



PROPOSAL FOR THE ESTABLISHMENT OF A SUB-  
REGIONAL ORGANISATION ON AGRICULTURAL  
RESEARCH  
FOR  
THE SOUTHERN AFRICAN DEVELOPMENT COMMUNITY  
(SADC) REGION

Proposed to be known as:

**CARDESA**

(Centre for Agricultural Research and Development for Southern Africa)

April 2008

## **ACKNOWLEDGEMENTS**

This report was prepared by the Food, Agriculture and Natural Resources (FANR) Directorate of SADC following intensive consultations with various stakeholders within the Member States and with key institutions and individuals in the region. The FANR Directorate wishes to express its appreciation for the various stakeholder inputs, advice and support throughout the process of preparing the report.

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## **ACRONYMS AND ABBREVIATIONS**

ASARECA	Association for Strengthening Agricultural Research in Eastern and Central Africa
CAADP	Comprehensive African Agricultural Development Programme
CARDESA	Centre for Agricultural Research and Development for Southern Africa
CGIAR	Consultative Group on International Agricultural Research
CILSS	Permanent Interstate Committee for Drought Control in the Sahel
CIMMYT	International Maize and Wheat Improvement Centre
CORAF	Conseil Ouest et Centre Africain pour Recherche et le Développement Agricole OR (West and Central African Council for Agricultural Research and Development (WECARD))
DFID	Department for International Development
EU	European Union
FAAP	Framework for African Agricultural Productivity
FANR	Food, Agriculture and Natural Resources
FANRPAN	Food, Agriculture and Natural Resources Policy Analysis Network
FAO	Food and Agriculture Organisation
FARA	Forum for Agricultural Research for Africa
FIRCOP	Fund for Innovative and Regional Collaborative Project
FSTAU	Food Security Technical and Administrative Unit
GFAR	Global Fund for Agricultural Research
GMO	Genetically Modified Organisms
ICART	Implementation and Coordination of Agricultural Research and Training
IFPRI	International Food Policy Research Institute
INSAH	Institut du Sahel
IPGRI	International Plant Genetic Resources Institute
MAPP	Multi-country Agricultural Productivity Programme
MOU	Memorandum of Understanding
NAMC	National Agricultural Marketing Council
NARS	National Agricultural Research System
NASFAM	National Smallholder Farmers' Association
NEC	National Economic Council
NEPAD	New Partnership for Africa's Development
NFRA	National Food Reserve Agency
NPGRC	National Plant Genetic Resources Centres
NPP	Networks, Programmes and Projects
RETOSA	Regional Tourism Organization of Southern Africa
RFRF	Regional Food Reserve Facility
RISDP	Regional Indicative Strategic Development Plan
RUFORUM	Regional Universities Forum for Capacity Building in Africa
SACAU:	Southern African Confederation of Agricultural Unions
SACCAR	Southern African Centre for Cooperation in Agricultural Research

SACU	Southern African Customs Union
SADC	Southern African Development Community
SADCC	Southern African Development Coordination Conference
SCU	Sector Coordinating Unit
SPGRC	Plant Genetic Resources Centre
SPS	Sanitary and Phyto-Sanitary
SWOT	Strengths, Weaknesses, Opportunities and Threats
WECARD	West and Central African Council for Agricultural Research and Development OR Conseil Ouest et Centre Africain pour Recherche et le Development Agricole (CORAF)
WFP	World Food Programme

## **SUMMARY**

### **Background**

This report was prepared by the FANR Directorate with the following specific objectives:

- Establishing a semi-autonomous Sub-regional Research Organization (SRO) as preferred by all the SADC R&D stakeholders, and in the context of a clear rationale
- Describing its mandate, functions and responsibilities
- Recommending an appropriate governance structure, including a draft MOU
- Assessing comparable SROs in the Africa region
- Suggesting core staffing and sustainable financing mechanisms
- Identifying strategies for institutional partnerships
- Formulating a phased strategy to the design, establishment and operations of the proposed SRO (proposed to be known as “CARDESA”)<sup>1</sup>

### **Methodology and Approach**

The report is based on stakeholder consultations, review of relevant literature and good international practices (especially drawing on the ASARECA and CORAF experiences), and visits to selected similar institutions (e.g., ASARECA). The first draft report on the proposed establishment of CARDESA was then presented to a regional stakeholder consultative workshop held in Maputo, Mozambique, on 11 – 12 December 2007, and to the consultative meeting of Permanent/Principal Secretaries of Agriculture held in Maputo on 13 December 2007. Both the regional stakeholder consultative workshop and the consultative meeting of Permanent/Principal Secretaries endorsed the draft CARDESA report, with a recommendation for its approval by the Ministers of Agriculture. Comments and suggestions from these regional consultations have been incorporated into this report.

### **Rationale and Justification for Establishing an SRO for SADC**

Since the phasing out of SACCAR as a Sector Coordinating Unit in 2001, when its functions were integrated within the FANR Directorate, it has not been possible so far to mobilize adequate human and financial resources for research and development<sup>2</sup> (R&D) functions to meet the current and

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<sup>1</sup> Centre for Agricultural Research and Development for Southern Africa

<sup>2</sup>In this report, Research and Development (R&D) is a different approach from the traditional 'top-down' technology transfer efforts. It highlights the joint learning that will take place as a central focus on activities by programmes coordinated by the SRO. R&D in this report therefore implies a strong commitment to helping farmers find, store, generate, share and use information and knowledge

growing needs of the SADC region. Consequently the region has fallen behind and is losing out on development programs and initiatives on the continent and globally. The SADC region is also failing to take full advantage of continental programs being brought about through FARA, an umbrella organization of SROs in Africa. Stakeholders in the region have expressed concern regarding the current status and requested the establishment of a visible, dedicated and effective entity that would be adequately staffed and funded to coordinate regional R&D programs, as has been successfully done by ASARECA in East Africa and by CORAF in West Africa. The proposed SRO for the SADC region would strengthen the existing collaboration of diverse stakeholders within SADC Member States and between SADC and other regional and international organizations.

At the launch of FARA in 2002 in Maputo, Mozambique, it was emphasised that strong SROs are a pre-condition for the success of FARA, NEPAD and other continental initiatives on agricultural research and development. Following on from this issue, agricultural research stakeholders in SADC convened a meeting in Pretoria, South Africa (11-12 November 2004) and deliberated on various options for an SRO for the SADC region. From these options, the SADC Ministers adopted the option of strengthening the human resources of the agricultural research and training within the FANR Directorate. However, the restructuring of SADC Secretariat has not increased human resources capacity of the R&D Unit. Furthermore, the regional, continental and global demands for an SRO in Southern Africa mean that there would be need for a clear separation of the policy and strategy functions of FANR as a part of the Regional Economic Community (REC) from the SRO function of coordinating the research and development initiatives in the region. This necessitates development of a new institutional arrangement for the coordination of agricultural research and development in the region.

In view of these changing circumstances and the increasing regional and international obligations, the FANR commissioned a study in January 2007 to review further the various SRO options, taking into account the continental and global trends, and the lessons and experiences from SACCAR and existing SROs in Africa. Based on a detailed SWOT<sup>3</sup> analysis, that study showed that a strengthened FANR as an SRO for the region was the least appropriate option and would not be the best option for the region.

The results of the SRO options study were presented to several stakeholders: to the meeting with donors on 21 February 2007, to the meeting of the Directors of Research and Extension in Johannesburg on 29 March 2007 and to the meeting of Deans of the Faculties of Agriculture in Malawi on 26 April 2007. The options were also presented to the first SADC MAPP Steering Committee of 2-3 August 2007. All the stakeholder consultation meetings and the steering committee independently preferred the semi-autonomous SRO option in the establishment of a new SRO for the

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<sup>3</sup> Strengths, Weaknesses, Opportunities and Threats

SADC region. Additionally, the views of national stakeholders on the appropriate SRO option were also sought during the SADC MAPP national consultations workshops conducted between August and October 2007 in all Member States except Mauritius and South Africa. Again, the semi-autonomous SRO was consistently the preferred option. The stakeholders also emphasized independently that lessons and experiences of SACCAR should be considered in the establishment of the new SRO. These stakeholders also emphasized that the SRO established under this option should take into account the characteristics of the Southern African region and should not merely adopt institutional structures of SROs elsewhere.

Since there was unanimity in the choice of the SRO option for SADC, FANR engaged a team of consultants to look at the structure of the preferred SRO for the SADC region. The team provided further justification by stakeholders for their preference for a semi-autonomous SRO. A semi-autonomous SRO is necessitated by the need to give the organization sufficient flexibility to set out its own plans and activities, to freely interact with public, private, international and civil society partnerships, and attract direct funding with minimal bureaucratic constraints, while at the same time maintaining the formal linkage with the SADC Secretariat that gives the SRO the necessary political profile and stature and ownership by Member States as their regional research organization. This semi-autonomous status on the one hand would also help to ensure that Member States have a say in the determination of the research and development agenda and priorities for the region, while on the other hand making sure that private and public stakeholders directly contribute to the coordination of the regional research and development activities. The semi-autonomous status gives the SRO room to recruit, retain and remunerate competent professional staff that would find the SRO more attractive and secure. By operating under the supervision of a Board of Directors appointed from among the wide cross-section of stakeholders with varied interests, the semi-autonomous structure would have faster and wider decision-making processes, as opposed to the normal regional governmental committee structures.

Based on those consultations and others made among agricultural stakeholders in the region and the preferences expressed, this report is recommending the establishment of a semi-autonomous SRO that is placed outside the SADC Secretariat, but formally and closely linked to the Secretariat through a Memorandum of Understanding (MOU) that spells out the nature and scope of the autonomy, the division of roles and responsibilities, and areas of complementarity with the FANR Directorate. The FANR would focus on policy, strategic direction, M&E and advocacy, with CARDESA coordinating the implementation of R&D programs and activities by stakeholder institutions in the SADC Member States. The proposed CARDESA will be a specialized institution focusing on the coordination of a broad and long-term prioritized R&D program of the region. CARDESA is to be viewed as a vehicle for regional cooperation, working through strategic partners and regional and national agricultural research and development institutions. This is in line with the RISDP and

the Dar es Salaam Declaration, which give due recognition to the need for SADC to prioritize agricultural R&D as a means towards the attainment of its regional goals and targets of food security and economic integration. An updated SWOT Analysis of the proposed CARDESA has been presented in the report.

### **Guiding Principles for Establishing CARDESA**

A consideration of the agricultural R&D projects and programs currently being co-coordinated by the FANR Directorate on behalf of the SADC region, in relation to the expected mandate and core business, technical and administrative capacity of the Directorate to efficiently execute the programs, has been a major factor in determining the core functions and structure of the proposed SRO. Secondly there are several lessons learned from SROs supporting agricultural research, technology generation and dissemination within the SADC region and elsewhere. Lessons have been drawn from both the strengths, weaknesses, failures and achievements of these institutions.

Going by these two approaches, it was possible to design a SRO that is based on lessons from practical examples on the ground and adjusting them to create an institutional structure that is best suited to addressing the agricultural R&D needs of the SADC region, and one that is consistent with the existing regional institutional arrangements and the socio-political environment.

### **Objectives and “Core” Thematic Functions of CARDESA**

The objectives of CARDESA are:

- a) To improve agricultural technology generation, dissemination and adoption by all farmers in the region through collective efforts;
- b) To promote coordination and collaboration among regional and national agricultural R&D systems through regional cooperation;
- c) To facilitate the exchange of information and technology among the SADC regional R&D institutions;
- d) To promote partnerships between public, private, civil society and international organizations in R&D, training and capacity building in the SADC region; and
- e) To mobilize human, financial and technological resources to implement demand-driven R&D regional activities, which will also contribute to the strengthening of national level research and development initiatives.

To accomplish the above objectives, and complementarity with the FANR, and taking into account the feedback from SADC country consultations and good international practices, it is proposed that CARDESA initially would have six core functions expressed in terms of strategic themes. These provide the basis for the proposed organizational structure and core staff job descriptions which are summarized below. These arrangements also directly support SADC MAPP's programmatic approach to R&D in the SADC region, as part of implementing Pillar 4 of CAADP and the FAAP for the SADC region. The core functions for CARDESA would include:

- Theme 1: Farmer empowerment and market access
- Theme 2: Research and technology generation
- Theme 3: Farmer-led advisory services and innovation systems
- Theme 4: Education, training and learning systems
- Theme 5: Knowledge, information and communication
- Theme 6: Institutional development and capacity building

### **Complementarity of FANR and CARDESA Functions: Framework and Key Principles**

In line with the current proposal to establish a semi-autonomous SRO for coordinating R&D without duplicating or disrupting the on-going functions of FANR, it is recommended that the FANR current functions be rationalized by separating policy coordination and strategy development-type functions and activities from technical coordination and implementation (through SADC stakeholder organizations) of R&D-related technical services.

Given that the management of the SADC Secretariat is currently reviewing a proposal to restructure the Secretariat, including FANR, it is recommended that the results of this exercise should provide further guidance and operational details to adjusting the respective complementary roles and functions of the FANR and CARDESA. The main justification for the core function analysis stems from the principle of subsidiarity and the need to minimize duplication between CARDESA and FANR and other organizations doing similar work in the region. It is necessary to know and identify the strengths and comparative advantages of each of the major stakeholder institutions that are going to partner with CARDESA. Accordingly, the thrust of the complementary roles involving the agricultural R&D agenda in the SADC region is for the FANR to focus on policy and strategy and related harmonization and advocacy functions involving the R&D agenda, whereas CARDESA would focus on technical coordination and related harmonization functions. There would therefore be various mechanisms to ensure close complementarity and collaboration.

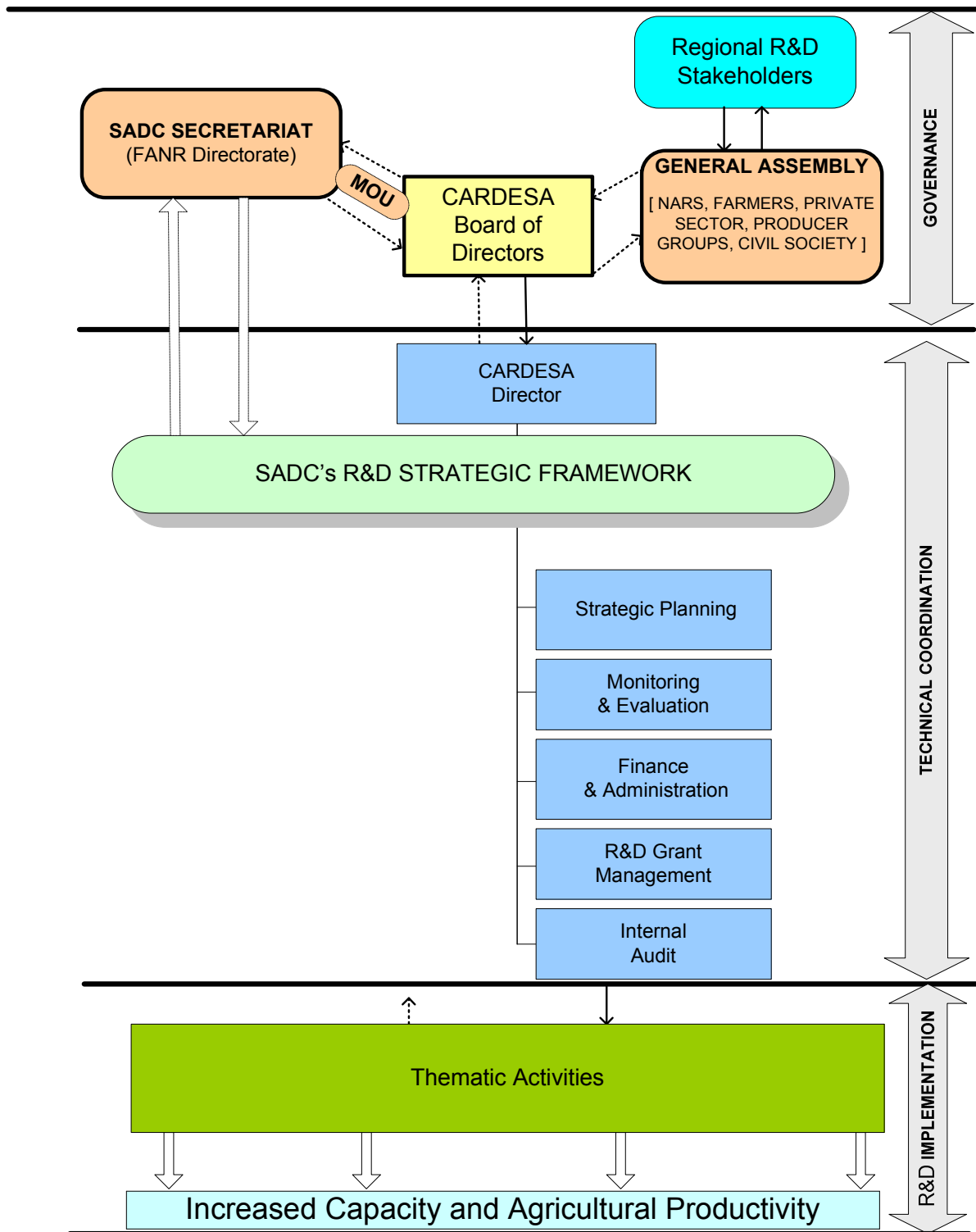
### **Governance and Organizational Structure of CARDESA**

Having examined carefully the objectives and functions of the proposed CARDESA, taking into account the complementarity and vital role of FANR, and having considered the experiences and good practices of existing and

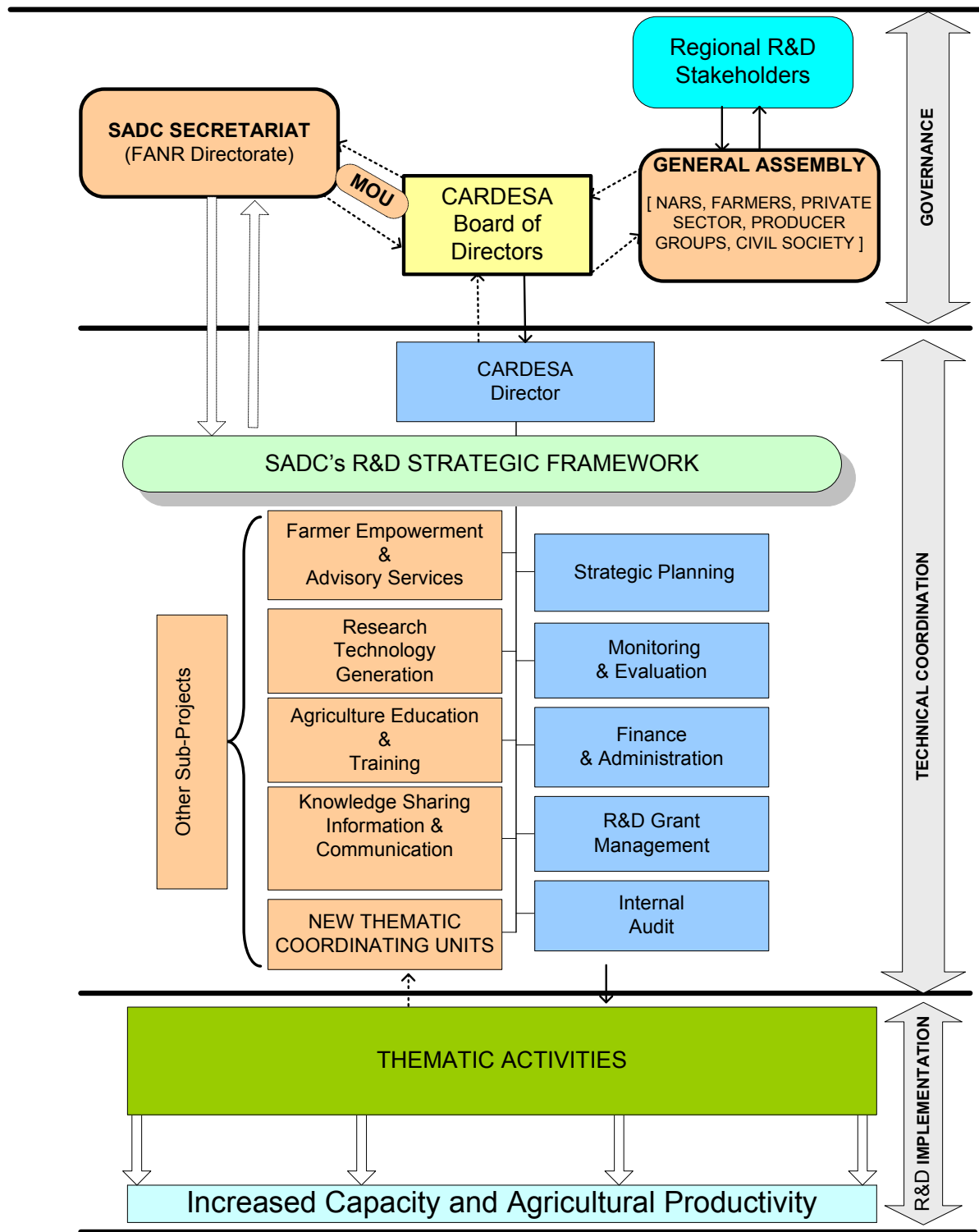
similar institutions within and outside the SADC region, it is now possible to recommend an appropriate governance and organizational structure for CARDESA. The complementary elements are as follows:

