strengthening Strategy

As an integral part of Greenwich University, offers a number of MSc programmes (Natural Resources, Rural Development Dynamics; Food Safety and Quality) programmes, as well as a number of short courses (mostly on technical subjects).

In the South, NRI's efforts are mainly linked to specific projects. Examples are:

SCARDA. NRI was a partner in the SCARDA programme, providing a range of capacity-building services in support of AR4D, research management and organizational change management (see section on SCARDA). Methods used in SCARDA include participatory value chain mapping, stakeholder mapping, swot/force field analysis, shared learning workshops, training workshops, etc.. Service providers were mainly NRI staff in collaboration with a local agency such as ESAMI

ICART. NRI won 3 projects from the competitive grants scheme under ICART (see section on ICART).

C:AVA (Cassava: Adding Value for Africa). NRI is the implementing agency for the C:AVA project funded by the Bill & Melinda Gates Foundation, it aims to develop the value chain for high quality cassava flour [HQCF]. C:AVA is not a research project although it has a research component, but a major element of the project is building local capacity to benefit from participation in the value chains for value-added cassava products. Capacity building is therefore directed at community groups – farmers and cassava processors and services are provided by local NGOs in topics such as group formation and business management.

Lessons Learned

From its general experience, lessons learned by NRI on capacity strengthening include the following:

- Learning events should be restricted to no more than 20 participants in order to ensure everyone is fully engaged
- Events involving senior staff and especially top managers and policy makers have to be held some distance from their place of work, otherwise they drift away to meet other obligations.
- Persistent advocacy is required to engage with and encourage full participation in the project the by private sector stakeholders.
- The public sector stakeholders are located in at least two and perhaps, three separate ministries which all have to be involved at the top level from the outset of the project (e.g. Agriculture, Education and Local Government)
- If NARS leaders do not understand and support the need for organizational and institutional change to facilitate the implementation of AIS, demand-led, market-led approaches to agricultural R & D, little sustainable progress in that direction will be achieved.
- There is a need to identify a 'champion' among policy makers in the appropriate Ministry, who is willing and able to follow the project from inception to conclusion.

Information and resources

<http://www.nri.org>

Implications for PAEPARD

- NRI is a member of AGRINATURA, and the PAEPARD Consortium. Its experience with FARA capacity strengthening experience is valuable. It has staff with skills in capacity building and teaching resources for AR4D/AIS/partnership building

The Centre for Development Innovation (CDI)

Overview

The Centre for Development Innovation (CDI) is an interdisciplinary and internationally focused unit of Wageningen University & Research (WUR) centre. The Centre works on processes of innovation and change in the areas of secure and healthy food, adaptive agriculture, sustainable markets and ecosystem governance. The 60 staff of CDI help link the broader expertise of WUR (with 6,500 staff) to the global challenges of sustainable and equitable development, through facilitating innovation, brokering knowledge and supporting capacity development.

CDI works with a wide range of partners and clients in more than 60 countries. These include International agencies (World Bank, EU, IFAD, FAO); national governments in countries with developing and transitional economies; the Dutch ministries of Foreign Affairs and Agriculture, Nature & Food Quality; national & international NGOs; education and research institutes: universities and colleges; producer organisations; and agri-business (local entrepreneurs, small and medium scale businesses, international agri-food corporations, banks).

CDI assists stakeholders to develop and implement effective learning and innovation processes. It regards capacity development as the process by which individuals, organisations and institutions enhance and organise their systems, resources and knowledge. This requires integrated processes of learning and change across individuals, organisations, networks and social institutions. The degree of capacity development is reflected in their abilities, individually and collectively, to perform functions, solve problems and achieve objectives. CDI sees a growing demand for need-driven and interdisciplinary capacity development, to complement traditional forms of academic education. It regards this kind of capacity development as going beyond 'training', to involve longer-term processes of engagement and on-the-job facilitated learning.