- a) A Memorandum of Understanding (MOU) establishing the CARDESA;
- b) An MOU between the SADC Secretariat and the CARDESA Board of Directors, defining the functional status and relationship of CARDESA vis-à-vis the SADC Secretariat;
- c) The General Assembly of Stakeholders forming the “base clients” , owners and promoters of CARDESA;
- d) A Board of Directors (BOD) elected from the General Assembly, which provide the main governance oversight and direction to CARDESA;
- e) Operational Committees of the Board (e.g., Strategic Planning, Finance, Technical R&D);
- f) Technical Secretariat forming the Management and “core” and other technical and support staff and consultants of CARDESA to carry out the day-to-day functions of CARDESA;
- g) SADC Region Strategic Stakeholders, including Partners, Centres of Leadership and Networks linked through contracts, MOUs and joint agreements, and which are the main implementers of most research and development programs;
- h) National Agricultural Research and Extension Committees, which will provide a useful consultation mechanism at the country level, while adding the regional perspective through CARDESA; and
- i) An independent operational and financial audit which would be carried out annually, and submitted to the BOD for their review and appropriate actions. The operational audit would help ensure CARDESA Secretariat and its operational committees comply with the agreed policies and procedures, including the SADC MAPP’s operational manual and the subproject processing and fund allocation criteria and procedures

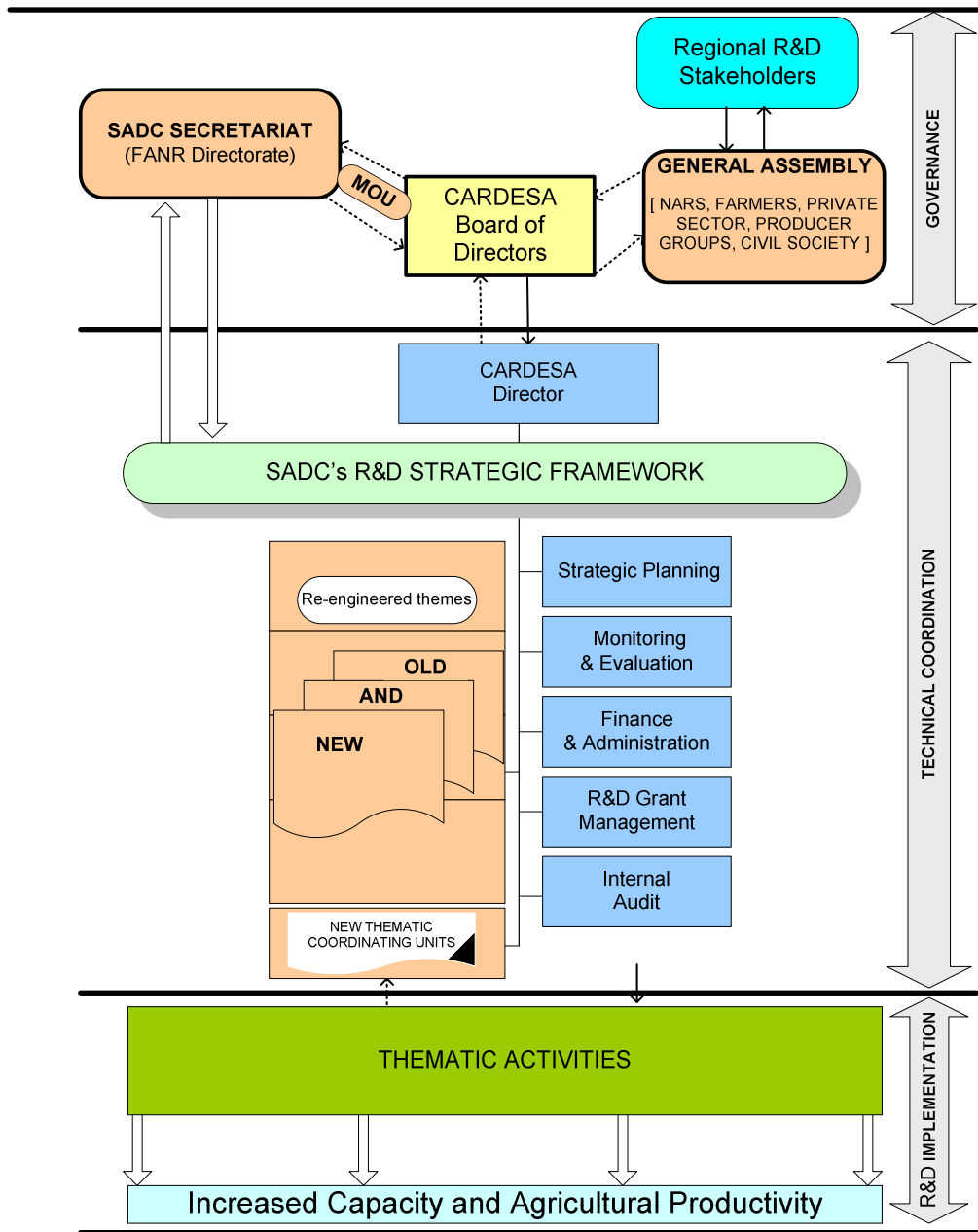
Figure 1 shows the proposed organizational chart of CARDESA. Figure 2 shows the place of SADC MAPP in the SRO in the first 5-year phase, including the transitional period of 2008-2010 to show the close collaboration and harmonization with on-going regional projects, all guided by SADC’s R&D strategic framework that is yet to be developed.



**Figure 1 Structure of CARDESA**



**Figure 2: Governance and Organizational Chart for CARDESA (Yr 1-5)**



**Figure 3: Governance and Organizational Chart for CARDESA (YR 6 onwards)**

Figure 3 shows the Organizational Chart of the SRO in the subsequent phases of SADC MAPP and after the on-going projects are completed, to show that the regional programs would have become fully harmonized and aligned in coherent and re-engineered old and any new themes, guided by SADC's updated Agricultural R&D Strategic Framework. Each of the governance elements is described in more detail below.

**Signatory to the MOU and R&D Regional Contracts**

There will be an MOU that will spell out the framework and the necessary provisions for the establishment of CARDESA. The draft of the MOU is given

in Appendix 1 of this report. It is proposed that there will be one signatory to CARDESA “umbrella” MOU, namely, the Ministers of Agriculture for each of the participating Member States. They will accord CARDESA the necessary recognition and ownership by SADC.

There will be another MOU between the SADC Secretariat and the CARDESA Board of Directors, which will define the operational framework and relationship of CARDESA, as well as the governance and administrative provisions, vis-à-vis the SADC Secretariat. A number of operation manuals will be drawn up to support the effective execution of the obligations set out in the MOU. These manuals will include: the technical procedures for allocation of funds, human resource manual and procedures, and financial manual and procedures. The MOU will further spell out and formalizes the linkage of CARDESA with the SADC Secretariat, especially the FANR. In the preamble, the MOU will describe the nature of the two organizations, and the object of the partnership, then indicates the obligations, complementary roles, responsibilities and duties of each of the two partners. This MOU will be prepared once the approval of the establishment of CARDESA has been granted, and will be endorsed by the SADC Secretariat and the Board of Directors of CARDESA.

The CARDESA will take a transparent and participatory approach to generating and funding sound R&D subproject proposals to be implemented by regional stakeholder and partner organizations. It is envisioned that the Director of CARDESA, based on appropriate approval process, would countersign subproject contracts with said implementing organizations.

### **Technical Secretariat**

The Technical Secretariat of CARDESA will be staffed by a lean and effective team<sup>4</sup>, which will focus on coordinating, supporting and facilitating the implementation of SADC MAPP and other regional R&D programmes through primarily existing SADC stakeholder organizations involved in implementing the regional R&D agenda. It is envisioned that the core staffing of CARDESA will require initially about eight professional staff, with about nine technical support staff (Table 1). The work plan requirements and available funding may however warrant the hiring of short-term consultants to help carry out specific functions and outputs, in line with the agreed work plan and budget.

The R&D Thematic Coordinators will provide the direct link with Activity Coordinators from lead institutions. These will invariably be specialized centres including NARS, who will be assigned responsibilities to implement specific regional R&D programs, including the SADC MAPP-funded subprojects.

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<sup>4</sup> But adequately resourced in terms of both manpower and budgets to undertake the very ambitious, necessary, and urgent functions of CARDESA in a timely and efficient manner

**Table 1: Summary of CARDESA's Core Staff Requirements**

<b>Core Staff</b>	<b>Core Functions</b>
<b>Professional Staff (8)</b>	
Director	Leads CARDESA through effective coordination, facilitation, empowerment, communication and partnership skills. Must also have sound knowledge of R&D issues and programs of the SADC region.
Strategic Planning	Will help ensure the strategic plan is implemented/updated,
M&E Coordinator	Coordinates the M&E activities
Thematic Coordinators (4)	Sound scientific and operational knowledge and experience of the thematic areas to be promoted and coordinated.
Grant Management Unit Coordinator	Will coordinate the competitive grant scheme processes for approval and implementation
<b>Technical/Support Staff: (9)</b>	
Grant Management Administrative Assistant	Assist the Grant Management Coordinator in the day to day running if the Grant management Unit
Finance and Administration Manager	In charge of all the finance and administration, including human resource management
Accountant	Handles all bookkeeping and disbursement of funds
Internal Auditor	Carries out the audit functions, including of the funds allocated to the subprojects.
Administrative Assistant	Supports CARDESA Director with all administrative and related coordination duties
Internal ICT Manager	Handles day to day ICT support issues of the CARDESA staff
Documentation Assistant	Serves as librarian responsible for information sharing
Secretary	Standard office duties
Driver	Standard office duties

**Initial Estimates for CARDESA's Five Year Budget**

Based on the core functions and staffing outlined above, Table 2 below shows an indicative budget for the first five years for establishing CARDESA, while a longer term financing plan will be worked out during the initial years of its operation and securing a performance track record. It is difficult to estimate a meaningful indicative budget before the full mandate and organizational structure of CARDESA has been approved. From Table 2 it is estimated that the budgetary requirements for CARDESA's core functions could cost about \$1.4 million per year, including personnel and administration, operation and goods and equipment costs. The CARDESA budget for the first five years is expected to be part of the overall SADC MAPP budget.

**Table 2: Indicative Five-Year Budget for CARDESA**

	<b>Detailed Costs (US\$ '000)</b>					
	2009	2010	2011	2012	2013	Total
<b>A. CARDESA Secretariat Staffing</b>						
Professional Staff	473	946	946	946	946	4,258
Support Staff	206	413	413	413	413	1,858
<b>Subtotal</b>	<b>680</b>	<b>1,359</b>	<b>1,359</b>	<b>1,359</b>	<b>1,359</b>	<b>6,116</b>
<b>B. CARDESA Running Costs</b>						
Running Costs	23	46	46	46	46	207
Travel Allowances	25	50	50	50	50	225
<b>Subtotal</b>	<b>48</b>	<b>96</b>	<b>96</b>	<b>96</b>	<b>96</b>	<b>432</b>
<b>C. Goods and Equipment</b>						
Vehicles	40	40	0	0	0	80
Office Equipment and Furniture	<b>30</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>23</b>	<b>53</b>
Misc. Equipment	10	10	10	10	10	50
<b>Subtotal</b>	<b>80</b>	<b>50</b>	<b>10</b>	<b>10</b>	<b>33</b>	<b>183</b>
Focal Point support	350	350	350	350	350	1,750
<b>Grand total</b>	<b>1,158</b>	<b>1,855</b>	<b>1,815</b>	<b>1,815</b>	<b>1,838</b>	<b>8,480</b>

## **Financing strategy and sustainability**

### Overall Framework and Rationale

CARDESA is first and foremost a regional organization owned by Member States and stakeholders, and expected to perform a predominantly regional “public function” of promoting and coordinating agricultural R&D for the SADC region. Secondly, the organization will be expected to produce tangible benefits, which are largely “regional public goods”, for public, private and non-governmental organizations in the SADC region, which predominantly serve smallholders. As such, it follows that the financing strategy and arrangements of CARDESA should reflect its diverse institutional and stakeholder base and primary clients. This section outlines a framework for the proposed financing strategy and mechanisms, to help secure the formal approval and facilitate detailed design of CARDESA. The strategic plan will be prepared soon after posting CARDESA’s Director, and will provide an opportunity to prepare CARDESA’s first Strategic Plan. It will include the validation and further refinement of a financing and sustainability strategy for CARDESA, along the lines discussed below. Moreover, the SADC MAPP document has shown that R&D investments in the SADC region are likely to generate attractive economic rates of return (most of them exceeding 40 percent well above the opportunity cost of capital in the SADC region). These returns are consistent with the results of a vast number of ex-post economic impact assessments for R&D investments (see SADC MAPP document for further details).

The issue of sustainability is critical for the effective functioning of CARDESA. This report has come up with suggestions regarding a combination of financing options that would help ensure a credible plan to

sustain the operations of CARDESA, together with a brief assessment of the pros and cons of each option. Given the public good nature of CARDESA's functions, it should be recognized from the outset that the financial sustainability initially will rely primarily on sustained contributions from international donors, and increasingly from the member states, followed by stakeholder groups who believe CARDESA is generating tangible incremental financial benefits.

While it is envisioned that CARDESA will diversify its funding sources over time, the best assurance to its sustainability is to rely on its good performance and responsiveness to its key stakeholders, especially in generating the expected incremental economic returns, which is the main criterion used by donors to continue their funding. This means that an effective CARDESA will help ensure increased agricultural productivity and associated economic returns of a magnitude which will help the SADC region to essentially repay the costs of financing CARDESA, if they were to be charged all of the costs. There are major core donors who have expressed their intentions to support SADC MAPP for the next 15 years (at least 50% on a grant basis), and they consider that a semi-autonomous SROs such as CARDESA is a necessary institutional instrument to secure the expected incremental benefits. This approach and rationale of sustainable funding for agricultural R&D is consistent with international experience, as evidenced by ASARECA, CORAF and the international research system.

### **Possible Funding Sources and Mechanisms for CARDESA**

Funding of CARDESA in the first five years will come mainly through the Institutional Development and Capacity Building theme of SADC MAPP. The possible financing sources and mechanisms for CARDESA to help ensure its sustainability are outlined below. These sources are based partly on the experiences of ASARECA, CORAF, and FARA, which are also addressing the challenges of securing financial sustainability in providing primarily regional "public goods". These funding sources would be examined in greater depth at the time of carrying out the CARDESA Strategic Plan. The financing options outlined below are not mutually exclusive, they are complementary and their relative importance will evolve over time.

Primary Funding Sources in Phase 1 (first five years) of SADC MAPP are expected to include:

- Funding from International Cooperation Partners (ICP), where it is preferable to maximize grants, through various modalities, including programmatic funding, such as through "basket funds", grant trust funds, and harmonised and aligned projects
- Establishment of a SADC MAPP endowment fund, to which donors would make substantial one-off contributions, which can be used to sustain the funding of future "core" funding of SADC MAPP, including funding of CARDESA.

- Member state contributions, to help secure ownership (including through possible concessional no-interest, long loans, cash and in-kind contributions)

Primary and other Sources in Phases 2 and 3 of SADC MAPP are expected to include:

- ICP Funding, increasingly using programme-based approach by participating donors, through a “basket-fund” for priority SADC MAPP R&D themes
- SADC MAPP Endowment Fund initiated in Phase 1
- SADC Secretariat, through member state payments
- Direct Member State Contributions in cash and/or in kind
- Member State Contributions through National Institutions or participating institutions, for specific activities
- CGIAR resources, by re-directing part of their funding through the SADC MAPP funding mechanism to make them more demand-driven
- Private Sector Sponsorship and Contributions, to reflect the incremental benefits derived from participating in SADC MAPP
- Membership Subscriptions and Research Levies
- Generation of Own Revenue Sources, while ensuring this will not divert the CARDESA from focusing on its “public good” functions.

This report formulates a “transitional” strategy for establishing and developing CARDESA over the first five years. A risk assessment is carried out, and a monitoring and evaluation framework is developed to guide detailed design of this system, as a tool to help ensure CARDESA becomes effective and efficient in fulfilling its mandate.

## **Overall Conclusion, Main Recommendations and Next Steps**

### Overall Conclusion:

The findings of this study and associated consultations have concluded that there is an overwhelming support from stakeholders that exists for the establishment of a semi-autonomous regional research organization for SADC to maximize the agricultural potential of the region and align the SADC region with global trends. There is significant agricultural research work already taking place in the SADC region, but due to lack of a dedicated coordinating body, the SADC Member States have been unable to take full advantage of the knowledge and resource base available to the region. This assessment also highlights the urgency of SADC proceeding as soon as possible to establish, launch and develop CARDESA. It will need to grow and mature “organically”, building on and strengthening existing structures, to the extent possible, and to “learn by doing”.

## Main Recommendations and Next Steps

The following section summarizes the main recommendations and next steps arising from this exercise. They are intended to focus on priority decisions and actions which would move the process forward in response to the challenges of implementing Pillar 4 of CAADP and meeting the targets outlined by RISDP and the Dar-es-Salaam Declaration:

1. The central recommendation is for SADC to formally approve the establishment of a semi-autonomous Sub-regional Research Organization, to be known as “CARDESA”. It will be placed outside the organizational structure of the SADC Secretariat, but formally and closely linked to the SADC Secretariat through a MOU that spells out the nature and scope of the autonomy, the division of roles and responsibilities, and areas of complementarities between the FANR Directorate and CARDESA.
2. In parallel to bullet (1) above, the SADC Secretariat to approve the draft MOU which defines the legal and operational framework of CARDESA, and to adopt the governance and organizational structures of CARDESA as reflected in the MOU.
3. To ensure the speedy operationalisation of CARDESA, the Stakeholder Conference (acting as the General Assembly) will be convened soon after the ICM makes a positive decision to establish CARDESA, to review a transparent process and criterion for selecting the Board of Directors, and formation of a “Standing Committee”, which would be empowered to select a representative Board of Directors, consistent with the agreed criteria. Efforts would be made to ensure this Standing Committee will appoint a first rate Board of Directors, consistent with the criteria and principles endorsed by the Stakeholder General Assembly.
4. While the CARDESA establishment process is underway, the SADC MAPP preparation team would continue to carry out detailed pre-implementation activities to help ensure a smooth launching and “seamless” transition from preparation to start-up, including the mobilization of stakeholder interest and participation in the Phase 1 of the proposed SADC MAPP, based on the draft Programme Document and until the core staff of CARDESA has been recruited. The SADC MAPP Steering Committee, under the overall guidance of FANR, would also continue to supervise the pre-implementation activities until a substantive BOD has been appointed.
5. As part of steps (1) and (2) above, the process of establishing and developing CARDESA will comprise a transition implementation phase, followed by the operational stage when CARDESA gradually becomes fully functional. The Table below gives a summary of the transition implementation plan.

**Transition Implementation Plan for CARDESA (2008/09)**

Activity	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
<b>1. Establishment of CARDESA – Governance and Staffing</b>															
<b>1.1 Hiring of CARDESA Director</b>															
<ul style="list-style-type: none"> <li>Establishment of permanent Board of Directors (BODC) - possibly through General Assembly (GA) of SADC stakeholders for R&amp;D</li> </ul>			██████████												
<ul style="list-style-type: none"> <li>Recruitment of substantive CARDESA Director by the GA</li> </ul>						██████████									
<b>1.2 Establishing Governance Mechanisms</b>															
<ul style="list-style-type: none"> <li>Develop governance manual</li> </ul>						██████████									
<b>1.3 Hiring of CARDESA staff</b>															
Hiring of CARDESA staff by CARDESA Director and BOD											██████████				
<b>2. Establishment of CARDESA - Institutional Structures and Procedures</b>															
<ul style="list-style-type: none"> <li>Finalization of Grant Management manual</li> </ul>												██████████			
<ul style="list-style-type: none"> <li>Develop Administrative Procedures and human resources manual</li> </ul>													██████████		
<ul style="list-style-type: none"> <li>Develop Financial Management manual</li> </ul>															
<ul style="list-style-type: none"> <li>Institutional logistics for establishing CARDESA (physical location, registration as a legal entity, etc.)</li> </ul>														██████████	

It is expected that CARDESA will become fully operational within the first 2-5 years after formal approval of its establishment. The main activities during the operational stage will include the following:

- One of the priority actions to be carried out by the core CARDESA staff would be to prepare a Strategic Plan for CARDESA, taking a participatory approach with the regional R&D stakeholders. This strategic plan would include: a vision and mission statement, updating and prioritization of the main objectives, measurable outcomes (and intermediate outcomes), functions (including complementarities with the FANR Directorate), an updated and validated financing strategy (including a sustainability strategy and action plan), an updated budget for five years, and an M&E action plan. The Strategic Planning process for CARDESA will start immediately after the Strategic Planning Coordinator is recruited, and would require about 4 months to prepare for the Board's review and approval;
- Financial Management System is updated and made operational within two months of appointing Financial Management officer;
- SADC MAPP Implementation Manuals are updated by Director/core staff, and approved by the BOD within 2 months after posting the Director and 'core' staff;
- M&E System is updated/established within 4 months of appointment of M&E Coordinator;
- Launching of SADC MAPP's Phase 1 subprojects (based on Grant Scheme) within 4 months of appointing the Grant Management Unit Coordinator;
- Regional R&D priorities updated and agreed upon by end of Year 5; and
- Stakeholders' strategic partnerships fully established by end of Year 5.

## **1. INTRODUCTION**

### **1.1 Background**

Agricultural research and technology generation is recognised as one of the prime movers of agricultural development and economic growth especially in developing countries where agriculture is the dominant livelihood activity for the majority of the population. It is in this context that the role of science and technology in agricultural development has been emphasized in the SADC's Regional Indicative Strategic Development Programme (RISDP) and more specifically in the Dar es Salaam Declaration on Agriculture and Food Security. For this reason, Pillar 4 of the Comprehensive African Agricultural Development Programme (CAADP) of NEPAD focuses on scaling up and improving the effectiveness of agricultural research, technology dissemination and adoption. This is in line with the objectives of the Millennium Development Goals (MDGs) of achieving 50 percent reduction in poverty by 2015 and attaining a 6 percent growth in agriculture per annum.

Establishment of regional agricultural research and development organisations (SROs) to coordinate research, technology generation and dissemination in the different regional economic communities in Africa is therefore seen as a key element towards the achievement of agricultural development. A further justification for the establishment of SROs is the need to coordinate sharing of information and resources, given that certain research and development challenges by their very nature cannot be dealt with sufficiently at national level because either the research is too expensive or the expertise is not available nationally. Different countries are endowed differently with resources. It would therefore be justifiable that joint regional research programmes are carried out through the coordination and facilitation of an SRO. In addition it is noted that funding of regional research activities on average is less than 2 percent of the total spending on agricultural research, and as such greater co-operation would enhance the efficiency and effectiveness of agricultural research in the SADC region. For example linking National Agricultural Research Systems (NARS) with larger networks and strengthening partnerships with advanced research institutes and consultative group on international agricultural research CGIAR centres would allow each national institute to specialize in a few areas of research while benefiting from the research of others. This would enable NARS to benefit from economies of scale and to eliminate much wasteful, duplicative research.

### **1.2 Justification for the establishment of an SRO**

Currently, SROs exist in West Africa (CORAF/WECARD<sup>5</sup>) and East Africa (ASARECA<sup>6</sup>), and an SRO is being developed in North Africa (NASRO<sup>7</sup>). The

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<sup>5</sup> Conseil Ouest et Centre Africain pour Recherche et le Development Agricole/West and Central African Council for Agricultural Research and Development (WECARD)

<sup>6</sup> Association for Strengthening Agricultural Research in Eastern and Central Africa

<sup>7</sup> North Africa Sub-regional Organisation

Southern African Centre for Cooperation in Agricultural Research (SACCAR) was the SRO for Southern Africa from 1984 to 1998 when it became a sector coordinating unit under the government of Botswana. Following the restructuring of SADC, this responsibility was taken over by the FANR Directorate in 2003, whose mandate is agriculture and natural resources policy harmonisation, coordination and strategy development, including the coordination of research and development programmes.

The present situation is that:

- Since SACCAR was phased out, FANR through its Research and Development Unit has been coordinating research and development activities. However it is constrained by inadequate human resources to effectively coordinate research and development functions. Currently the Unit has one core position on R&D;
- SADC FANR has had limited capacity to take over the functions of an SRO in terms of coordinating technology generation and dissemination within the region. Consequently, the SADC region has not moved as swiftly as other regions in Africa in implementing new initiatives or representing the region in regional and international forums. Research coordination in Southern Africa has therefore remained weak, especially in the implementation of the research agenda as stipulated in the RISDP, the Dar es Salaam Declaration and CAADP; and
- FANR as part of a Regional Economic Community (REC), lacks visibility and effectiveness of a dedicated SRO on agricultural research and development e.g. CORAF/WECARD and ASARECA.
- Stakeholders in the SADC region have expressed concern regarding the current status and would like to see the establishment of a visible and adequately staffed entity that would be able to effectively coordinate regional programmes.

Consequently, the SADC region is losing substantial opportunities and resources as some of its stakeholders and international cooperating partners are hesitant to commit their support until the research and development coordination is visible and sufficiently strengthened. The continued lack of effective participation by SADC at regional and international forums to represent research institutions of the region is adversely affecting the Pan-African research agenda.

### **1.3 Establishment of an SRO for Southern Africa**

#### **1.3.1 Options for an SRO for the SADC region**

At the launch of FARA in Maputo in 2002 it was emphasized that strong SROs are a pre-condition for the success of FARA, NEPAD and other regional and continental initiatives promoting the strengthening of

coordination of agricultural research and development. Following up on this issue, the agricultural research stakeholders in SADC convened a meeting on 11 – 12 November, 2004 in Pretoria, South Africa, and deliberated on various options. A report on the creation of an SRO was presented to the Integrated Committee of Ministers (ICM) in 2005. Three SRO options were presented, namely:

- i. Strengthening FANR Directorate R&D Unit as the SRO, through provision of the human resources;
- ii. Establishing a semi-autonomous SRO, by placing the agricultural research and training co-ordination function outside the SADC Secretariat, but closely linked to the SADC Secretariat through an MOU establishing the scope of its autonomy; and
- iii. An autonomous SRO, by establishing an entirely new research coordinating entity with linkages to FANR Directorate

From these options, the SADC Ministers adopted the option of strengthening the human resources of the agricultural research and training within the FANR Directorate. However, the restructuring of SADC Secretariat has not increased human resources capacity of the R&D Unit. Furthermore, the regional, continental and global demands for an SRO in Southern Africa mean that there would be need for a dedicated SRO for the region and a need for a clear separation of the policy and strategy functions of FANR from the function of coordinating the research and development initiatives in the region. This necessitates development of a new institutional arrangement for the coordination of agricultural research and development in the region.

In view of these changing circumstances and the increasing regional and international obligations, the FANR commissioned a desk study in January 2007 to review further the various SRO options, taking into account the continental and global trends, and the lessons and experiences from SACCAR and existing SROs in Africa. Table 1.1 below summarises the comparative analysis of the SRO options from that study.

**Table 1.1 Summary of Comparative Assessment of SRO Institutional Options\***

Criteria		SRO Options					
		1		2		3	
		Strengthened FANR		Semi-Autonomous		Autonomous	
		S/O	W/T	S/O	W/T	S/O	W/T
1	Incentives to be Responsive, visible to multiple stakeholders, especially “clients”	L	M	M	M	H	L/M
2	Governance to Achieve Transparency & Accountability	L	H	L/M	M	M/H	L/M
3	Leadership Effectiveness to Facilitate Participatory Partnerships and Alliances	L	M	M	L/M	M/H	L/M
4	Sufficient Autonomy and Flexibility to Achieve Strategic Results & Outcomes (with appropriate “links” and complementarity to SADC FANR Directorate)	L	H	M	M	M/H	M
5	Prospects to become viable and Sustainable (operational/financial)	L	H	M	M	M/H	LM
<b>Overall Relative Rank</b>		<b>3</b>		<b>2</b>		<b>1</b>	

\* Assessment Ratings: L: refers to low; M: refers to Medium; M/H: refers to borderline Low and Medium; H: refers to High

Notes: S/O= Strengths/ Opportunities; W/T= Weaknesses/ Threats would achieve “High” under the strengths/opportunities, and “Low” under the weaknesses/threats.

According to the results of the desk study presented in Table 1, Option 3 (an autonomous SRO) is the best option. However, consultations with stakeholders showed strong preference for the semi-autonomous option as outlined in the next section 1.3.2.

### 1.3.2 Stakeholder consultations on the SRO options

The results of the above SRO options from the study conducted in January 2007 have been presented to several stakeholders: to the meeting with donors on 21 February 2007, to the meeting of the Directors of Research and Extension in Johannesburg on 29 March 2007 and to the meeting of Deans of the Faculties of Agriculture in Malawi on 26 April 2007. The options were also presented to the first SADC MAPP Steering Committee meeting of 2-3 August 2007. All the stakeholder consultation meetings and the steering committee independently preferred the semi-autonomous SRO option in the establishment of a new SRO for the SADC region. Additionally, the views of national stakeholders on the appropriate SRO option were also sought during the national consultations workshops conducted between August and November 2007 in all Member States except Mauritius and South Africa. Again, the semi-autonomous SRO was consistently the

preferred option. The stakeholders also emphasized independently that lessons and experiences of SACCAR should be considered in the establishment of the new SRO. These stakeholders also emphasized that the SRO established under this option should take into account the characteristics of the Southern African region and should not merely adopt institutional structures of SROs elsewhere.

Since there was unanimity in the choice of the SRO option for SADC, FANR engaged a team of consultants to look at the structure of the preferred SRO. The team provided further justification by stakeholders for their preference for a semi-autonomous SRO. A semi-autonomous SRO is necessitated by the need to give the organization sufficient flexibility to set out its own plans and activities, to freely interact with public, private, international and civil society partnerships, and attract direct funding with minimal bureaucratic constraints, while at the same time maintaining the formal linkage with the SADC Secretariat that gives the SRO the necessary political profile and stature and ownership by Member States as their regional research organization. This semi-autonomous status on the one hand would also help to ensure that Member States have a say in the determination of the research and development agenda and priorities for the region, while on the other hand making sure that private and public stakeholders directly contribute to the coordination of the regional research and development activities. The semi-autonomous status gives the SRO room to recruit, retain and remunerate competent professional staff that would find the SRO more attractive and secure. By operating under the supervision of a Board of Directors appointed from among the wide cross-section of stakeholders with varied interests, the semi-autonomous structure would have faster and wider decision-making processes, as opposed to the normal regional governmental committee structures.

In the development of the appropriate structure of the proposed semi-autonomous SRO, an institutional analysis methodology was adopted to answer the following questions:

- a. What was the original agenda for establishing SACCAR and other SROs?
- b. What institutional framework was established to support the achievement of the goals and objectives of the SROs?
- c. What organizational structures were established to support the objectives espoused by the established institutions?
- d. What lessons can be learnt in terms of the extent to which the institutional and organizational structures supported the achievement of the goals and objectives of SACCAR and other SROs?

The institutional analysis was also extended to the post reform phase of SADC during the period functions of SACCAR were subsumed by FANR. The main thrust of this analysis was to determine the appropriate

institutional and organizational structures to support the purpose for which SADC was reformed, mainly to promote regional co-operation and integration and achieve complementarities between national and regional strategies and programmes. Existing literature was also reviewed on SROs and their functional relationships with regional economic communities, regional and national stakeholders as well as international research and training institutions and funding organizations. The first draft report on the proposed establishment of CARDESA was then presented to a regional stakeholder consultative workshop held in Maputo, Mozambique, on 11 – 12 December 2007, and to the consultative meeting of Permanent/Principal Secretaries of Agriculture held in Maputo on 13 December 2007. Both the regional stakeholder consultative workshop and the consultative meeting of Permanent/Principal Secretaries endorsed the draft CARDESA report, with a recommendation for its approval by the Ministers of Agriculture. Comments and suggestions from these regional consultations have been incorporated into this report.

## **2 INSTITUTIONAL AND ORGANISATIONAL FRAMEWORK FOR SROs**

### **2.1 Guide for Comparative Assessment of Alternative SRO Frameworks**

The design of the proposed SRO has been guided and driven by two fundamental factors. Firstly, an examination of the agricultural research and development projects and programs that are currently being co-ordinated by the FANR Directorate on behalf of the region, in relation to the expected mandate and core business, technical and administrative capacity of the Directorate to efficiently execute the programs. This consideration has been a major factor in determining the format and structure of the SRO. Secondly, there has been a growing realization of the need to broaden the research agenda of the region both in terms of thematic coverage and the incorporation of a wider range of agricultural stakeholders beyond research.

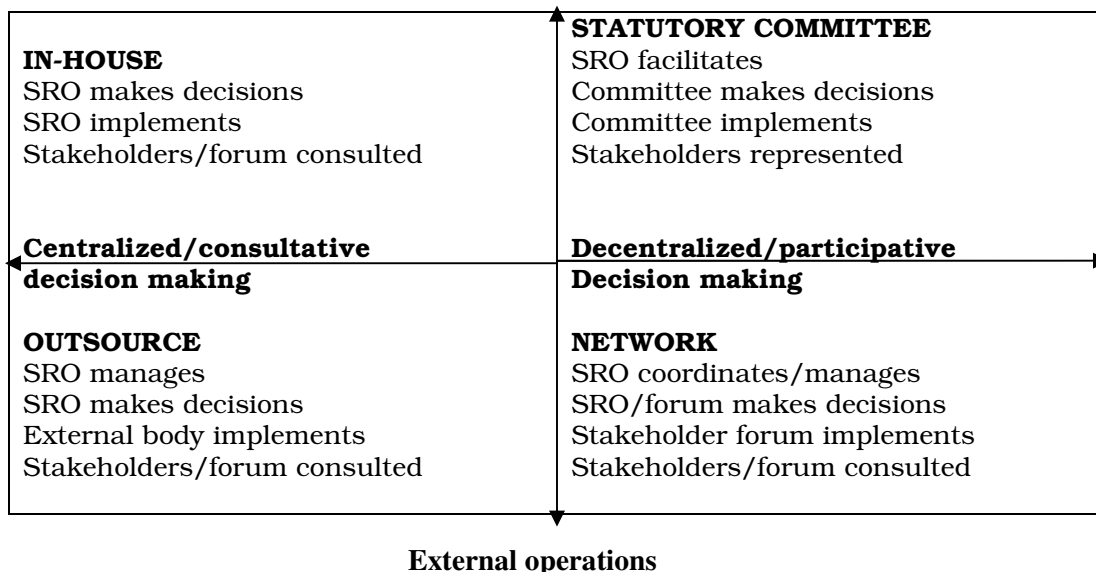
Alternative institutional arrangements were examined based on a framework for institutional and organizational analysis used by the Department of Water Affairs and Forestry of South Africa (2001) to study the viability for establishing a Catchments Management Agency in South Africa. In principle, institutional arrangements are defined as *a combination of legislation and regulations, policies and guidelines, administrative structures, economic and financial arrangements, political processes, customs and key participation of stakeholders in the organization*. Therefore, “institutions” refer to *the set of relationships between groups (rules)*, while “organizations” refer to *the structured cooperation of groups (players)*. In terms of Figure I below, the proposed SRO would lean more towards a decentralized and participative (semi-autonomous) institution.

These principles imply that as an institution, the SRO must:

- a. Develop legitimacy as the key institution SRO in SADC, with a social development focus, based on equity, sustainability and efficiency;
- b. Entrench the required paradigm shift to an SRO in the institutional arrangements and organizational structure, as the organization evolves to perform its functions;
- c. Facilitate cooperation between organizations involved in the SRO and participation of stakeholders in decision making;
- d. Be institutionally focused, organizationally efficient and customer services oriented, in performing delegated functions on behalf of SADC , while considering the various interests of technology users and stakeholders in the region; and
- e. Be representative of all stakeholders on the governing board while developing and retaining adequate management and technical capacity to perform its functions.

## 2.2 Institutional Arrangements for SROs

In this framework, four generic approaches to institutional arrangements may be used to describe the different ways that the SRO may ensure that its functions are performed (see Figure 2.1). These approaches reflect the degree of decentralization and participation of stakeholders in decision making and whether the SRO builds operational capacity internally or manages other external bodies to perform its functions.



**Figure 2.1: A Framework for Institutional and Organization Analysis**

Source: Adapted from the Department of Water Affairs and Forestry of South Africa (2001). *Guidelines on the Viability Study for the Establishment of a Catchments Management Agency.*

### **2.2.1 Network**

This approach depends upon the SRO developing cooperative relationships with stakeholder forums and other institutions, so that the activities of these other bodies are aligned with those of the SRO. This type of approach is particularly suited to the post-establishment stage and the strategic, coordinating, advisory nature of the initial functions, but is dependent upon functioning forums and other organizations. The emphasis on developing partnerships between the SRO and existing groups and the central coordinating role that the SRO plays, should build the legitimacy of the new SRO with respect to stakeholders and existing organizations, without requiring significant human or financial resources.

### **2.2.2 Statutory Committee**

The SRO may establish management committees to perform delegated functions within a specified area. The committees may include members of the SRO governing board, officials of the SRO management/administration, and/or stakeholder representatives (possibly members of the forums). The approach is particularly appropriate for specific priority regional research issues, but also provides a more generalized means of decentralizing SRO decision making on regional basis.

A committee may also act as a coordinating body to facilitate the flow of information between the Governing Board and the regional forums, and/or to coordinate forum and SRO staff activities. This approach represents a more formalized approach to stakeholder involvement than the network approach. Implementation of committee decisions is most likely to be done by SRO staff, although a cooperative or outsource approach may also be appropriate for certain activities.

The approach therefore requires a management team, and possibly some administrative/technical staff for implementation (possibly structured according to the established committees). The committee approach is most likely to evolve from one or more of the other approaches, as the SRO operations are consolidated, stakeholder participation matures and the need for direct local stakeholder involvement in performing certain functions becomes important.

### **2.2.3 Outsource**

Where organizations with capacity for certain (or are already performing similar) non-core functions exist, these organizations may be contracted or

delegated to perform these functions<sup>8</sup>. This approach is inherently flexible (although a contract may restrict this) and allows the SRO to develop a smaller highly skilled management team to coordinate and oversee this outsourcing, while focusing on the core SRO functions.

It should be noted that outsourcing requires the development and maintenance of technical and management capacity, to ensure that the outsourced functions are performed effectively, efficiently and in accordance with the SRO guidelines. Accountability for the functions should remain with the SRO, which implies that contractual relationships with “service providers” may be preferable to delegation.

#### **2.2.4 In-house**

Traditionally, organizations have appointed staff and built capacity internally with centralized management. This is appropriate for the core SRO functions, particularly planning strategy development, auditing, as well as coordination and management functions associated with outsource, statutory committee or network approaches. Furthermore, the responsible authority functions must be performed by the SRO and therefore requires in-house capacity.

Internal staffing may be developed in various ways, ranging from traditional hierarchical structures through to flat highly skilled team structures. The later is more appropriate for the integrated multi-disciplinary requirements of the core SRO strategic, regulatory and coordination functions. This is also consistent with the principle that a SRO should not become a large bureaucracy, but rather be institutionally focused and efficient.

### **2.3 Organisational Design of an SRO for the SADC region**

The proposed SRO is to be known as the Centre for Agricultural Research and Development for Southern Africa (CARDESA). In line with the views of the agricultural stakeholders throughout the region, CARDESA will be a semi-independent and dedicated professional institution that allows SADC Member States to benefit from shared agricultural research and productivity programs. It will therefore not set its priorities in isolation from national programs and other stakeholder institutions.

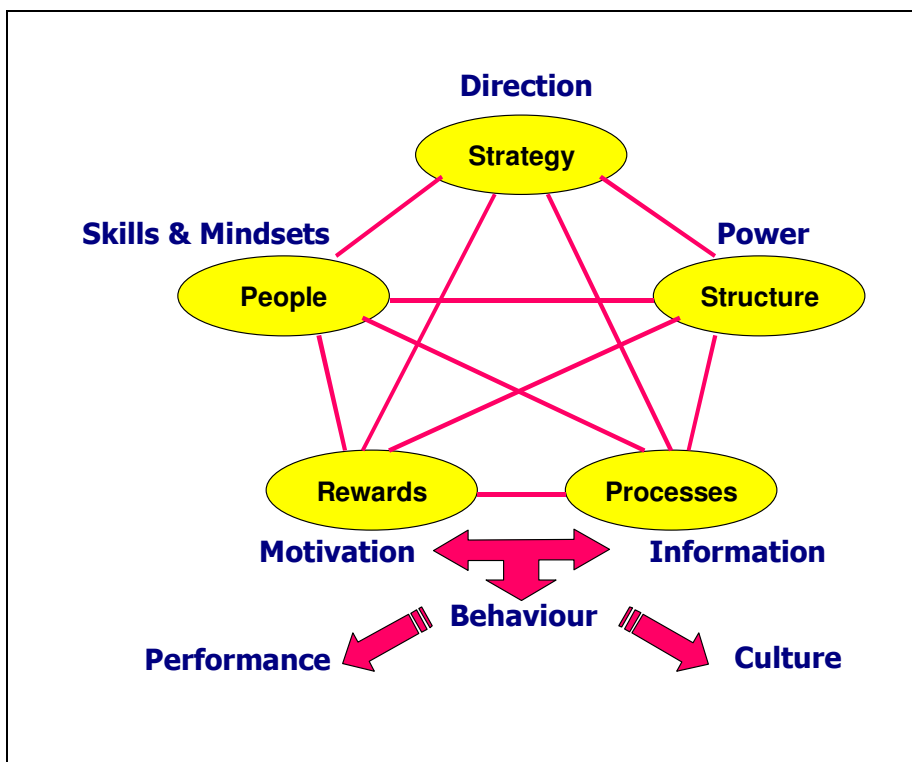
The CARDESA will not be expected to duplicate or replace on-going national and regional research programs, but will facilitate and coordinate them to encourage knowledge sharing. A clear distinction must be made between a

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<sup>8</sup> Contracted organisations may include CG Centres, academic/research institutions, private sector (such as consultants) or stakeholder bodies, NGOs and CBOs.

research project and a program. Projects are generally short-term in nature with a specific mandate and timeline, but feeding into a broader long-term Program. The SRO will be a specialized institution focusing on a broad and long-term research program. It is to be viewed as a vehicle for regional cooperation working through strategic partners and regional and national thematic centres of leadership in agricultural research and development.