Capacity Strengthening Strategy

The Centre offers a range of capacity development services at different levels: for individuals, teams, organisations and institutions. These include open-access and tailor-made training activities, as well as targeted support to organisations to improve processes of leadership, planning and learning. Where possible, it offers its services as part of integrated and mutually reinforcing innovation and change trajectories. Interactive learning and training methods are designed to build on existing experience and enable new ideas and methods to be put into practice.

As part of its services, CDI offers about 40 regular and tailor-made courses every year, in both the Netherlands and in the South. Courses planned in the Netherlands include, for example:

- Facilitating multi-stakeholder processes and social learning: advanced course in the use of participatory approaches for institutional change. Next course date: 05/09/2011 - 23/09/2011.
- Local governance for rural decentralisation: multi-stakeholder processes for institutional strengthening. Next course date: 27/02/2012 - 09/03/2012
- Competing claims on natural resources – professional qualities for managing conflict in NRM towards sustainable development. Next course date: 20/02/2012 - 02/03/2012
- Participatory planning, monitoring & evaluation - managing and learning for impact. Next course date: 12/03/2012 -30/03/2012

These courses use conceptual knowledge to structure participants' own experiences, and offer valuable opportunities to reflect and analyse with peers on new approaches, tools, methods and their practical use and relevance.

In collaboration with other Wageningen UR units, CDI also conducts action research on value chains. An example is the collaboration with Agri-ProFocus, a network of Dutch organisations working on farmer entrepreneurship and market access in developing countries. In Rwanda, Zambia, Niger and Uganda CDI designs and facilitates multi-stakeholder processes that bring together Dutch and local organisations, enabling collaboration along different value chains or themes, such as financial services.

Information and Resources

<http://www.cdi.wur.nl/UK/>

<http://www.cdi.wur.nl/UK/resources/Publications/>

<http://portals.wi.wur.nl/msp> (portal on multi-stakeholder processes)

<http://portals.wi.wur.nl/ppme> (portal on participatory planning, monitoring and evaluation)

Implications for PAEPARD

- WUR is member of AGRINATURA-EEIG.

Capacity Building International (INWENT)

Overview

Inwent is commissioned by the German Federal Government, the German business sector, and the German Länder. It is a non-profit organization with worldwide operations dedicated to human resource development, advanced training and dialogue. Since January 1, 2011 they are part of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH. The GIZ brings together the long-standing expertise of the Deutscher Entwicklungsdienst (DED) gGmbH (German development service), the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH (German technical cooperation) and Inwent – Capacity Building International, Germany. Their objective is to shape globalization fairly and encourage sustainable development.

Inwent is organized in seven departments: Planning and Monitoring; Good Governance and Social Development; Sustainable Business Development in Industrialised and Transition Countries; Environment, Natural Resources and Food; Cooperation with the Governments of the Federal States / Development-related Education; Training Centre for Development Education; and Administration.

Capacity Building Experiences

Inwent works together with people in key positions, assisting them in shaping processes of change in their own countries. Their capacity building programmes are designed for experts and executives from politics, administrations, the business community and civil society. Inwent qualifies people to pass on their knowledge to others and effect long term structural changes. They employ methods of change management in their advising. These include development consulting, process facilitation and coaching. Their experiences include:

- *Capacity building* which qualify and link experts and executives and decision makers from politics, the business sector and civil society, providing support as they shape operational, organizational and political processes of change.
- *Advanced education and training* which offers programmes for experts and executives worldwide that are both practice-oriented and tailored to specific professions. The training seminars are designed for people who work at government ministries, organisations and firms.
- *Building networks* which provide a forum for political actors and representatives from civil society and the business sectors to talk in an informal setting and seek solutions for regional and international issues; offering participants the opportunity of expanding professional and personal contacts, of creating and joining global networks.
- *E-Learning and communication* across borders with online users from all five continents deploy INWENT online classes and virtual work spaces to meet for learning, talking, working on projects, and exchanging knowledge with each other.