The SRO must be organized to give effect to the institutional proposals and to perform the proposed functions. However, organizational design needs to consider far more than structure, particularly when considering an organization that needs to be effective, efficient and customer services oriented. A useful and accepted framework for holistic organization design is based on the “star model” presented in Figure 2.2.



**Figure 2.2: Key Elements for Organizational Design**

Source: Adapted from the Department of Water Affairs and Forestry of South Africa (2001). Guidelines on the Viability Study for the Establishment of a Catchments Management Agency.

The five elements of the ‘star’ model are:

- a. *Strategy* determines direction for the organization.
- b. *Structure* determines the location of decision-making power.
- c. *Processes* have to do with the flow of information.
- d. *Reward* systems influence the motivation of people to perform and address organizational goals.

- e. *People* (human resource) policies influence and frequently define employees' mindsets and skills.

In general the lessons from the available examples have shown the importance of the following factors when designing an appropriate SRO:

- Ownership by and responsiveness to key stakeholders including those within the NARS<sup>9</sup>;
- Governance and management arrangements that focus on accountability, that are responsive to diverse sets of stakeholders and that has a lean and effective Technical Secretariat;
- Proactive leadership both in the Board and Technical Secretariat in promoting partnerships and alliances;
- Institutional autonomy and flexibility to ensure operational procedures needed to mobilize, manage and account for funds and programs, and the right type of incentives to perform;
- A focus on viability and sustainability through various strategies that include increased and regular contributions from a diverse range of stakeholders, increased cost-sharing in implementing regional research activities, and establishment of endowment funds predominantly with donor support; and
- It is important to recognize that SROs are there essentially to provide a regional public good, and cannot be left entirely to market forces or pure private sector corporate governance principles.

Issues of institutional reform relate closely to and are governed by policy reform. In the context of the FANR and the SRO there are two relevant areas of agricultural policy. Firstly, policy of national governments in the SADC region towards public research, the reform process and their commitment to increase the proportion of government revenues devoted to research and development. Related to this is policy to support the formation of efficient and autonomous agricultural institutions. Secondly, the extent to which present policies encourage or inhibit market development – policy research should provide evidence in support of policy change to create a climate of incentives for investment by the private sector and, build confidence among smallholders to invest in surplus agricultural production. The SRO through programmes like SADC MAPP has an important advocacy role to lobby for appropriate policy change, but this will not be an easy task in some countries where government support for research has declined greatly during the previous decade.

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<sup>9</sup> In this report, NARS is defined according to FARA. It is inclusive of all stakeholders involved in agricultural research and development, including the private sector, farmer organisations and civil society organisations involved in agriculture, extension or advisory services

In this regard, it has been necessary to examine in detail the current structure and functional responsibilities of the FANR Directorate with a view to recommending a rationalization of the functions, so that there is a clear distinction between the policy strategy formulation coordination roles that are under the direct purview of the Secretariat, and the programme coordination role that can be delegated to the SRO and its family of strategic partners. This approach would ensure that there is minimum conflict and duplication of functions and responsibilities between the FANR and the SRO.

To conclude, it can be noted that there are different institutional mandates, whereby the FANR Directorate is expected to enhance its focus and capacity to formulate policies and strategies, increase donor harmonization and alignment (all priorities reinforced by the Windhoek Declaration), whereas the SRO for R&D is expected to focus on effective day-to-day coordination and implementation of a demanding and complex research and development agenda and be responsive to multiple stakeholders.

#### **2.4 Lessons Learnt from the Institutional Analysis of SACCAR and other SROs**

In the context of this conceptual and cross-country review of institutional experiences with regional organizations, a review of the SACCAR experience was carried out and the results of this assessment are outlined in Appendix III. This section highlights the main lessons learned from the institutional analysis of the former SACCAR and other SROs in Africa.

The SACCAR was governed and financed by SADC Member States. Due to differences in their priorities and willingness to finance regional programmes, inflows of revenue were irregular. Furthermore, SACCAR failed to attract funding from corporate entities due to lack of private sector involvement in the governance system and failure to accommodate their interests in research, extension and training programmes.

In contrast, most SROs are autonomous, lean and flexible, and are governed by a stakeholder assembly which elects a Board of Directors. Leadership effectiveness at the Board and Secretariat levels coupled with effective interaction with policy makers are a key common success factor amongst successful SROs. Experiences of ASARECA in East Africa and CORAF/WECARD in West Africa, for example, have generally been positive due to their operational autonomy and flexibility in addressing the member country regional R&D needs, minimal political influences, and increased attention to secure broader stakeholder participation and ownership.

As observed in the SRO options study of 2007, all SROs are very dependent on donor funding, recognizing that they are providing essentially a regional “public good”, where the market forces will not ensure financial viability. However, all SROs are increasingly positioning themselves to strengthen their financial sustainability through various strategies, including: increased contributions from diverse stakeholders, including increased “cost sharing” on regional research agendas (with little significant achievements thus far, but offering potential); establishing endowment funds, such as FONTAGRO by ASARECA; and now being explored by CORAF/WECARD.

The capacity to establish a successful endowment fund requires a solid track record first. Donor agencies are increasingly demanding upfront credible strategies and performance-based indicators for encouraging enhanced operational and financial sustainability (which is closely linked to being responsive and effective to a diverse stakeholder base). Another related lesson is the need to ensure institutional relevance and effectiveness, both as a means to improve impact and to ensure overall sustainability and support from stakeholders

The lessons from ASARECA and CORAF/WECARD indicate that it is important to enable the SRO to evolve and mature “organically”, or from within, grounded on establishing strong alliances and partnerships with multiple stakeholders, especially the farming community. The role of SADC MAPP will be to support the institutional maturation process of the new SRO. It is believed that the expertise and initial nurturing which can be provided through FARA, as an umbrella and facilitating forum for the region, can accelerate the SRO’s learning-by-doing, and also help it avoid (or minimize) mistakes committed by other SROs.

### **3. COMPLEMENTARITY OF FUNCTIONS AND ACTIVITIES OF FANR AND THE PROPOSED CARDESA**

An overall principle in the establishment of a semi-autonomous SRO for the SADC region is to ensure that the region is able to implement effectively Pillar 4 of the CAADP for the region. This requires complementarity of functions and activities between FANR and the proposed SRO. The following section outlines the main guiding principles.

#### **3.1 Functions of FANR**

SADC has undergone restructuring since 2001, moving from a decentralized structure with sector coordinating units based in different Member States supported by a few specialized institutions, to one where all programs are centrally located. It has been undertaking several initiatives designed to streamline its operations and systems to become an effective organ for

regional integration and for delivering the overall objectives of the Community. This has involved undertaking an organizational analysis of the Secretariat to review and evaluate reporting lines and functional relationships within and between the various directorates and units to ensure the Secretariat's efficiency and effectiveness in pursuance of its mandate as the principal executive organ of SADC. The restructured SADC Secretariat is now centralized and collapsed into four Directorates and specialised Units.

The FANR Directorate is the major agency responsible for coordinating agricultural R&D in the SADC region, in addition to other functions. In addition to the on-going regional programs being driven through the FANR Directorate, there are several NGOs, private and semi-autonomous companies and CGIAR institutions that are involved in various agricultural research and development programs in the region. There is no clear framework for monitoring and coordinating these research programs outside the public domain. The lack of capacity and of an effective structure has limited that ability of the SADC region to coordinate and implement the programs.

The strategic objective of the FANR Directorate is to develop, promote, coordinate and facilitate harmonization and alignment of policies, strategies and programs to increase agriculture and natural resources production and productivity, and to promote trade, food security, and economic development in the SADC region in a long-term sustainable manner. Strengthening regional capacity for agricultural research and development is one of its specific functions and priority areas.

The FANR functions are currently being coordinated through the following six technical units:

- Agricultural Information Management Systems, including Early Warning System, Remote Sensing System, Drought Monitoring Systems and Regional Food Reserve Facility;
- Crop Development, which includes Seed Security, Plant Protection, Food Safety and Agricultural Trade;
- Livestock Development;
- Natural Resources Management, comprising Fisheries, Forestry and Wildlife;
- Agricultural Research and Development; and
- Environment and Sustainable Development Unit.

### **3.2 Complementarity of Functions between FANR Directorate and the Proposed SRO**

The FANR, as a Directorate of SADC is the regional avenue through which the research agenda and priorities of the SADC region are safeguarded, and through which the necessary regional balance is maintained. In the light of the strong stakeholder support for the proposed CARDESA in the SADC region, there must be a close relationship and clear division of roles and responsibilities between FANR and the proposed CARDESA. This relationship should be defined and enshrined in the MOU establishing CARDESA. The SRO should be perceived as a regionally driven and owned institution that needs to keep close contact with Member States at the political level through FANR, and at the technical level through its various partners who will implement the bulk of the R&D programs. In other words, CARDESA will be a dedicated and specialized professional institution focusing on technical aspects of coordinating the implementation of regional agricultural research and development programs, while FANR will be expected to focus on coordinating the policy, strategy and advocacy aspects of the R&D agenda for the SADC region. The permanent seat provided for the FANR Director on the SRO Board of Directors will help to ensure that this policy and strategy oversight role of the Secretariat is present, and that the provisions of the MOU are respected.

### **3.3 Rationalisation of Policy and Strategy and the Technical and Coordination Functions in FANR vis-à-vis the CARDESA**

In line with the current proposal to establish CARDESA as a semi-autonomous institution for coordinating R&D without duplicating or disrupting the on-going functions of FANR the FANR current functions will be rationalized by separating policy coordination and strategy development-type functions and activities from technical coordination and implementation (through SADC stakeholder organizations) of R&D-related technical services.

### **3.4 Proposed Thrust of the FANR Directorate Role**

The role of the FANR Directorate in relation to CARDESA will be that of providing policy direction and harmonization of agricultural research and food security issues. It will remain a lean and more streamlined Directorate, but with a strong team to provide the necessary linkage with CARDESA (in addition to the FANR fulfilling its other functions with regards to Pillars 1, 2 and 3 of CAADP). The main justification for the above is to avoid duplication and conflict between CARDESA and FANR by adopting the principle of subsidiarity.

### **3.5 Objectives and Core Functions of CARDESA**

#### **3.5.1 Objectives**

The proposed objectives of CARDESA are as follows:

1. To improve agricultural technology generation, dissemination and adoption by all farmers in the region through collective efforts;
2. To promote coordination and collaboration among regional and national agricultural research systems through regional cooperation;
3. To facilitate the exchange of information and technology among the SADC regional R&D institutions;
4. To promote SADC region partnerships between public, private, civil society and international organizations in R&D and training and capacity building; and
5. To mobilize human, financial and technological resources to implement demand-driven R&D regional activities, which will also contribute to the strengthening of national level initiatives.

As part of formally establishing CARDESA, it is proposed to continue the consultation process with key regional stakeholders to formulate jointly a clear vision and mission of CARDESA, which would provide the basis for fine-tuning the above proposed objectives and the functions outlined below.

#### **3.5.2 Thematic Functions**

The proposed thematic functions for CARDESA are based on the following themes of SADC MAPP's "programmatic approach" to R&D in the region:

- Theme 1: Farmer Empowerment and market access
- Theme 2: Research and technology generation
- Theme 3: Farmer-led advisory services and innovation systems
- Theme 4: Education, training and learning systems
- Theme 5: Knowledge, information and communication
- Theme 6: Institutional Development and capacity building

To accomplish the above themes and complementarity with the FANR and taking into account the feedback from country consultations and good international practices, it is proposed that CARDESA would have some of the following "core" functions, which provide the basis for the organizational structure and core staff job descriptions:

- a) To promote the development of agro-based value addition technologies through regional joint actions;

- b) To develop and update regional agricultural R&D priorities;
- c) To coordinate, monitor and evaluate joint regional agricultural R&D programmes;
- d) To develop harmonized systems of scientific and technical information and documentation for knowledge sharing through publication of quality results of joint agricultural R&D and best practices;
- e) To support regional measures to enhance the capacity of farmers groups and associations in the SADC region;
- f) To promote and strengthen research and training in the SADC region, and host regional research projects that promote agricultural R&D;
- g) To foster partnership and collaboration with, regional and international agricultural research organizations;
- h) To coordinate resource mobilization among associate promoters and partner institutions in the SADC region;
- i) To promote co-operation, consultation and exchange of information concerning agricultural research and extension among NARS; Theme 3
- j) To establish a regional plan for the development and management of human resources for agricultural R&D;
- k) To carry out the advocacy role for agricultural R&D in the SADC region among decision makers from the public sector, private sector, centres of leadership and international organizations;

The FANR Directorate and the proposed CARDESA will work closely in a partnership relationship, which will be captured in the proposed MOU. It is envisioned that FANR's main functions will be:

- a. To provide overall strategic policy guidance and leadership to ensure that the R&D agenda and priorities are consistent with the SADC mandate for regional food and agriculture;
- b. To maintain interface with other programs and Directorates of the Secretariat that have an impact on CARDESA;
- c. To facilitate high-level contacts with international cooperating partners and African-based regional bodies like COMESA, AU, FARA etc;
- d. To provide leadership in the harmonization and alignment of policies, strategies, and protocols that involve the SADC region, in line with the principles outlined in the Windhoek Declaration;
- e. To develop and endorse relevant legal instruments and ensure compliance;
- f. To promote the development of effective networks and facilitate dialogue among stakeholders in the region, with a focus on the policy and strategy aspects;
- g. To represent CARDESA and report on agricultural research matters at SADC Ministerial Meetings and Summit; and

- h. To assist in policy and strategy advocacy and resource mobilization, including Member State contributions.

#### **4. GOVERNANCE AND ORGANIZATIONAL STRUCTURE OF CARDESA**

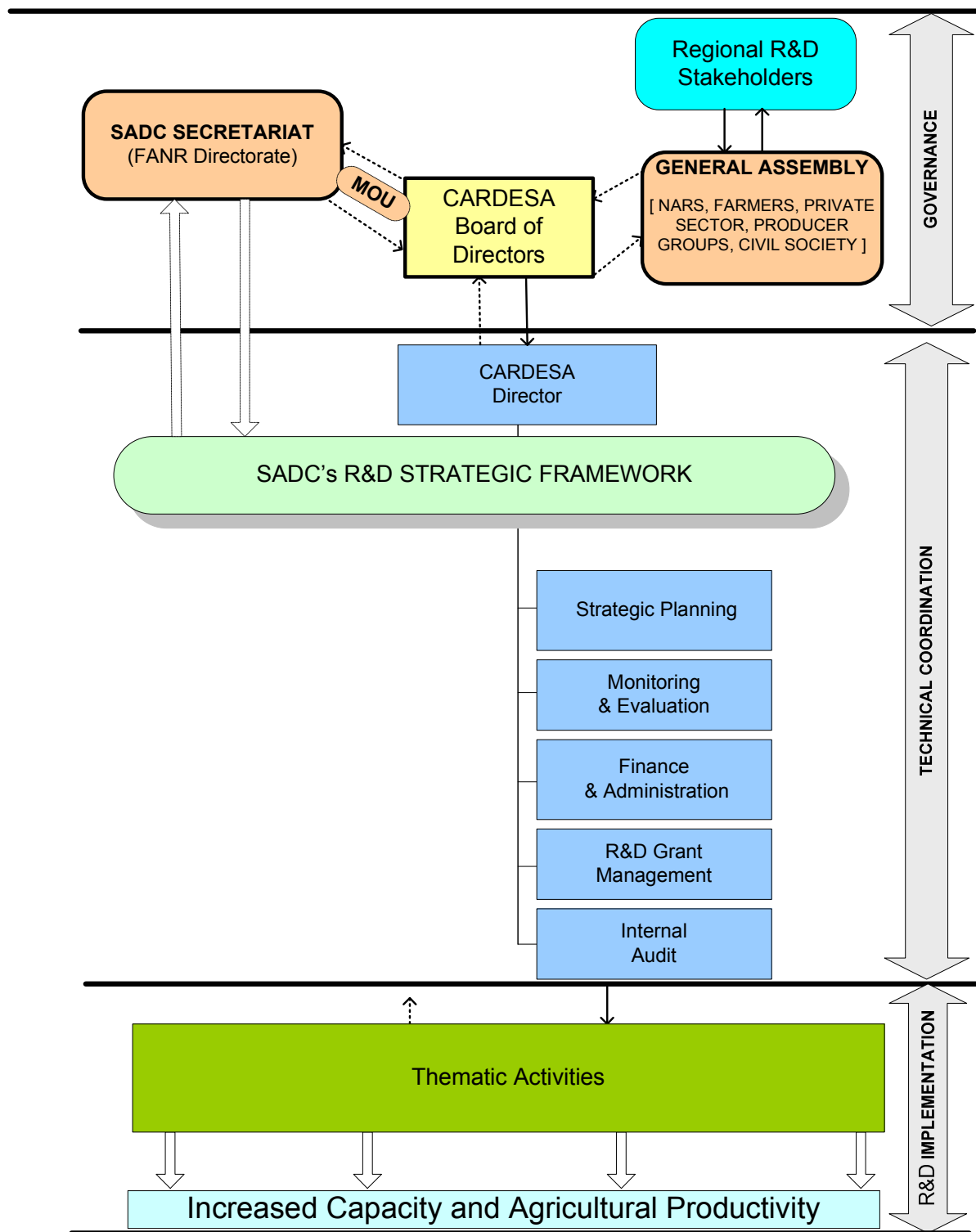
##### **4.1 Governance Elements**

Having examined carefully the objectives and functions of the proposed CARDESA, taking into account the complementarity and vital role of FANR, and having considered the experiences and good practices of existing and similar institutions within and outside the SADC region, it is now possible to recommend an appropriate governance and organizational structure for CARDESA. The complementary elements are as follows:

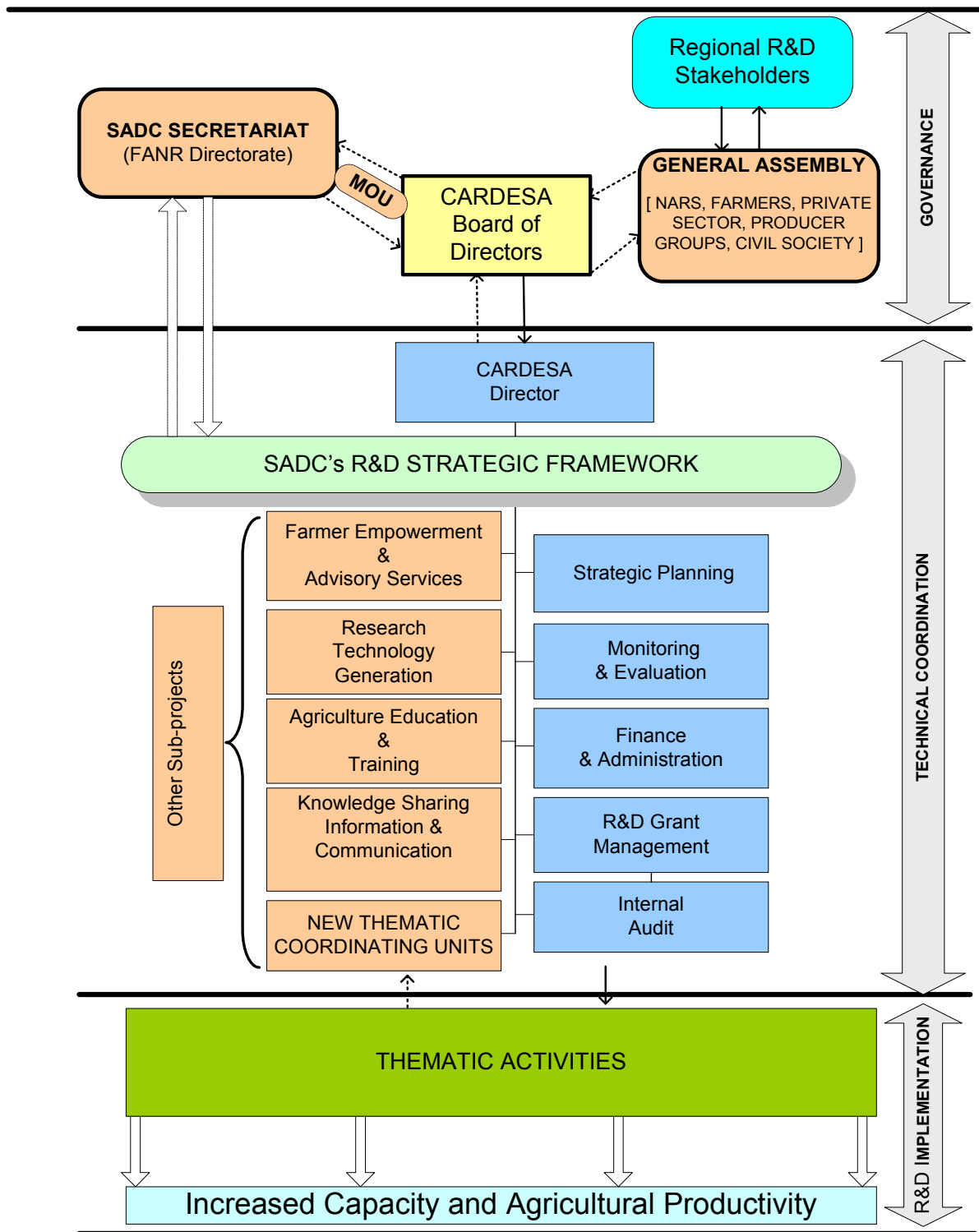
- a) A Memorandum of Understanding (MOU) establishing the CARDESA;
- b) An MOU between the SADC Secretariat and the CARDESA Board of Directors, defining the functional status and relationship of CARDESA vis-à-vis the SADC Secretariat;
- c) The General Assembly of Stakeholders forming the “base clients” , owners and promoters of CARDESA;
- d) A Board of Directors (BOD) elected from the General Assembly, which provide the main governance oversight and direction to CARDESA;
- e) Operational Committees of the Board (e.g., Strategic Planning, Finance, Technical R&D);
- f) Technical Secretariat forming the Management and “core” and other technical and support staff and consultants of CARDESA to carry out the day-to-day functions of CARDESA;
- g) SADC Region Strategic Stakeholders, including Partners, Centres of Leadership and Networks linked through contracts, MOUs and joint agreements, and which are the main implementers of most research and development programs;
- h) National Agricultural Research and Extension Committees, which will provide a useful consultation mechanism at the country level, while adding the regional perspective through CARDESA; and
- i) An independent operational and financial audit.

Figure 4.1 shows the proposed organizational chart of CARDESA. Figure 4.2 shows the place of SADC MAPP in the SRO in the first 5-year phase, including the transitional period of 2008-2010 to show the close collaboration and harmonization with on-going regional projects, all guided by SADC’s R&D strategic framework that is yet to be developed. Figure 4.3 shows the Organizational Chart for the SRO in the subsequent phases of SADC MAPP and after the on-going regional projects are completed, to show

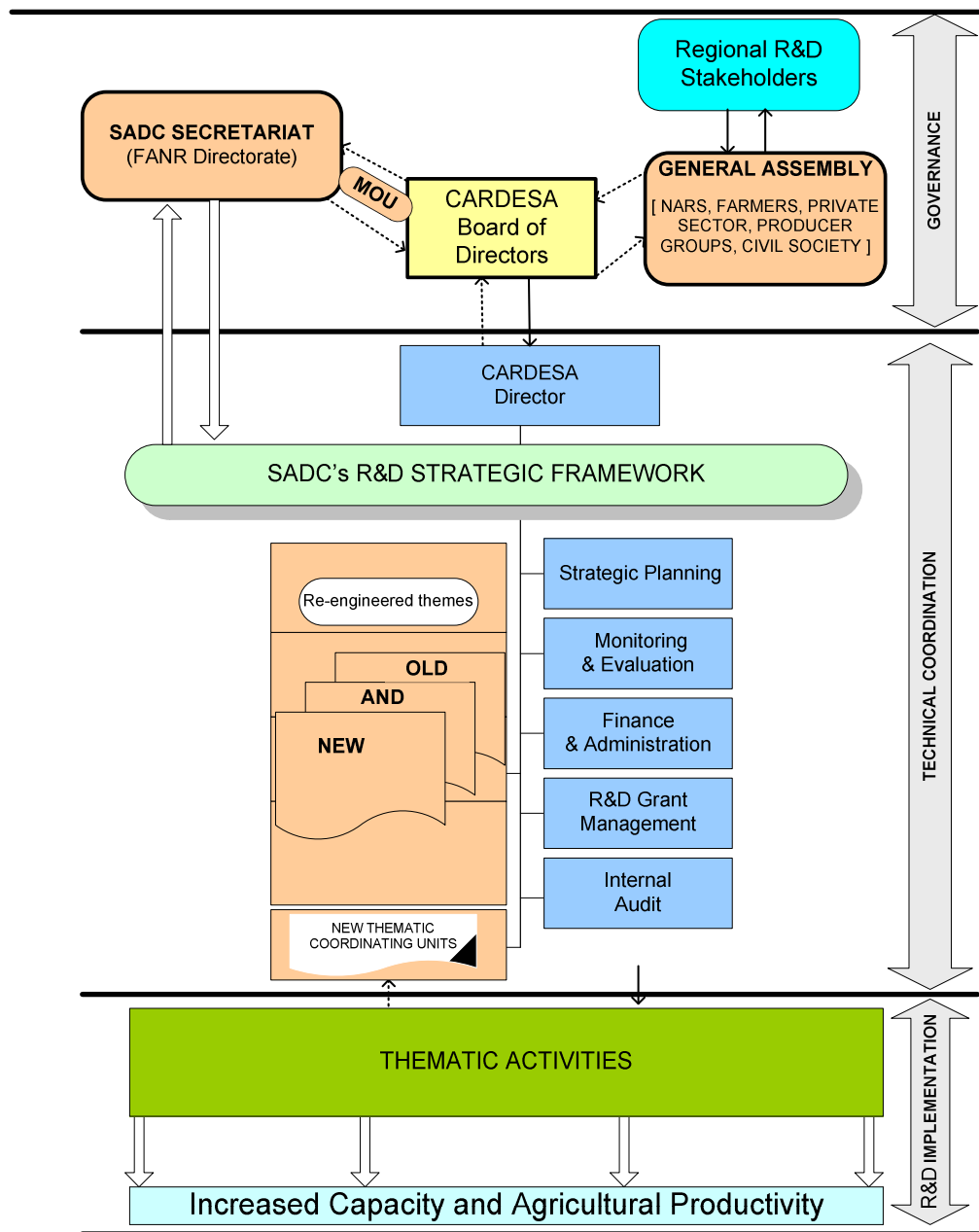
that the regional programs would have become fully harmonized and aligned in coherent and re-engineered old and any new themes, guided by SADC's updated Agricultural R&D Strategic Framework. Each of the governance elements is described in more detail below.



**Figure 4.1 Structure of CARDESA**



**Figure 4.2: Governance and Organizational Chart for CARDESA (Yr 1-5)**



**Figure 4.3: Governance and Organizational Chart for CARDESA (YR 6 onwards)**

#### 4.1.1 Memorandum of Understanding establishing CARDESA

There shall be an MOU that will spell out the framework and the necessary provisions for the establishment of CARDESA. The draft of the MOU is given in Appendix 1 of this report.

It is proposed that there will be one signatory to CARDESA “umbrella” MOU, namely, the Ministers of Agriculture for each of the participating Member

States. They will accord CARDESA the necessary recognition and ownership by SADC.

#### **4.1.2 Memorandum of Understanding between the SADC Secretariat and the CARDESA Board of Directors**

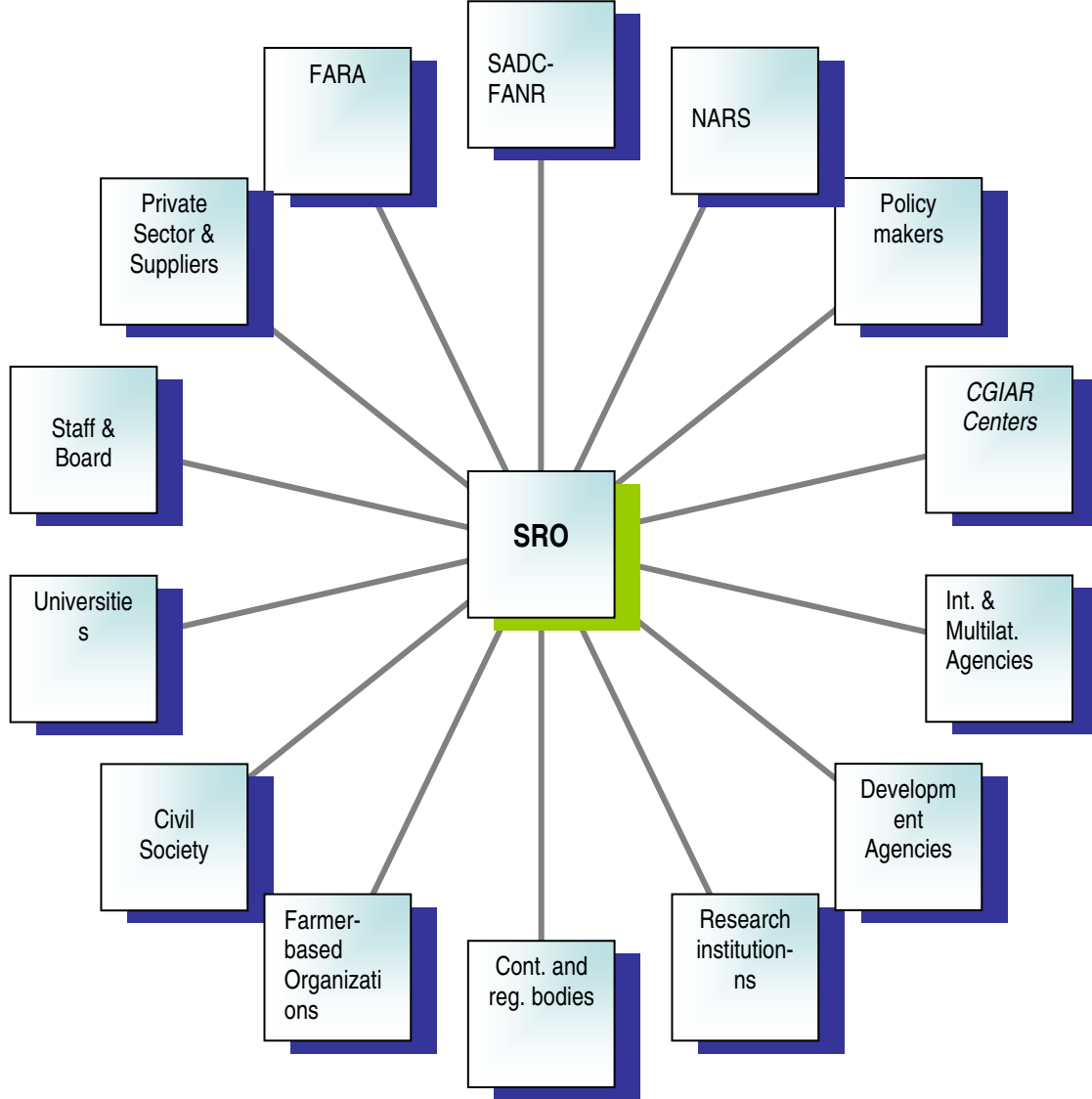
This Memorandum of Understanding (MOU) will define the operational framework and relationship of CARDESA, as well as the governance and administrative provisions, vis-à-vis the SADC Secretariat. A number of operation manuals will be drawn up to support the effective execution of the obligations set out in the MOU. These manuals will include: the technical procedures for allocation of funds, human resource manual and procedures, and financial manual and procedures,

The MOU further spells out and formalizes the linkage of CARDESA with the SADC Secretariat, especially the FANR. In the preamble, the MOU describes the nature of the two organizations, and the object of the partnership, then indicates the obligations, complementary roles, responsibilities and duties of each of the two partners.

This MOU will be prepared once the approval of the establishment of CARDESA has been granted, and will be endorsed by the SADC Secretariat and the Board of Directors of CARDESA.

#### **4.1.3 General Assembly of Stakeholders of CARDESA**

The SADC agricultural strategy recognizes that there are significant opportunities for improved partnerships and linkages between private and international research centres and national and regional research programs for it to achieve sustained technology-led growth. Within each SADC Member State there are national agricultural research and extension systems. Fig 4.4 illustrates the stakeholders that would constitute CARDESA General Assembly and Promoters of CARDESA out of which CARDESA Board of Directors would be elected. Farmers and farming organizations are included in this list, as well as international research organizations operating in the region.



**Figure 4.4: R&D Stakeholders constituting the General Assembly**

The General Assembly constitutes the main clients, owners, and promoters of CARDESA (Fig 4.4). These are the institutions whose operations influence and are affected by the activities of CARDESA. They have a vested interest in it. They sanction the priorities of its operations at an annual or bi-annual general meeting, including election of the Board of Directors, approval of the Strategic Plan, approval of the annual work plan and budget, and any amendments to the MOU..

#### **4.1.4 Board of Directors of CARDESA**

The Board of Directors of CARDESA will be appointed through a Standing Committee appointed by the General Assembly of SADC R&D stakeholders. To keep the Board sizeable and manageable, it is estimated that the total size would be 9 -11 members. Accordingly, not every SADC Member State will have a formal representative at all times. Efforts will be made to ensure that the Board of Directors is representative of key stakeholders and

thematic groups in the region. It will be an accountable board which can sue or be sued, therefore, each Board member will be required to sign a contract spelling out his/her responsibilities and obligations. All members of the Board will be appointed for their individual skills, experience and expected contribution to the R&D agenda for the SADC region. They will be expected not to be confined to thematic or national interests. Membership to the Board would rotate on a staggered and frequent schedule to give opportunity for stakeholders from all participating Member States to be represented, including gender representation. There will be a balance with the need to maintain continuity of programs by retaining some members for longer periods. It is proposed that the SADC Secretariat will have a permanent seat on the Board in line with the MOU with CARDESA, and would be represented by the Director of FANR (who could serve as the initial Deputy Chair of the Board). There will be provision for specialized groups and partners to have observer status on the Board.

The Board shall comprise members with one representative from each of the main stakeholder groups, which will include the following:

- Chairperson (an individual with professional respectability and experience in R&D coordination and implementation);
- Representative of the SADC Secretariat and initial Deputy Chairperson (proposed to be the Director of FANR, to be appointed by the Executive Secretary);
- Regional Farmer Organizations e.g. Southern African Confederation of Agricultural Unions (SACAU);
- National Agricultural Research System representative;
- National Agricultural Extension System representative;
- SADC Agribusiness Forum representative;
- Representative of the NGOs in the agricultural sector;
- Deans of Faculties of Agriculture representative; and
- International Agricultural Research Centre representative.

The Director of CARDESA would serve as the Secretary to the Board of Directors. It is proposed that the Executive Director of FARA would serve as advisor to the Board of Directors, as part of FARA's role to support the strengthening of the SROs, and help cross-fertilize the relevant experiences from the other SROs in Africa, as well as any updating to NEPAD's Pillar 4 and the FAAP.

#### **4.1.5 Committees of the Board**

In order to speed up decision-making and have more focus on strategic and operational issues, CARDESA Board of Directors will appoint appropriate committees to act on its behalf. It is proposed that the following three committees be considered, given their important operational roles during

the early development of CARDESA: (a) Strategic Planning and M&E (which would include the coordination of key linkages with on-going regional R&D projects); (b) Finance; (c) Technical R&D, which could include the functions of assessing and deciding on the proposed subproject grant schemes. The Committees would be established and adjusted according to the priority needs of CARDESA and the Board of Directors.

#### 4.1.6 Technical Secretariat

The Technical Secretariat forms the management and core staff of CARDESA. It would be comprised of the CARDESA Director who will be responsible for the effective and timely implementation of the agreed strategic plan and annual plans, as approved by the Board of Directors. The Terms of Reference for the CARDESA Director are given in Appendix IV. It is envisioned that the core staffing of CARDESA will require initially about eight professional staff, with about nine technical support staff (Table 4.1). The work plan requirements and available funding may however warrant a phased recruitment of the CARDESA staff and the hiring of short-term consultants to help carry out specific functions and outputs, in line with the agreed work plan and budget.

The CARDESA Director will be assisted by a Strategic Planning Coordinator, an M&E Coordinator, a Subproject Grant Management Coordinator plus Assistant, and four R&D Thematic Coordinators responsible for the following core themes:

- Farmer empowerment and dissemination services
- Research and technology generation
- Education and training
- Knowledge, information and communication

**Table 4.1: Summary of CARDESA's Core Staff Requirements**

<b>Core Staff</b>	<b>Core Functions</b>
<b>Professional Staff (8)</b>	
Director	Leads CARDESA through effective coordination, facilitation, empowerment, communication and partnership skills. Must also have sound knowledge of R&D issues and programs of the SADC region.
Strategic Planning	Will help ensure the strategic plan is implemented/updated,
M&E Coordinator	Coordinates the M&E activities
Thematic Coordinators (4)	Sound scientific and operational knowledge and experience of the thematic areas to be promoted and coordinated.

<b>Core Staff</b>	<b>Core Functions</b>
Grant Management Coordinator	Will coordinate the competitive grant scheme processes for approval and implementation
<b>Technical/Support Staff: (9)</b>	
Grant Management Assistant	Assist the Grant Management Coordinator in the day to day running of the Grant management Unit
Finance and Administration Manager	In charge of all the finance and administration, including human resource management
Accountant	Handles all bookkeeping and disbursement of funds
Internal Auditor	Carries out the audit functions, including of the funds allocated to the subprojects.
Administrative Assistant	Supports CARDESA Director with all administrative and related coordination duties
Internal ICT Manager	Handles day to day ICT support issues of the CARDESA staff
Documentation Assistant	Serves as librarian responsible for information sharing
Secretary	Standard office duties
Driver	Standard office duties

The Strategic Planning and M&E units would help ensure the annual work plans are consistent with CARDESA Strategic Plan (5-year period, and to be updated periodically), and ensure the M&E system generates the key information to facilitate smooth implementation and any needed adjustments, under the overall guidance of the Director and the Board as and when needed.

The R&D Thematic Coordinators will provide the direct link with Activity Coordinators from lead institutions or centres of thematic leadership. These will invariably be specialized centres including NARS, who will be assigned responsibilities to implement specific regional R&D programs, including the MAPP-funded subprojects. The choice of centres will be determined and short-listed by CARDESA Technical Secretariat (coordinated by the Grant Management Unit) for approval by the Board. There will be room to work with experts from institutions within the SADC region. Depending on the scope of the agreed work plan and budget, the CARDESA Secretariat may hire the services of short term consultants to assist in carrying out specific activities which would generate tangible outputs.

The Thematic Coordinators, together with the support of the Grant Management Unit (GMU), would be responsible for the technical supervision of the approved subprojects. The GMU would have the administrative responsibility for supervising the approved subprojects, with the support of the M&E Unit which would generate key information on implementation progress and intermediate outcomes. Finance, administration, and internal audit, would be support functions under the CARDESA Director.

#### **4.1.7 SADC regional strategic stakeholders**

The strategic stakeholders including partners, centres of leadership and networks will be the main implementers of most research and development programs. Centres of Leadership would constitute the Networks and strategic partners who will implement the thematic research programs, under the guidance of CARDESA. To improve coordination and monitoring, the activities will be linked through contracts, MOUs and joint venture agreements for implementers of specific research programs. Centres of Leadership will be selected from among the various regional agricultural stakeholders, including through competitive bidding systems.

The SADC MAPP, through CARDESA, will be taking a transparent and participatory approach to generating and funding sound R&D subproject proposals to be implemented by the regional stakeholders and partner organizations. It is envisioned that the Director of CARDESA, based on appropriate approval process, would countersign subproject contracts with said implementing organizations.

#### **4.1.8 National Agricultural Research and Extension Committees**

Many countries in the region have formed various types of national agricultural research and extension committees that meet regularly to exchange information and consult on research priorities. These will form important national focal points for CARDESA's activities and thematic coordinators, with the aim of strengthening the national-regional R&D linkages and joint activities.

#### **4.1.9 Independent operational and financial audit**

An independent operational and financial audit will be carried out annually, and submitted to the BOD for their review and appropriate actions. The operational audit would help ensure CARDESA Secretariat and its operational committees comply with the agreed policies and procedures of MAPP, including SADC MAPP's operational manual and the subproject processing and fund allocation criteria and procedures

### **4.2 Linkages between CARDESA and other Programmes**

There are several on-going projects in the SADC region which will form a part of the overall SADC R&D strategic framework, and would be supported by CARDESA functions. These on-going SADC projects include the following:

1. The Fund for Innovative and Regional Collaborative Project (FIRCOP) is a small 4-year pilot project supported by the French Government. The basic objective of the project is to support regional research and training projects. It has two components that include a competitive research fund and funds for managing the program and for capacity building.
2. The Implementation and Coordination of Agricultural Research and Training (ICART) is an EU supported project (total cost of about US\$20 million), which is scheduled to be completed by 2010. It provides training for improving networking amongst NARS in the region, competitive research grant funds, and resources for staff training and building the training capacity of Universities in the region. The project so far has awarded seven research grants covering ten SADC Member States under its competitive grant system. It is also supporting the development of Masters-level training programs, capacity building on proposal writing, project management and development and agricultural information and communication management tools to support the regional initiative.
3. The Land and Water Applied Research Programme.
4. SADC Plant Genetic Resource Centre Project.
5. Continental programmes developed through FARA and coordinated and implemented at regional level. These programmes include:
  - The Sub-Saharan Africa Challenge Program (SSA CP);
  - Regional Agricultural Information and Learning System (RAILS);
  - Dissemination of New Agricultural Technologies in Africa (DONATA);
  - Strengthening Capacity for Agricultural Research and Development in Africa (SCARDA); and
  - Building African Scientific and Institutional Capacity (BASIC)

The activities of these projects are in line with SADC MAPP's core themes and overall objectives. The nature of the strategic and operational linkages and phased integration with the MAPP programmatic framework and sustainability of their activities will be underpinned by SADC's R&D Strategy and associated regional priorities, and further guided by the SADC MAPP harmonization and alignment strategy and action plan. All of these combined efforts aim to harmonise implementation of CAADP's Pillar 4 for the SADC Region.