Capacity Building Methods used include:

- *Advanced training seminars* which combine theoretical units with professionally specific practices and multidisciplinary key qualifications such as management skills and conflict training.

- *Practice orientated International Leadership Training (ILT) programme* – Young managers from developing and transition countries initially participate in a six month preparation phase where they learn professional and language skills and design a project to implement after returning to their home countries. Participants then spend an entire year in Germany. During this time they deepen their professional know-how and expand their skills in management and processes of change. A four-month internship phase at a German company helps participants reinforce their newly acquired knowledge and forge professional contacts.
- Three types of *dialogue*: global political, sector political and expert.
 - Global political dialogues are generally initiated by the Development Policy Forum (EF) on behalf of the Federal Ministry for Economic Cooperation and Development (BMZ).
 - Sector political dialogues are growing in importance. Recipient countries are increasingly shaping development cooperation in their countries themselves.
 - Expert dialog, offered by Inwent in the form of workshops, seminars or conferences, provides experts with the opportunity of sharing information.
- *The alumni programme* which offers former participants different forms of support, such as professional alumni outreach and regional offers.
- *The Global Campus 21®* e-learning platform where members can exchange documents, communicate with each other and work together to find solutions to problems in virtual working spaces.

Lessons Learned

GIZ lessons include:

- The understanding that the world is growing closer together; therefore worldwide learning has become an important professional and personal qualification;
- Social and ecological responsibility is part of a modern corporate approach;
- Working closely with the business sector is important to reach own development focused objectives;
- Organisations looking to enjoy success on international markets need employees who have the skills act on the global stage; and
- Participants learn and want to work in a stimulating political and scientific environment.

More information

Gesellschaft für Internationale Zusammenarbeit (GIZ)

<http://www.inwent.org> (accessed: April, 14 2011)

Institutional Learning and Change Initiative (ILAC)

Overview

The Institutional Learning and Change Initiative (ILAC) is hosted by Biodiversity International as a part of the activities of the Consultative Group on International Research. It aims to increase the contribution of the CGIAR to poverty alleviation by improving planning, monitoring and evaluation of collaborative agricultural research for development. ILAC contributes specifically by:

- Building capacity
- Providing technical support to scientists and managers
- Mobilizing funds and resources
- Facilitating knowledge sharing

- Influencing research and development policies to promote institutional learning and change

Following recent changes within the CGIAR, ILAC has focused its future work on helping the CGIAR Consortium Office and the Centres to develop new ways of partnership and research models, and by creating a space for reflection on the future of the CGIAR.

Capacity Strengthening Activities

ILAC has conducted a number of workshops on Recent ILAC activities on strengthening capacity for research partnerships include:

- Four-day workshops to build capacity to facilitate meetings, teams and group decision-making processes. These workshops included topics such as: what facilitation is and why it is important; facilitating meetings and teams; managing conflicts and disagreements; building consensus for decision making.
- A two-day workshop in Nairobi, Kenya, February 3-4 2010 to bring together key stakeholders representing NGOs, the private and public sector, policy bodies, research bodies, and donor organisations in order to stimulate dialogue and increase understanding of how to connect agricultural research with development through partnerships, including current challenges, good practice cases, and an action agenda for the way forward. More information, the workshop programme and resources are available at: <http://www.cgiar-ilac.org/workshop/wip>

Information and Resources

<http://www.cgiar-ilac.org>

Horton, D, G. Prain, and G. Thiele. 2009. Perspectives on Partnership: A Literature Review. International Potato Center (CIP), Lima, Peru. Social Sciences Working Paper No. 2009-3. Available at: http://www.cgiar-ilac.org/files/workshops/Partnership/Resources/Horton_Perspectives.pdf

As well as a number of briefs and working documents on partnerships, group facilitation, brokering skills, etc., ILAC has also published a virtual sourcebook on institutional learning and change, with chapters on the innovation systems framework and its implications for ILAC, the learning organization, managing institutional change, etc.

Implications for PAEPARD

- ILAC resources useful for PAEPARD training/workshops
- Project linkages with ILAC would be useful (e.g. planning meetings?)