It is proposed that these on-going projects continue their implementation with the current implementation arrangements, but within the SADC MAPP programmatic framework, and take a phased approach to being integrated in and supported by CARDESA. Figures 4.2 and 4.3 illustrate this linkage. Since the projects will be completed by 2010, it is important to focus on

integrating their activities with the SADC MAPP framework, while endeavouring to harmonize their operational activities to the extent possible. This convergence with on-going projects forms part of the MAPP transitional strategy.

One important task of the CARDESA Technical Secretariat, under the leadership of its Director, will be to forge partnerships with various thematic institutions, programmes and specialized networks in the SADC region. Thematic activities and specific functions would be developed under each of the above programs through a process of intensive stakeholder consultations. The process of stakeholder consultation that has already been initiated under the SADC MAPP preparation phase will provide the basis for CARDESA to select its strategic partners. This process would also involve identifying Activity Coordinators from among the stakeholders, and assign thematic activities to them. Different NARS have specific areas of strength and competence. The MAPP-funded grant schemes will be used as vehicles to forge these partnerships of regional joint activities. Where necessary, a competitive bidding process is recommended in situations where there is more than one institution with similar areas of specialization. Regional and international policy research organizations like ReSAKSS-SA, FANRPAN, IFPRI and CG Centres would, for example, be called upon to give leadership in cross-cutting policy issues through MOUs and research partnerships.

## **5. CARDESA'S ESTIMATED COSTS AND FINANCING STRATEGY, MECHANISMS AND SUSTAINABILITY**

### **5.1 CARDESA's Indicative 5 Year Budget**

Based on the core functions and staffing outlined above, Table 5.1 shows an indicative budget for the first five years for establishing CARDESA, while longer term financing plan will be worked out during the initial years of its operation and securing a performance track record. It is difficult to estimate a meaningful indicative budget before the full mandate and organizational structure of CARDESA has been approved. The proposed Strategic Plan would come up with a more precise estimate, which would be subject to review and approval by the newly established Board of Directors. From Table 5.1 it is estimated that the budgetary requirements for CARDESA's core functions could cost about \$1.4 million per year, including personnel and administration, operational and goods and equipment costs. The CARDESA budget for the first phase is expected to be part of the overall SADC MAPP budget.

**Table 5.1: Indicative Five-Year Budget for CARDESA**

	<b>Detailed Costs (US\$ '000)</b>					
	2009	2010	2011	2012	2013	Total
<b>A. CARDESA Secretariat Staffing</b>						
Professional Staff	473	946	946	946	946	4,258
Support Staff	206	413	413	413	413	1,858
<b>Subtotal</b>	<b>680</b>	<b>1,359</b>	<b>1,359</b>	<b>1,359</b>	<b>1,359</b>	<b>6,116</b>
<b>B. CARDESA Running Costs</b>						
Running Costs	23	46	46	46	46	207
Travel Allowances	25	50	50	50	50	225
<b>Subtotal</b>	<b>48</b>	<b>96</b>	<b>96</b>	<b>96</b>	<b>96</b>	<b>432</b>
<b>C. Goods and Equipment</b>						
Vehicles	40	40	0	0	0	80
Office Equipment and Furniture	<b>30</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>23</b>	<b>53</b>
Misc. Equipment	10	10	10	10	10	50
<b>Subtotal</b>	<b>80</b>	<b>50</b>	<b>10</b>	<b>10</b>	<b>33</b>	<b>183</b>
Focal Point support	350	350	350	350	350	1,750
<b>Grand total</b>	<b>1,158</b>	<b>1,855</b>	<b>1,815</b>	<b>1,815</b>	<b>1,838</b>	<b>8,480</b>

## 5.2 Financing Strategy - Overall Framework and Approach

CARDESA is first and foremost a regional organization owned by Member States and stakeholders, and is expected to perform a predominantly regional “public function” of promoting and coordinating agricultural R&D for the SADC region. Secondly the organization will be expected to produce tangible benefits, which are largely “regional public goods”, for public, private and non-governmental organizations in the SADC region, which predominantly serve smallholders. As such, it follows that the financing strategy and arrangements of CARDESA should reflect its diverse institutional and stakeholder base and primary clients. This section outlines a framework for the proposed financing strategy and mechanisms, to help secure the formal approval and facilitate detailed design of CARDESA. The strategic plan will be prepared soon after posting CARDESA’s Director, and will provide an opportunity to prepare CARDESA’s first Strategic Plan. It will include the validation and further refinement of a financing and sustainability strategy for CARDESA, along the lines discussed below. Moreover, the SADC MAPP document has shown that R&D investments in the SADC region are likely to generate attractive economic rates of return (most of them exceeding 40 percent, well above the opportunity cost of capital in the SADC region). These returns are consistent with the results of a vast number of ex-post economic impact assessments for R&D investments (see SADC MAPP document for further details).

The issue of sustainability is critical for the effective functioning of CARDESA. This report has come up with suggestions regarding a

combination of financing options that would help ensure a credible plan to sustain the operations of CARDESA, together with a brief assessment of the pros and cons of each option. Given the public good nature of CARDESA's functions, it should be recognized from the outset that the financial sustainability initially will rely primarily on sustained contributions from international donors, and increasingly from the Member States, followed by stakeholder groups who believe CARDESA is generating tangible incremental financial benefits.

While it is envisioned that CARDESA will diversify its funding sources over time, the best assurance to its sustainability is to rely on its good performance and responsiveness to its key stakeholders, especially in generating the expected incremental economic returns, which is the main criterion used by donors to continue their funding. This means that an effective CARDESA will help ensure increased agricultural productivity and associated economic returns of a magnitude which will help the SADC region to essentially repay the costs of financing CARDESA, if they were to be charged all of the costs. There are major "core" donors who have expressed their intentions to support SADC MAPP for the next 15 years (at least 50% on a grant basis), and they consider that a semi-autonomous SRO such as CARDESA is a necessary institutional instrument to secure the expected incremental benefits. This approach and rationale of sustainable funding for agricultural R&D is consistent with international experience, as evidenced by ASARECA, CORAF, and the international research system.

### **5.3 Possible Funding Sources and Mechanisms for CARDESA**

The possible financing sources and mechanisms for CARDESA to help ensure its sustainability are outlined below. These sources are based partly on the experiences of ASARECA, CORAF and FARA, which are also addressing the challenges of securing financial sustainability as providing primarily regional "public goods". These funding sources would be examined in greater depth at the time of carrying out CARDESA Strategic Plan. The financing options outlined below are not mutually exclusive: they are complementary and their relative importance will evolve over time.

Primary Funding Sources in the First 5-year phase of SADC MAPP:

- Funding from International Cooperation Partners (ICPs) (maximizing grants, via various modalities, including programmatic funding, such as through grant trust funds, "basket funds", harmonized and aligned projects)
- Establishment of a CARDESA endowment fund, to which donors would make substantial one-off contributions, which can be used to finance "core" funding of CARDESA.

- SADC Secretariat contribution
- Member state contributions

Primary/other Sources in Phases 2 and 3 of SADC MAPP:

- ICP Funding (increasingly using program-based approach by participating donors, via a “basket-fund” for priority SADC MAPP R&D “themes”)
- CARDESA Endowment Fund (initiated in Phase 1)
- SADC Secretariat
- Direct Member State Contributions
- Member State Contributions through National Institutions
- Private Sector Sponsorship/Contributions
- Membership Subscriptions and Research Levies
- Generation of Own Revenue Sources (while ensuring it does not divert CARDESA from focusing on its “public good” functions).

### **5.3.1 ICP Funding**

Development finance institutions and international cooperating partners (ICP) have and will continue to play an important role in funding public sector oriented R&D programs and projects and core funding in the region, despite the stringent conditionality that often goes with this type of funding. There have been many studies done on the issue of donor-funded research and its sustainability. To date this remains the dominant form (at least 90% of total costs) of funding for SROs across Africa (ASARECA, CORAF, FARA, others), despite the issues of sustainability and conditionality. In the initial 5-10 years, international donors will probably comprise the dominant source of funding (with an effort to maximize “untied” grants) for CARDESA (on the assumption of “good” performance), and their share would be expected to reduce over time. The proposed Strategic Plan, which would be updated periodically, should assist in identifying a strategy broadening funding sources to include a diversity of donors, and to continue to maximize grant funding to the extent possible. It is possible that some donor funding would be through “soft” and no interest loans from some of the donors, which could also help mobilize counterpart cash contributions.

### **5.3.2 Member State Contributions**

In addition to the ICP funding, Member State contribution is very important. This type of funding helps to strengthen the regional ownership of CARDESA. This is also consistent with the semi-autonomous nature of CARDESA where it should seek financial contribution from its stakeholders as spelt out in the MOU. The modalities and amounts of these Member State contributions will be determined by the Board of Directors of CARDESA after relevant consultations. This contribution could be in the

form of cash through Treasury budgets, or through counterpart contributions arising from associated ICP loans for SADC MAPP and/or in kind through provision of technical services, donations of equipment, vehicles and buildings. For accountability purposes, it is recommended that such funding be properly documented and contracts be signed between the contributing Member State and CARDESA. While this contribution ensures interest by Member States on CARDESA, it will be necessary to guard against temptation by some Member States to over-dominate the operations of CARDESA on the basis of their financial contribution.

There could be cases where Member States prefer to channel their support through national public or semi-autonomous institutions that would then forge research partnerships with CARDESA. These could be the lead centres in a particular country.

### **5.3.3 SADC Secretariat contribution**

Another possible source of CARDESA budget for its “core” functions could be the SADC Secretariat’s consolidated budget, which is made up of Member State contributions and untied assistance from cooperating partners. This type of funding also strengthens the regional ownership of CARDESA. It is acknowledged, however, that there will be several competing needs from other SADC institutions and portfolios. Therefore this financial contribution should be determined by the Board of Directors of CARDESA in consultation with the SADC Secretariat. SADC will be urged to adopt a transparent ranking criterion, which would accord agricultural R&D and food security a high priority in line with RISDP and the Dar-es-Salaam Declaration. SADC will also be encouraged to strengthen its development fund into which development finance institutions and private financiers can channel resources for the region for onward distribution to the various priority SADC programs.

### **5.3.4 Private Sector Corporate Sponsorship**

In recent years there has been an increasing trend towards direct research funding by private companies and agri-business. This is also in line with present moves to commercialize and privatize parastatals and public departments, in order to attract private funding. The public-good nature of research is, however, often in danger of being compromised where private funding is involved. The CARDESA Director will be expected to explore and come up with sustainable strategies to attract private sector funding, while retaining the development and “public good” role of CARDESA.

### **5.3.5 Membership Subscriptions and Research Levies**

It is acknowledged that CARDESA is not being established as a “membership organization”, but there is room to charge levies and invite stakeholders to make annual subscriptions or membership fees towards the sustainability of the organization (perhaps also via the endowment fund, described below). Membership fees could be linked to a member’s participation at the General Assembly (GA) through payment of registration fees, which then guarantees the member’s attendance at the next GA. The major drawback with this form of funding is that it penalizes the organizations that need financial assistance for them to contribute meaningfully to regional development. This is an area which needs more careful assessment at the time of preparing CARDESA Strategic Plan.

### **5.3.6 Generation of CARDESA’s own Resources**

With time as CARDESA gains in strength it can examine options for self-financing through consultancies and management fees, publications, sponsored events, advertising and royalties. Experience has shown that public institutions that venture into resource generation face the danger of doing so at the expense of their core mandates, although in some cases cost recovery has greatly motivated staff that would otherwise become redundant due to lack of research funding. It is stressed that this is a long term financing option which will require careful assessment at the time of preparing the Strategic Plan.

### **5.3.7 CARDESA R&D Endowment Fund**

It is beyond the scope of this report to give details on CARDESA Endowment and Investment Fund, except to highlight that a CARDESA Endowment Fund should be treated as a matter of priority to ensure the long term sustainability of CARDESA. The fund could be built up through some substantial initial contributions from ICPs, mostly on a grant basis, as well as from the other sources outlined above (to a lesser extent, at least in the initial 5-10 years). Achieving good to excellent performance will enhance the prospects of mobilizing such endowment funds. Such a fund would give CARDESA greater autonomy in running its research agenda. A CARDESA endowment fund should be established during the first five years of CARDESA functioning, after it has been able to demonstrate positive performance to its stakeholders (especially donor agencies). It is suggested that a feasibility study for establishing a CARDESA endowment fund be carried by year 2-3 of CARDESA’s existence.

In summary, in the first five years of CARDESA, the more likely sources of funding would be primarily from ICPs (and on a grant basis), and hopefully will be supplemented by some modest contributions from the SADC

Secretariat (via the contributions from its member states), and from participating member states (via the counterpart funds which are linked to possible soft-loans). Experience shows that achieving strong performance and achievement of its performance and outcome targets will help ensure CARDESA's sustainable funding from a combination of sources outlined above.

**Table 5.1: Framework for Assessing Funding Options for CARDESA**

<b>Source of Funds</b>	<b>Possible Activities</b>	<b>Potential Benefits</b>	<b>Disadvantages</b>
SADC Secretariat	Mandatory payments by member States to the Secretariat, and donations for other partners of SADC.  Necessary to kick-start CARDESA.	SADC has capacity to attract more resources. This gives SADC greater control over its institutions.	Danger when Member States fail to pay, and if there are no donors forthcoming.
Direct Member State Contributions	Direct sponsorship for research areas of interest, training, etc	Some Member States have greater capacity to fund.	Countries with financial capacity may bias CARDESA in their favour.
National Institutions	Direct partnership support by stronger national institutions for thematic areas.	Guarantees the interest of institutions for CARDESA.	Financially strong national institutions may dominate CARDESA.
Corporate Sponsorship	Specific crop and livestock research of commercial interest.	Potential to attract more private sector resources.	Research agenda may be biased towards private sector interests.
Subscriptions, Membership fees and Research Levies	Future scope to be explored.	Promotes innovativeness in CARDESA.	Should not divert CARDESA from core activities.
Generation of Own Resources	Viable cost recoverable activities to be assessed in detail.	Own funding can greatly motivate staff.	Should not be done at the expense of core business of CARDESA.
ICP Core and Program Funding	Many programs, projects and core structures are surviving on donor funding	Donor funding is necessary to kick-start CARDESA.	Big danger is on sustainability and the issue of conditionality and compromise autonomy.
CARDESA Research Fund and Endowment Fund	Need to create own fund early.	Gives CARDESA greater autonomy to run its programs.	No disadvantage

## **6. IMPLEMENTATION FRAMEWORK, RISK ASSESSMENT MONITORING AND EVALUATION FRAMEWORK**

### **6.1 Implementation Framework for CARDESA's Phased Development**

After the formal approval of the establishment of CARDESA, the next steps towards the full establishment of the SRO is the development of a detailed implementation plan that includes the delegation of responsibilities from FANR to the new CARDESA, development of a strategic plan, and an operational framework that includes staff appointments, office accommodation, and so on.

The process of establishing and developing CARDESA will comprise a transition phase that will allow pre-implementation activities to be undertaken soon after approval in order to ensure an uninterrupted and seamless process to full establishment of the SRO. This will be followed by the operational stage when CARDESA gradually becomes fully operational.

#### The Transition Implementation Plan

Table 6.1 shows an outline of the transition implementation plan. In parallel with the SADC MAPP readiness and set up activities, the R&D stakeholders in the SADC region will be identified to create a data base of the R&D stakeholders. Such a data base is important in the establishment of CARDESA and for appropriate representation of stakeholders in the SRO. To ensure the speedy operationalisation of CARDESA, a Stakeholder Conference, acting as the General Assembly, will be convened soon after the approval to establish CARDESA. The conference will establish a transparent process and criteria for selecting the Board of Directors, and formation of a "Standing Committee", which would be empowered to select a representative Board of Directors, consistent with the agreed criteria. Efforts will be made to ensure this Standing Committee will appoint a first rate Board of Directors, consistent with the criteria and principles endorsed by the Stakeholder General Assembly. This Board of Directors will then review the procedures and supervise the recruitment of the CARDESA Director and the Core Staff.

The establishment of CARDESA will kick start with the recruitment of the Director by the Board. Once the Director has been recruited, he/she will be involved in the recruitment of CARDESA core staff. The recruitment of the core staff will be based on a competitive and transparent process and will endeavour to keep the CARDESA core staff lean and effective and ensuring that the SRO begins early to function and prove itself.

**Table 6.1: Transition Implementation Plan for the phased establishment of CARDESA (2008/09)**

Activity	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
<b>1. Establishment of CARDESA – Governance and Staffing</b>															
<b>1.1 Hiring of CARDESA Director</b>															
<ul style="list-style-type: none"> <li>Establishment of permanent Board of Directors (BODC) - possibly through General Assembly (GA) of SADC stakeholders for R&amp;D</li> </ul>															
<ul style="list-style-type: none"> <li>Recruitment of substantive CARDESA Director by the GA</li> </ul>															
<b>1.2 Establishing Governance Mechanisms</b>															
<ul style="list-style-type: none"> <li>Develop governance manual</li> </ul>															
<b>1.3 Hiring of CARDESA staff</b>															
Hiring of CARDESA staff by CARDESA Director and BOD															
<b>2. Establishment of CARDESA - Institutional Structures and Procedures</b>															
<ul style="list-style-type: none"> <li>Finalization of Grant Management manual</li> </ul>															
<ul style="list-style-type: none"> <li>Develop Administrative Procedures and human resources manual</li> </ul>															
<ul style="list-style-type: none"> <li>Develop Financial Management manual</li> </ul>															
<ul style="list-style-type: none"> <li>Institutional logistics for establishing CARDESA (physical location, registration as a legal entity, etc.)</li> </ul>															

A number of institutional structures and management procedures and manuals indicated in Table 6.1 will be initiated during the transition stage in consultation with the CARDESA Director once recruited. These would be further refined as necessary by the CARDESA management.

Table 6.2 gives the combined budget for the transition stage for both CARDESA and SADC MAPP.

**Table 6.2: Summary of the combined transition budget for CARDESA and SADC MAPP**

<b>Item #</b>	<b>Activity</b>	<b>Estimated Cost (USD)</b>
1	Programme Coordination	338,400
2	Support establishment of permanent Board of Directors (BOD) through General Assembly of SADC stakeholders for R&D	235,470
3	Recruitment of CARDESA Director by SADC MAPP Steering Committee or BOD	41,000
4	Develop CARDESA governance manual	15,900
5	Finalization of Grant Management manual	20,400
6	Develop Administrative Procedures and human resources manual	15,900
7	Develop Financial Management manual by consulting firm	90,000
8	SADC MAPP situation analysis study in countries not done during programme preparation: DRC, Madagascar, Mozambique, Namibia and S. Africa	223,600
9	SADC MAPP Steering Committee meetings	136,740
10	Developing a pool of potential SADC MAPP participants: - Develop training material after analysis of expression of interest (EOI) and training in proposal writing, networking, M&E (5 training sessions)	594,200
11	M&E Baseline study	308,280
12	Intellectual Property Rights study	15,600
	<b>Total</b>	<b>2,019,590</b>

#### CARDESA operational stage

It is expected that CARDESA will become fully functional within the first 2-5 years after formal approval of its establishment. The main early actions by CARDESA management during the operational stage will include the following:

- One of the priority actions to be carried out by the core CARDESA staff would be to prepare a Strategic Plan for CARDESA, taking a participatory approach with the regional R&D stakeholders. This strategic plan would include: a vision and mission statement, updating and prioritization of the main objectives, measurable outcomes (and intermediate outcomes), functions (including complementarities with the FANR Directorate), an updated and validated financing strategy (including a sustainability strategy and action plan), an updated budget for five years, and an M&E action plan. Terms of Reference for the development of the M&E system and the Strategic Plan are given in Appendix V and Appendix VI, respectively. The Strategic Planning process for CARDESA will start immediately after the Strategic Planning Coordinator is recruited, and would require about 4 months to prepare for the Board's review and approval;
- Financial Management System is updated and made operational within two months of appointing Financial Management officer;
- SADC MAPP Implementation Manuals are updated by Director/core staff, and approved by the BOD within 2 months after posting the Director and 'core' staff;
- M&E System is updated/established within 4 months of appointment of M&E Coordinator;
- Launching of SADC MAPP's Phase 1 subprojects (based on Grant Scheme) within 4 months of appointing the Grant Management Unit Coordinator;
- Regional R&D priorities updated and agreed upon by end of Year 5; and
- Stakeholders' strategic partnerships fully established by end of Year 5.