PICOTEAM Ltd – Institute for People Innovation and Change in Organisations

Overview

PICOTEAM Ltd. is a consulting company registered in the United Kingdom, and office is situated in Germany. It operates mainly as a legal framework and umbrella organisation for national PICO organisations in Kenya, Uganda, Tanzania, South Africa, and the Dominican Republic, such that experiences and lessons learnt by PICOTEAM members are brought together and synthesized into concept and product development. It has a core team of some 15 members, located across the different national PICO organisations, operating in 7 core areas:

1. Enhancing performance and adaptiveness of organisations through strategic change management
2. Facilitating transformation of agricultural research towards relevant and effective innovation systems with impact
3. Facilitating transformation of higher education institutions for relevance to national development needs
4. Making INRM and conservation for livelihood improvement work in practice

5. Fostering local / rural economic and enterprise development
6. Fostering good local governance and facilitating change within local and farmer organisation
7. Making decentralised agricultural and rural services relevant, effective and efficient

PICOTEAM's Approach to Capacity Strengthening

PICOTEAM considers capacity building not as just training events but rather a process of transformation of individuals, groups and organisations to achieve their desired intentions and objectives. It should not always be taken for granted that what individuals, groups and organisations desire is well-known. Many times this is arrived at and made more clearer through a process of critical thinking and reflection stimulated by questioning of the underlying values, beliefs and practices. Through such processes it is possible to create a vision that represents what individuals and organisations truly desire. PICOTEAM takes this as a critical part of capacity strengthening that then sets the subsequent processes and content of the capacity strengthening activities. In other words, PICOTEAM's capacity strengthening initiatives are tailor-made and anchored into the organisational/business context and aims to empower individuals and organisations to continue learning and adapting as reflective practitioners to achieve their set goals and targets. Design and implementation of PICOTEAM's capacity development interventions are guided by three key concepts:

- *Systemic intervention*, which implies that capacity development is not just conventional training of individuals, but engaging people in learning processes that enable them to work in teams and to perform to their best within their organisational/business environments. The entry point is developing the competence of individuals as an integral part of their overall professional development founded on the desired mindsets and values. PICOTEAM operates through learning workshops, team and peer coaching and learning, and strategic change management support at organisational level, pulling in technical knowledge as required. Finding the right incentives and drivers for learning and continued engagement is key. PICOTEAM explores those triggers together with the participants to create a process that is internally driven and monitored.
- *Participatory action learning / action research*, applying action learning as a core approach to learning while implementing. The best way to make people learn and change by themselves is not to teach them what they need to do but rather engage them to try to do things differently while providing the necessary technical input they need. The learning workshops are intended to create the motivation to want to do something different and provide the basic knowledge for getting started and thereafter the participants are provided the opportunity to experiment. Subsequent learning workshops build on their experiences to take them to the next levels of action through well-defined learning loops. Iterating action and reflection phases, guide the process and together with the systemic "LearningWheels" provide a flexible frame for moving towards the desired successes in a non-linear way.
- *Performance orientation*, with the ultimate goal of improved service delivery and/or productivity. For this PICOTEAM analyses and designs interventions at different levels in order to effect change on the whole system, and not just some elements of the system.

Underpinning all of the concepts is facilitation for change.

PICOTEAM has built up significant experience in building capacity for innovation and research partnerships. Some examples of this include:

1. Strengthening research leadership and management competencies of NARIs in East and Central Africa (2009 - to date)
2. Change management in ASARECA (2005 - to date)
3. Development of Partnership Management System at ILRI (2005-2007)
4. Developing an Innovation Platform on Organic Farming in South Africa (2005-2007)

5. Strategy Development at the Kenya Agricultural Research Institute (KARI), Kenya (2005 - 2007)
6. Change management and innovation systems development in Ethiopia (2004-2006)
7. Etc.

Lessons Learned

- Capacity building is not just a series training events but rather a process of transformation of individuals, groups and organisations to achieve their desired intentions and objectives.
- The needs of individuals, groups and organisations are not always well known, even to themselves. A process of critical thinking and reflection, stimulated by questioning of the underlying values, beliefs and practices, is required to tease out this awareness and create a vision of desirable change.
- Such learning is best achieved through an iterative process of learning workshops. Initially, these create the motivation to experiment with change, and provide the basic knowledge for getting started. Subsequent learning workshops provide opportunities for reflection on this experience, and lead to the next levels of action, in a series of “learning loops”.

Information and Resources

<http://www.picoteam.org/>

Implications for PAEPARD

1. PICOTEAM organisations have experienced facilitators for capacity strengthening at individual, (multi-stakeholder) platform, organisational and system-wide levels.
2. PICOTEAM has a substantial body of publications in the above 7 focal areas.

Partnership to Cut Hunger and Poverty in Africa (PCHPA)

Context

The Partnership to Cut Hunger and Poverty in Africa (PCHPA) promotes the best ways for public, private and civil sector organisations to contribute towards building healthy rural economies in Africa. Their focus is on sustaining and guiding the US commitment to demand-driven agricultural investments in Africa through research and advocacy. PCHPA seeks to support African initiatives and ensure that donor policies and practices are informed by Africans and responsive to African needs.

The Partnership is a non-partisan organization; engaging the public, private, and civil sector from the US, Africa, and other donor countries in constructive dialogue to continually improve practices, coordinate policies, and better align donor efforts with African needs and initiatives. Their network includes African experts and leaders representing businesses, civil society organisations, farmers' organisations, and governments.

PCHPA is mainly funded by US-based foundations, plus limited support from government agencies, members and sponsors.

Program Structure

With sustainable, Africa-led agricultural development, the Partnership seeks to sustain support for global hunger and food security initiatives, monitor their implementation, and help address specific technical and logistical challenges that arise. Presently, the Partnership's focal areas include:

- Agricultural markets and trade;
- Capacity building for science and technology;
- Infrastructure;
- Integrating relief and development;

- Private investment and public-private partnerships Higher education partnerships;
- Food assistance.

Capacity Building Experience

The Partnership conducts three kinds of activities:

- *Issue-focused advocacy* to develop expert recommendations and change policies and practices in specific areas. This includes identification of problems or opportunities, development of recommended policies and practices, and promotion of these policies and practices to relevant decision-makers.
- *Ongoing outreach* to key organizational audiences, including policy-makers, legislators, staff of multilateral donor organisations and banks, African leaders, implementing organisations, and private sector leaders.
- *Ongoing member* outreach to inform and educate members, solicit their input, and facilitate member networks and activities. The Partnership hosts events, publishes reports, and tracks policy related to the most important issues in the field.

Capacity Building Methods

To improve capacity of donor organisations' and the business community's to respond to rural Africa ARD, the Partnership is:

- Convening US and African experts from public and private sector organisations to identify practical ways to address problems and opportunities in rural Africa
- Advocating for these ideas to be implemented by US and global decision-makers
- Working with African leaders to align donor and African national policies and practices.

To support its objectives, the Capacity Building for Science and Technology Working Group, the Partnership:

- Works with national committees and key regional organisations to define and pursue their priorities in training and capacity building and science-based technology development and transfer;
- Increases political support and funding levels for programs to improve training and capacity building for science-based technology development and transfer; and
- Facilitates a balanced discussion of the role of science and technology in reducing hunger and poverty in Africa.

Lessons Learned

The PCHPA learned that:

- Africa faces enormous capacity challenges;
- More and better investments in agricultural development are the key to increasing overall economic growth and reducing hunger and poverty in Africa;
- Sustainable agricultural and economic development must be market-based and supported by the development of private commercial enterprise in Africa; and
- African development should be led by Africans.

Further information

Partnership to Cut Hunger and Poverty in Africa (PCHPA).

<http://www.partnership-africa.org> (Accessed April 19, 2011)