## **6.2 Risk Assessment and SWOT Analysis**

A detailed risk analysis will be undertaken at the outset to identify possible risk areas and come up with mitigation measures. This could be included as part of the M&E study. Possible examples of potential risk factors include the following:

- Failure to secure adequate core funding and research funding;
- Difficult to get consensus and full cooperation from all Member States;
- Conflicting interest and priorities by various stakeholders;
- Too many competing needs in SADC and within the research themes;
- Delays in receiving Member State approval and MOU signatures;
- Ability to attract, recruit and retain dedicated professional staff;
- Ability to identify suitable Board Members;

- Similar institutions in the region who may feel threatened by CARDESA; and
- Failure to learn from previous mistakes, or those of other institutions.

The SWOT Analysis for the proposed CARDESA is shown in Table 6.3 below.

**Table 6.3 SWOT Analysis for the Proposed Semi-Autonomous CARDESA**

	<b>Strengths</b>	<b>Weaknesses</b>	<b>Opportunities</b>	<b>Threats</b>
<b>Political Support</b>	<ul style="list-style-type: none"> <li>• Accountable to SADC &amp; Member States through the MOU</li> </ul>	<ul style="list-style-type: none"> <li>• Most donors are not willing to commit funds for core activities</li> </ul>	<ul style="list-style-type: none"> <li>• Agricultural research is receiving support at the highest political level</li> </ul>	<ul style="list-style-type: none"> <li>• External interference in the governance practices of CARDESA</li> </ul>
<b>Financial Sustainability</b>	<ul style="list-style-type: none"> <li>• Flexibility to mobilize diverse funding sources and levels</li> </ul>	<ul style="list-style-type: none"> <li>• Failure to have funding arrangements that guarantee long term sustainability</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity to attract donor and private sector funding</li> </ul>	<ul style="list-style-type: none"> <li>• Failure to gain the confidence of donors and private sector based on good performance and governance</li> </ul>
<b>Stakeholder Participation</b>	<ul style="list-style-type: none"> <li>• Potential to promote strong partnerships with a wide range of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Inability to meet varied stakeholder interests leading to delays</li> </ul>	<ul style="list-style-type: none"> <li>• Direct link with donors and private sector institutions</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholders may not be willing to engage in serious partnerships</li> </ul>
<b>Governance</b>	<ul style="list-style-type: none"> <li>• Ability to establish its own operational procedures including staffing and financial management</li> </ul>	<ul style="list-style-type: none"> <li>• Extent of autonomy will be subject to the influence of SADC thereby affecting its efficient functioning</li> </ul>	<ul style="list-style-type: none"> <li>• Board with diverse representation and experiences</li> </ul>	<ul style="list-style-type: none"> <li>• Governance arrangements that may dilute autonomy</li> </ul>

### **6.3 Monitoring and Evaluation Framework**

The objective of the monitoring and evaluation system for CARDESA is to ensure that the laid down objectives of CARDESA and SADC MAPP programme are being achieved by providing information for decision making with regard to the following :

- a) The progress being made by CARDESA through its various activities and their impact thereof in achieving the strategic goals of SADC in relation to the contribution of agricultural research, extension, training and service delivery towards those goals
- b) The progress being made by CARDESA towards the achievement of SADC MAPP results in terms of outputs, outcomes and impact in relation to SADC MAPP's programme development objective and the objectives of the programme themes.

In its efforts to fulfil its mandate, CARDESA will of necessity be highly geared towards results-based management. The M&E system will therefore be aligned to results-based management and promote the evaluative knowledge and learning around results. The demand for increased development effectiveness has been based on the realization that producing good deliverables is not enough, and in many cases programmes have failed to make any discernable effect on development. The M&E system will therefore be result-oriented to assist management of CARDESA to stay focused on the results.

Monitoring and evaluation will provide for the assessment of implementation performance in terms of outputs and most importantly performance in terms of achieving outcomes for overall programme development objective and the thematic areas through use of clearly defined indicators for the results. Without exception, the system is expected to provide insights on the relevance, efficiency and effectiveness of CARDESA and its programmes. It will also be useful in identifying weaknesses, providing solutions on the way forward and provide lessons learned for replication of best practices. The M&E system will provide for the evaluation of CARDESA programmes through identified evaluation reviews; special studies and impact assessment studies

In managing for results an effective Decision Support System is critical for success in achieving CARDESA's objectives. Monitoring and evaluation will be part and parcel of this Decision Support System. The other two elements of this system will be planning system (strategic and operational); and the Management Information System. The latter will provide selective data to management to assist in monitoring and control of CARDESA's activities and results. Its focus will be on key performance indicators.

To support the strategic focus towards results, Monitoring and Evaluation for CARDESA will be geared to provide a strong and coherent system of learning and performance measurement. Implementing stakeholders will be expected to participate in monitoring progress towards achievement of results systematically; to report on the results at the various levels and to integrate lessons learned into management decisions and future planning and programming initiatives at those levels. This will of necessity require the

linking of tools for programming and planning; monitoring and evaluation; and reporting tools in a coherent and result oriented system in order to avoid duplication and at the same time create a common information base. This result oriented approach to M&E will require the streamlining of M&E activities into CARDESA implementation systems across the board including all implementing stakeholders as well as inculcating in all implementing personnel the value and culture of M&E in managing for results.

On a different level the M&E system should put into consideration and its requirements in addressing the complementarity of CARDESA's objectives and functions and those of FANR. This begs for a coherent and comprehensive M&E system that covers the requirements of CARDESA and the SADC MAPP programme as well as taking into consideration the complimentary roles and functions of CARDESA and FANR.

The role of CARDESA's management will be important in terms of strategic planning, coordination and integration of Monitoring & Evaluation and follow up. In particular the CARDESA office will provide active leadership to the process of establishment and adopting monitoring, learning and evaluation for results. The office will also coordinate all evaluation and assessment reviews and studies that will be undertaken.

There will be a task to prepare the detailed design of the M&E system for CARDESA (which would be used to support the implementation of SADC MAPP), in accordance with its approved structures and functions.

Table 6.4 gives some of the key performance indicators for helping to ensure CARDESA carries out its intended functions and results and outcomes. These will be further developed as part of the detailed M&E system preparation.

**Table 6.4: Summary Framework of Performance Indicators for CARDESA**

<b>Key Performance Indicator</b>	<b>Proposed Measure</b>
1. Efficiency of research activities	No/stakeholder , Cost / activity
2. Time taken to process subprojects proposals (from receipt of application to decision by CARDESA)	No of days (per each year, to see the trend)
3. Cost of processing subprojects	Operational cost per subproject processed and approved
4. Subproject processing efficiency and “success”	% of subprojects approved (ref. total subprojects submitted)
5. Funds disbursed for CARDESA activities as a % of planned targets per financial year	% funds disbursed (for each year, and to see the trend)
6. Non salary operational cost as % of total CARDESA budget	%age non-salary operational cost (ref. total cost for operating CARDESA)
7. Functioning M&E system with active participation of implementing institutions	Action plans for M&E results
8. Operational Budget Financing Gap	% of financing gap in its annual budget (ref. requirements)

## **7. OVERALL CONCLUSION, MAIN RECOMMENDATIONS AND NEXT STEPS**

### **7.1 Overall Conclusion**

There is an overwhelming support from stakeholders that exists for the establishment of a semi-autonomous SUB-regional research organization for SADC to maximize the agricultural potential of the region and align the SADC region with global trends. There is significant agricultural research work already taking place in the SADC region, but due to lack of a dedicated coordinating body, the SADC Member States have been unable to take full advantage of the knowledge and resource base available to the region. This assessment also highlights the urgency of SADC proceeding as soon as possible to establish, launch and develop CARDESA. It will need to grow and mature “organically”, building on and strengthening existing structures, to the extent possible, and to “learn by doing”.

## **7.2 Main Recommendations and Next Steps**

The following section summarizes the main recommendations and next steps arising from this exercise. They are intended to focus on priority decisions and actions which would move the process forward in response to the challenges of implementing Pillar 4 of CAADP and meeting the targets outlined by RISDP and the Dar es Salaam Declaration:

1. The central recommendation is for SADC, emboldened by the recent R&D stakeholders' endorsement of the proposed SRO structure, to formally approve the establishment of a semi-autonomous Sub-Research Organization, to be known as "CARDESA". It should be placed outside the organizational structure of the SADC Secretariat, but formally and closely linked to the SADC Secretariat through a MOU that spells out the nature and scope of the autonomy, the division of roles and responsibilities, and areas of complementarities between the FANR Directorate and CARDESA.
2. In parallel to bullet (1) above, SADC Secretariat, on the recommendation of the FANR Director, to approve the draft MOU which defines the legal and operational framework of CARDESA, and to adopt the governance and organizational structures of CARDESA as reflected in the MOU.
3. To ensure the speedy operationalization of CARDESA, it is recommended that the Stakeholder Conference (acting as the General Assembly) be convened soon after the SADC makes a positive decision to establish CARDESA, to review a transparent process and criterion for selecting the Board of Directors, and formation of a "Standing Committee", which would be empowered to select a representative Board of Directors, consistent with the agreed criteria. Efforts would be made to ensure this Standing Committee will appoint a first rate Board of Directors, consistent with the criteria and principles endorsed by the Stakeholder General Assembly.
4. In the interim, while the CARDESA establishment process is underway, the SADC MAPP preparation team would continue to carry out detailed pre-implementation activities to help ensure a smooth launching and "seamless" transition from preparation to start-up, including the mobilization of stakeholder interest and participation in the Phase 1 of the proposed SADC MAPP, based on the draft Programme Document, and until the core staff of CARDESA has been recruited. The SADC MAPP Steering Committee, under the overall guidance of FANR, would also continue to supervise the pre-implementation activities until a substantive Board of Directors has been appointed.
5. One of the priority actions to be carried out by the "core" CARDESA staff will be to prepare a Strategic Plan for CARDESA, taking a participatory approach with the SADC R&D stakeholders. This strategic plan would

include: a vision and mission statement, updating and prioritization of the main objectives, measurable outcomes (and intermediate outcomes), functions (including complementarities with the FANR Directorate), an updated and validated financing strategy (including a sustainability strategy and action plan), an updated budget for five years, and a M&E action plan (which should be integrated with the SADC MAPP M&E plan).

## APPENDICES

### APPENDIX I: ASSESSMENT OF THE ADVANTAGES AND DISADVANTAGES OF DIFFERENT SRO OPTIONS

SRO Option	Description	Advantages	Disadvantages
Strengthened FANR Directorate	Strengthened through a substantial increase in FANR core staff (at least an additional 4 professional staff, 3 technical assistants), a 4 to 6-fold increase from current funding level to support its main mandate of a policy/strategy and monitoring agenda, , and an increase in overall funding	<ul style="list-style-type: none"> <li>• Potential to increase capacity in FANR.</li> </ul>	<ul style="list-style-type: none"> <li>• FANR will be responsible for both policy and strategy formulation and implementation/coordination, while ideally there should a separation of these responsibilities.</li> <li>• Limited mandate in FANR to effectively play the role of SRO. This is the main reason for lack of effectiveness since the demise of SACCAR</li> <li>• An SRO entirely within the SADC administration structure can be expected to continue to experience operational constraints</li> </ul>
Semi-Autonomous	This option would involve establishing a new organizational body, with professional staff to assume the day-to-day coordination of key R&D strategies. The SRO would be placed outside the organizational structure of the SADC Secretariat, but closely "linked" to the SADC Secretariat through an MOU establishing the nature and scope of its autonomy and complementary role with the FANR Directorate. The FANR Directorate would provide the policy and strategic directions	<ul style="list-style-type: none"> <li>• Policy and strategy formulation and implementation/coordination separate, giving greater accountability of the SRO</li> <li>• Greater flexibility in the management of finances and operating procedures</li> <li>• Greater flexibility in hiring of best qualified staff</li> </ul> <p>This option could be an entry point for a phased process to achieving full autonomy in future years</p>	<ul style="list-style-type: none"> <li>• Will depend on the level of autonomy in comparison with Option 1 in terms of level of flexibility in the management of finances and operating procedures, in the recruitment of required quality staff, and in determining their conditions of service</li> </ul>
Autonomous	The SRO would have own legal identity, a governance structure and own operating procedures (work	<ul style="list-style-type: none"> <li>• Policy formulation and implementation separate</li> <li>• Complete flexibility in the</li> </ul>	<ul style="list-style-type: none"> <li>• A completely autonomous SRO with little or no formal link with the SADC Secretariat may lose the political</li> </ul>

<b>SRO Option</b>	<b>Description</b>	<b>Advantages</b>	<b>Disadvantages</b>
	<p>plan/budget, human resources, procurement, and financial procedures, which would have the capability of and donor confidence in a "basket fund" approach to funding strategic programmes). FANR would be represented on the Board by the Director.</p> <p>Day-to-day activities would be carried out by a lean and effective Technical Secretariat, headed by an SRO Director, and supported by a small technical staff, supplemented by consultants as needed.</p>	<p>management of finances and operating procedures</p> <ul style="list-style-type: none"> <li>• Complete flexibility in hiring of best qualified staff</li> </ul>	<p>support and good will from SADC Member States, which raises the question of sustainability</p>

**APPENDIX II: MEMORANDUM OF UNDERSTANDING FOR THE  
ESTABLISHMENT OF CARDESA**

**MEMORANDUM OF UNDERSTANDING  
FOR THE ESTABLISHMENT OF  
THE CENTRE FOR AGRICULTURAL RESEARCH AND  
DEVELOPMENT FOR SOUTHERN AFRICA  
(CARDESA)**

**DRAFT  
April 2008**

## **PREAMBLE**

**WE**, the representatives of the SADC Member States:

The Republic of Angola

The Republic of Botswana

The Democratic Republic of Congo

The Kingdom of Lesotho

The Republic of Madagascar

The Republic of Malawi

The Republic of Mauritius

The Republic of Mozambique

The Republic of Namibia

The Republic of South Africa

The Kingdom of Swaziland

The United Republic of Tanzania

The Republic of Zambia

The Republic of Zimbabwe

**ACKNOWLEDGING** that the capacity of the SADC region scientific community to undertake and manage research and development (R&D), and related training activities has increased considerably;

**CONVINCED** that cooperation in agricultural R&D would enhance efficiency in achieving results to help alleviate the common problems of poverty, unemployment, food insecurity, land degradation and recurring droughts;

**DESIROUS** of promoting sustainable and pro-poor growth through the collaborative development of appropriate technologies to enhance agricultural production and natural resource management;

**DETERMINED** to translate Pillar 4 of the NEPAD Comprehensive Africa Agriculture Development Programme and the Framework for Africa Agricultural Development on agricultural research, technology generation, dissemination and adoption into action in order to achieve tangible sustainable results and impacts in the SADC region;

**GUIDED** by the principle that subsidiarity is cost effective and promotes accountability and sustainability;

**MINDFUL** of the Regional Indicative Strategic Development Plan for SADC, and the action plans from the SADC Extra-Ordinary Summit on Agriculture and Food Security (Dar es Salaam, 15<sup>th</sup> May 2004), known as the “Dar es Salaam Declaration”;

**RECOGNIZING** that science and technology is indispensable for growth and the means through which SADC Member States can address agricultural productivity and food security; and

**REAFFIRMING** our commitment to achieving the Millennium Development Goals and uplifting the living standards of the people of the SADC region;

## **ARTICLE 1 DEFINITIONS**

1. In this Memorandum of Understanding, unless the context otherwise requires:

“Associate Promoters”	means international research organizations operating in the SADC region;
“Board of Directors”	means the Board established under Article 12 of this Memorandum;
“CARDESA”	means the Centre for Agricultural Research and Development for Southern Africa;
“Centres of Leadership”	means the specialized centres, including NARS, that will implement research programmes;
“CGIAR”	means the Consultative Group on International Agricultural Research;
“Council of Ministers”	means the Council of Ministers of SADC;
“Director”	means the Director of CARDESA appointed by the Board under Article 15 of this Memorandum;
“Executive Secretary”	means the Executive Secretary of SADC appointed under Article 15 of the Treaty;
“FAAP”	means the Framework for African Agricultural Productivity;

“FANR”	means the Food, Agriculture and Natural Resources Directorate of SADC;
“ICP”	means International Cooperating Partners
“Member State”	means a State, which is a Member of SADC;
“Memorandum”	means the Memorandum of Understanding establishing the Centre for Agricultural Research and Development for Southern Africa;
“NARES”	means the National Agricultural Research and Extension Systems;
“NARIs”	means National Agricultural Research Institutes;
“NARS”	means National Agricultural Research Systems;
“NEPAD”	means the New Partnership for Africa’s Development;
“R&D”	means Research and Development
“RISDP”	means the Regional Indicative Strategic Development Plan of SADC;
“RUFORUM”	means the Regional Universities Forum for Agricultural Development;
“SADC”	means the Southern African Development Community established by Article 2 of the Treaty;
“SADC MAPP”	means the SADC Multi-country Agricultural Productivity Programme;
“SADC Secretariat”	means the executive arm of SADC established under Article 14(1) of the Treaty;
“Stakeholder”	means any individual and institution in the public or private sector, including international organizations, having an interest in the furtherance of farmer

empowerment, agricultural research and development, extension, training, and communication activities within the SADC region;

“Treaty” means the Treaty establishing SADC as an international organization;

“Tribunal” means the Tribunal as established under Article 16 of the Treaty.

## **ARTICLE 2 PURPOSE AND OBJECTIVES**

The purpose of this Memorandum of Understanding is to provide Member States with a framework for the establishment of an institution that will coordinate agricultural research and development in the SADC region.

## **ARTICLE 3 NAME**

The name of the organisation shall be the Centre for Agricultural Research and Development for Southern Africa, hereinafter referred to as “CARDESA”, and shall have its own logo.

## **ARTICLE 4 OBJECTIVES OF CARDESA**

The objectives of CARDESA are:

- a) To improve agricultural technology generation, dissemination and adoption in the region through collective efforts;
- b) To promote coordination and collaboration among regional and national agricultural research systems through regional cooperation, and international cooperation
- c) To facilitate the exchange of information and technology among the SADC regional R&D institutions;

- d) To promote SADC region partnerships between public, private, civil society and international organizations in R&D, training and capacity building; and
- e) To mobilize human, financial and technological resources to implement and sustain demand-driven R&D regional activities, which will contribute to the strengthening of national level R&D initiatives.

## **ARTICLE 5 FUNCTIONS OF CARDESA**

The functions of CARDESA shall, inter alia, be:

- l) To identify common constraints to agricultural production and productivity in the SADC region;
- m) To promote the development of agro-based value adding technologies through regional joint actions;
- n) To identify and update regional agricultural R&D priorities.
- o) To coordinate, monitor and evaluate joint regional agricultural R&D programmes;
- p) To establish and promote best practices in agricultural R&D to stakeholders in the Member States;
- q) To establish and harmonize scientific and technical information and documentation systems
- r) To support SADC regional measures to enhance the capacity of farmers groups and associations in the SADC region;
- s) To promote and strengthen research and training in the SADC region, and host regional research projects that promote agricultural R&D;
- t) To foster partnership and collaboration with regional and international agricultural research organizations;
- u) To coordinate resource mobilization among stakeholder institutions in the SADC region;
- v) To promote co-operation, consultation and exchange of information concerning agricultural research and extension among stakeholders in the SADC region

- w) To carry out the advocacy role for agricultural R&D in the SADC region
- x) To promote policy harmonization in R&D among Member States;

## **ARTICLE 6 SEAT**

The Headquarters of CARDESA shall be situated in Gaborone, Botswana. The Headquarters may be moved to any other location in the SADC region by decision of the Board of CARDESA. The Board of CARDESA may designate other functional offices in the territories of any Member State.

## **ARTICLE 7 LEGAL STATUS**

1. CARDESA shall be a non-profit inter-governmental institution with perpetual succession, having such legal status and capacity as may be necessary for the carrying out of its objectives and the exercise of its functions under this Memorandum.
2. CARDESA shall be a semi-autonomous institution with capacity to contract, acquire and dispose of immovable and movable property, and to sue and be sued in its own name.
3. Each Member State shall recognize the establishment of CARDESA as a legal entity and an institution of SADC and therefore accord it the appropriate legal status in terms of the provisions of the Treaty and in accordance with the provisions of any related instrument.
4. Each Member State shall accord CARDESA, and its property, and the Senior Staff of CARDESA such privileges, immunities and facilities as may be appropriate to enable CARDESA carry out its activities in an efficient manner.
5. The Government of the Republic of Botswana shall accord CARDESA and its property, and the Senior Staff of CARDESA such privileges and immunities as provided for under the Host Country Agreement between the Government of the Republic of Botswana and CARDESA.

## **ARTICLE 8 INSTITUTIONAL MECHANISM**

The principle institutions responsible for the implementation of this Memorandum shall be:

- (a) The General Assembly;
- (b) The Board of Directors;
- (c) Any Committee established by the Board of Directors; and
- (d) The Technical Secretariat

## **ARTICLE 9 GENERAL ASSEMBLY**

There shall be a General assembly for CARDESA, which shall be the supreme organ of CARDESA, consisting of members from the following SADC stakeholder institutions from each Member States:

- (a) Private sector agro-industrial firms;
- (b) Universities and other higher institutions of learning;
- (c) National Agricultural Research and Extension Systems [NARS and NARES] (research and extension departments);
- (d) SADC MAPP country focal points;
- (e) National Consultative Research Committees;
- (f) Farmer organizations and Commodity associations;
- (g) Research and Policy Networks;
- (h) Non-governmental organizations and civil society;
- (i) International Agricultural Research Centres;
- (j) CGIAR Centres; and
- (k) Advanced Research Institutes.

## **ARTICLE 10 FUNCTIONS OF THE GENERAL ASSEMBLY**

The function of the General Assembly shall, inter alia, be to:

- (a) Set and update regional R&D priorities for CARDESA;

- (b) Approve the SADC strategic plan, including its budget and financing plan;
- (c) Select priority thematic activities for CARDESA;
- (d) Elect members of the Board of Directors; and
- (e) Amend this Memorandum.

**ARTICLE 11**  
**ORDINARY MEETING OF THE GENERAL ASSEMBLY**

1. The General Assembly shall hold an ordinary meeting once a year and may hold additional meetings as often as is necessary.
2. The members shall elect one of their numbers to preside at any meeting of the General Assembly.
3. The Technical Secretariat shall be the secretariat of the General Assembly.

**ARTICLE 12**  
**BOARD OF DIRECTORS**

1. The Board of Directors shall be composed of 9-11 members from the following institutions or groups:
  - (a) SADC Secretariat ;
  - (b) Regional farmer organisations
  - (c) SADC Agri-business Forum;
  - (d) National Agricultural Research Systems;
  - (e) National Agricultural Extension System;
  - (f) Deans of Faculties of Agriculture at Universities
  - (g) Regional Policy Networks;
  - (h) International Agricultural Research Centre;

- (i) Non-Governmental organisations
- 2. The Chairperson of the Board of Directors shall be a citizen of SADC referred to in article 12.1 of this MOU elected by the General Assembly and shall serve for a period of two years.
- 3. The initial Vice Chairperson shall be the Director of FANR Directorate for a term of one year, and subsequent Vice-Chairpersons shall be any person elected by the members of the Board from among their number, and shall serve for a term of one year.
- 4. All members of the Board of Directors shall hold office for a period of two years provided that four members elected at the inception of CARDESA, to be determined by drawing lots, shall retire after one year and shall be replaced by members from other Member states not represented on the Board and shall serve the normal term of two years.

**ARTICLE 13**  
**FUNCTIONS OF THE BOARD OF DIRECTORS**

The functions of the Board of Directors shall include, inter alia:

- (a) Appoint the Director of CARDESA, based on a transparent and competitive selection process, on such terms as the Board of Directors may determine, and which would provide competitive terms and conditions to attract and retain quality staff. Based on objective performance assessment, to determine the renewal or termination of the contract of the Director. A committee of the Board, including the Director, would conduct a transparent and competitive selection process of other core staff. The supervision of the core staff is the responsibility of the Director.
- (b) Review and approve CARDESA's Strategic Plan, including a 5 year budget and financing plan to help ensure sustainability
- (c) Approve CARDESA's annual work plans, budgets, and their financing arrangements;
- (d) supervise the work of the CARDESA Technical Secretariat;
- (e) review and endorse regional R&D priorities and thematic activities for CARDESA;
- (f) formulate and review overall operational policies of CARDESA;

- (g) Approve calls for research proposals and letters of expression of interest, as well as approve the awarding of R&D subproject grants, in accordance with agreed criteria and procedures;
- (h) guide the implementation of collaborative research programmes, in consultation with stakeholder institutions;
- (i) approve administrative and financial management systems and operational procedures;
- (j) Recommend amendments to this Memorandum;
- (k) Advocate for mobilization of financial resources needed to carry out the regional agricultural R&D programmes;
- (l) Approve progress reports on regional activities for presentation to the General Assembly and Council of Ministers;
- (m) Establish Committees of the Board of Directors;
- (n) Appoint annual independent operational and financial audits of regional activities for funds from all sources, and compliance of CARDESA's operational policies, procedures and manuals;
- (o) Negotiate memoranda of understanding and enter into contractual agreements with centres of leadership for specific research programmes;
- (p) Act as a steering mechanism for all activities of CARDESA; and
- (q) Take appropriate initiatives to better carry out of the provisions of this Memorandum.

**ARTICLE 14**  
**ORDINARY MEETINGS OF THE BOARD OF DIRECTORS**

1. The Board of Directors shall hold two ordinary meetings per year, and may hold additional meetings as often as is necessary.
2. The Board shall establish and adopt rules and regulations for the conduct of its meetings.
5. The quorum at any meeting of the Board of Directors shall be seven, and a decision of the Board on any question shall be by the majority of the members presenting and voting and in the event of an equality of votes, the person presiding shall have a casting vote.

6. The Director of CARDESA would serve as the Secretary to the Board of Directors.

## **ARTICLE 15 TECHNICAL SECRETARIAT**

1. There shall be a Technical Secretariat, which shall be responsible for the day-to-day management and technical coordination of the activities of CARDESA.
2. The Technical Secretariat shall consist of the Director and such other staff as the Board of Directors may deem necessary
3. The Director shall be the Chief Executive Officer of CARDESA and the Secretary of the Board of Directors and the General Assembly.
4. The Technical Secretariat shall implement the policies and the relevant operational manuals established or approved by the Board of Directors, and in so doing shall be responsible to the Board for the operation and management of CARDESA and for ensuring that the objectives and programmes of CARDESA are properly developed and carried out.
5. The Technical Secretariat shall compile and summarize the progress reports of the regional agricultural R&D activities for presentation to the Board of Directors.
6. The Technical Secretariat shall prepare consolidated administrative and financial reports.

## **ARTICLE 16 RELATIONSHIP WITH FANR**

CARDESA shall work closely with FANR in implementing this Memorandum, in particular, the role of FANR shall be complementary to that of CARDESA. FANR endeavour to:

- (a) To provide overall strategic guidance to ensure that the SADC R&D agenda is consistent with the SADC mandate for food and agriculture under RISDP and the Dar es Salaam Declaration;
- (b) To maintain interface with other programmes and Directorates of the SADC Secretariat that have an impact on CARDESA's Strategic Plan, annual work plan, and achievement of its functions;

- (c) To facilitate high level contacts with international cooperating partners and other regional bodies;
- (d) To promote the harmonization and alignment of policies and protocols that affect the SADC region, in line with the principles outlined in the Windhoek Declaration;
- (e) To develop and endorse relevant legal instruments and ensure compliance;
- (f) To promote the development of effective SADC R&D networks and facilitate dialogue and collaboration among stakeholders in the SADC region, with a focus on the policy and strategy aspects;
- (g) To represent CARDESA at SADC meetings; and
- (h) To assist in advocacy for agricultural R&D and resource mobilization.

**ARTICLE 17**  
**SOURCES OF FUNDING**

1. The financial resources of CARDESA may come from ICPs, grants, loans, endowments/legacies, contributions from the SADC Secretariat and direct contributions from member states, its own income from subventions, and from any other source, which the Board of Directors may deem appropriate.
2. CARDESA would not incur any financial debts, without the expressed consent of the Board of Directors.

**ARTICLE 18**  
**AMENDMENT OF THIS MEMORANDUM**

1. Any member of the Board of Directors may submit written proposals to the Technical Secretariat for the amendment or review of this Memorandum.
2. The proposed amendments must be supported by at least one third of the members of the Board of Directors before they can be tabled for consideration by the General Assembly.

3. Such amendment shall become effective if supported by at least two-thirds of the members of the General Assembly.

**ARTICLE 19  
SETTLEMENT OF DISPUTES**

1. Any dispute arising between two or more Member States from the interpretation or application of this Memorandum, which cannot be settled amicably, shall be referred to the Tribunal.
2. The decision of the Tribunal shall be final and binding.

**ARTICLE 20  
WITHDRAWAL**

1. Any Member State may withdraw from this Memorandum by written notification to the Director of CARDESA.
2. The CARDESA Director will inform the BOD for their decision.
3. The withdrawal shall become effective upon the expiration of twelve (12) months from the date of the decision by the BOD.

**ARTICLE 21  
ENTRY INTO FORCE**

This Memorandum shall enter into force thirty (30) days after the deposit of the instruments of ratification or accession by two-thirds of the Member States.

**ARTICLE 22  
ACCESSION**

1. This Memorandum shall remain open for accession by any Member State.
2. The instruments of accession shall be deposited with the CARDESA Director.

**ARTICLE 23  
DEPOSITARY**

1. The original texts of this memorandum shall be deposited with the CARDESA Director who shall transmit certified copies to all Member States.
2. The Director shall register this Memorandum with the SADC Secretariat the Commission of the African Union and the Secretariat of the United Nations Organization.

**ARTICLE 24  
SIGNATURE**

This Memorandum shall be open for signature by any SADC Member State.

**ARTICLE 25  
RATIFICATION**

1. This Memorandum shall be ratified by any Member State in accordance with its constitutional procedures.
2. The instruments of ratification shall be deposited with the Director.

**ARTICLE 26  
REGULATIONS**

The Board of Directors may make regulations for the better carrying out of this Memorandum.

**IN WITNESS WHEREOF, WE**, the Ministers or duly authorised representatives of our Governments, have signed this Memorandum of Understanding.

Done at.....this .....day of.....2008 in three (3) original texts, in the English, French and Portuguese languages, all texts being equally authentic.

.....

**REPUBLIC OF ANGOLA**

.....

**REPUBLIC OF BOTSWANA**

.....  
**DEMOCRATIC REPUBLIC OF  
CONGO**

.....  
**KINGDOM OF LESOTHO**

.....  
**REPUBLIC OF MADAGASCAR**

.....  
**REPUBLIC OF MALAWI**

.....  
**REPUBLIC OF MAURITIUS**

.....  
**REPUBLIC OF MOZAMBIQUE**

.....  
**REPUBLIC OF NAMIBIA**

.....  
**REPUBLIC OF SOUTH AFRICA**

.....  
**KINGDOM OF SWAZILAND**

.....  
**UNITED REPUBLIC OF TANZANIA**

.....  
**REPUBLIC OF ZAMBIA**

.....  
**REPUBLIC OF ZIMBABWE**

## **Appendix III: SRO INSTITUTIONAL EXAMPLES AND ASSESSMENT OF THE SACCAR EXPERIENCE**

### **1. SADC Plant Genetic Resources Centre (SPGRC)**

The SADC Plant Genetic Resources Centre was established in 1989 as a 20-year project with funding from Nordic countries and SADC Member States. An SPGRC Memorandum of Understanding forms the basis for its existence and operation. Its mandate is conserving the plant genetic resources of the region and supporting efforts to enhance food security.

The funding arrangement for the SPGRC agreed between donors and SADC Member States are that donors were to fully fund the centre for the first ten years and reduce annually by ten percent from year eleven as SADC commenced to contribute at a ten percent annual increment. In the 2006/7 financial year, SADC contributed eighty percent of the budget.

The centre was set up as a project under FANR. The head of the centre reports to a Board, which in turn reports to SADC. Its head office is based in Lusaka, Zambia on an 86-hectare plot owned under a 99-year lease from the Government of Zambia. The plant genetic resources are maintained through a network of National Plant Genetic Resources Centres (NPGRCs), whose main activities include collection, conservation, multiplication and documentation. NPGRCs are made up of scientists from national agricultural research systems including public and private research institutions, agricultural colleges and universities, parastatal bodies and NGOs.

A Board made up of members (chairpersons of national committees) representing each SADC Member State governs SPGRC, including the International Plant Genetic Resources Institute (IPGRI) and donor representatives. The functions of the Board are to provide general policy guidance on plant genetic resources, approve annual work plans and audited statements, advice on staff recruitment, and support scientific and technical work. The Board recommends to the SADC Secretariat key decisions for final adoption, although it has final authority in the day-to-day management of the centre. At the administrative level a Senior Program Manager, who is supported by three regionally recruited senior program officers, assisted by local technical, financial and administrative officers, heads the SPGRC.

A major weakness observed is the inability of national committees to hold regular meetings due to limited funds and manpower. This has tended to weaken networking and has meant that most Board decisions may not fully reflect national positions. The SPGRC network is organized in such a way that most of the technical activities are undertaken by the national centres, while the regional office coordinates and provides technical support. Poor conditions of service leading to high staff turnover and shortage of facilities and equipment for efficient conservation of plant genetic resources are some of the factors that have negatively affected the performance of the network.

The Centre has made significant contribution to regional plant genetic resources policy development particularly in the areas of breeders' rights, bio safety, intellectual property rights, and customary law. It has important synergies and lessons for the proposed CARDESA. The main achievements of the SPGRC include the following:

- Training: The SPGRC has trained an average of three people per country at MSc. degree level, in plant genetic resources. A number of these graduates are now working in their national plant genetic resource centres. Many more people have attended various short hands-on courses on plant genetic resources. Short practical courses have been carried out in various countries in partnership with other institutions.

Specific courses targeting activities like regenerating cross-pollinated species have been held for curators and others handling germplasm in the region. Courses have also been held for traditional vegetables, forage and fodder species.

- Policy Development and Harmonisation: The SPGRC has contributed to development of policy related to plant genetic resources conservation in the region and beyond. An example is the formulation of the African Model Legislation for the Protection of the Rights of Local Communities, Farmers and Breeders, and for the Regulation of Access to Biological Resources, which was later adopted by the African Union. SPGRC also contributed the background draft that led to the development of the SADC Guidelines on Biotechnology and Bio safety by the SADC Advisory Committee on Biotechnology and Bio safety and later adopted by the Council of Ministers of SADC. The SPGRC has facilitated effective representation of the SADC region at international fora on revision of the FAO International Undertaking on Plant Genetic Resources, which has culminated in the adoption of the International Treaty on Plant Genetic Resources for Food and Agriculture. Most SADC countries have ratified the Treaty. The SADC region has also been actively involved in the discussions of various issues arising out of the CBD, leading to the implementation of the required actions such as the adoption of the Cartagena Protocol on Bio-safety and the establishment of the SADC Advisory Committee on Biotechnology. The SPGRC has also facilitated discussions of the Trade-Related Aspects of Intellectual Property Rights (TRIPS) of the WTO by SADC Member States to ensure acknowledgement and appreciation of the obligations and implications of the instruments on conservation and utilisation of plant genetic resources in relation to agriculture development in the region.
- Maintenance of Plant Genetic Resources Collections: Genetic resources of important crop species of the region have been collected and conserved under long-term conditions. To date SPGRC has over 14,000 accessions stored in the base collections from about 37,000 in the active collections of national plant genetic resources Centres in the region. Some of these have been evaluated and utilised in crop research and development.
- Institutional Infrastructure: The SPGRC has been established as a regional plant genetic resources conservation facility and is internationally recognised as part of a global network of gene banks and programmes contributing to food security through maintenance and provision of plant genetic resources. This includes the establishment of a network of national programmes with facilities for medium to long-term conservation of plant genetic resources.
- Standardised Documentation: The SPGRC has developed and established a standardised documentation and information system, which has been, installed at all the national plant genetic resource centres.

## **2. Regional Tourism Organization of Southern Africa (RETOSA)**

The Regional Tourism Organization of Southern Africa (RETOSA) is a subsidiary body of the SADC Secretariat that is charged with the responsibility of promoting tourism development in the region as a vehicle towards the achievement of sustainable socio-economic development and poverty reduction, working with the public and private sector.

The RETOSA Charter signed by Member States in 1997 and came into force in 2000, makes provision for the creation, existence and legal status of the organization as a SADC institution. RETOSA is fully funded by SADC Member States. The RETOSA Charter together with the SADC Protocol on Tourism and Development govern its mandate and existence. The RETOSA program is overseen at the political level by the SADC Ministers responsible for Tourism, and at the technical level by the RETOSA Board. The Board comprises one

public sector representative and another from the private sector for each of the SADC Member States. (This implies a board membership of 28 people) The Director of the SADC Directorate of Infrastructure and Services is an ex-officio member of the RETOSA Board, since that office is responsible for the day-to-day administration of RETOSA.

Under the new structure of SADC, Sectoral Coordination Units, Committees and Commissions, and policy development, coordination and facilitation responsibilities lie under a Directorate of the SADC Secretariat. With the phasing of Sector Coordinating Units, responsibilities for the development and coordination of tourism policy that were previously undertaken by the Tourism Coordinating Sector Unit (in Mauritius) were allocated to RETOSA in 2004.

In the case of the FANR Directorate, the phasing out of Sector Coordination Units responsible for food and natural resources resulted in the functions of agricultural research and development being housed in the Directorate, in the absence of a corresponding dedicated institution such as RETOSA. The role of the SADC Secretariat has since reoriented its focus to that of regional policy harmonization, strategy formulation and resource mobilization in line with RISDP, as opposed to operational programs and project management.

A major issue that has been raised by stakeholders in the tourism sector is the institutional arrangements and reporting format of RETOSA with respect to SADC, the issue of financial sustainability, and the need to shift from public to private funding. A study recently carried out aimed at, among other things, developing an institutional framework for RETOSA that will enable it to effectively implement its activities and programs, taking into consideration the new SADC structure, and guidelines on “subsidiarity” of organizations implementing SADC projects, and the need for sustainable funding mechanisms for RETOSA.

A major outcome of the study indicated that RETOSA has a role to play and that it should continue as an autonomous SADC subsidiary body with the SADC Ministers responsible for Tourism leading the institution with a refocused operational program, and a reduced and more effective size of Board. The Board will have a Secretariat as its implementing agency that shall comprise a Director and supporting departments. Execution of functions will be “outsourced and warehoused” to centres of excellence within the region. Clearly it is evident that there are a lot of similarities between RETOSA and the structure being proposed for the CARDESA.

### **3. Food, Agriculture and Natural Resources Policy Analysis Network (FANRPAN)**

At the first Conference of Ministers of Agriculture Southern Africa held in Harare, Zimbabwe, in April 1994, the Ministers agreed to support the establishment of a regional agricultural policy network to enhance the capacity for policy formulation and analysis in the Southern African region. This meeting resulted from the Ministers’ concern for the desperate state of the food, agriculture and natural resources in the region and the declining contribution of the sector to the region’s economy.

The FANR Ministers considered the low levels of public sector investment in the FANR sector and resolved to arrest the apparent lack of political commitment to the farming sector. They resolved that comprehensive policies and strategies were required to resuscitate agriculture. The resolution was fully endorsed by high-level policy makers and Heads of State participating in the Global Coalition for Africa Advisory Committee meeting that was held in June 1994. To realize the dream for exchange of policy information and lessons as endorsed by the Ministers, it became more practical to establish separate networks for Eastern and Southern Africa.

For the Southern Africa Development Community (“SADC”) region, a consultative meeting was convened by the Food Security Technical and Administrative Unit (“FSTAU”), Southern African Centre for Co-operation in Agriculture and Natural Resources Research and Training (“SACCAR”) and the Department of Agricultural Economics and Extension at the University of Zimbabwe.

The Department of Agricultural Economics and Extension at the University of Zimbabwe then facilitated the launching of a regional FANR consortium and network for Southern Africa at a meeting held in July, 1997. The participants at the meeting were drawn from ministries of agriculture, farmers’ organizations, research organizations and universities in the SADC region.

The network was established to build on a long term investment and commitment already made in universities, national agricultural research institutes and policy analysis units in Southern Africa and to enable policy analysis units to collaborate more efficiently and service the policy makers and other stakeholders in the SADC region.

It was agreed by all stakeholders that the FANR policy analysis network (“FANRPAN”) should be constituted as a separate and autonomous legal entity. The Network is run through a General Assembly and a Board of Governors drawn from the stakeholders, a Regional Secretariat based in South Africa, and national policy nodes.

The institutions that collectively promoted the establishment of the policy network include the various farmers’ organizations, research institutions, departments of agricultural economics at universities in the SADC region, agricultural experts and academics, non-governmental and private sector organizations involved in agriculture, and other stakeholders.

The objectives of FANRPAN are to:

- Promote appropriate agricultural policies in order to reduce poverty, increase food security and enhance sustainable agricultural development in the SADC region;
- Improve policy analysis, research and formulation of priority agricultural themes;
- Develop human and institutional capacity for policy dialogue; and
- Improve policy decision-making through the generation, exchange and use of policy-related information.

The network has made some achievements in terms of thematic policy issues and raising awareness of the importance of policy analysis among stakeholders in the region. Major constraints include failure to attract long-term core and research funding, and weak linkage with FANR, and capacity building for national nodes that need to be strengthened.

#### **4. Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA).**

Representatives of National Agricultural Research Systems (NARS) from ten Member States (Burundi, Democratic Republic of Congo, Eritrea, Ethiopia, Kenya, Madagascar, Rwanda, Sudan, Tanzania and Uganda) established the Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA) in 1984. ASARECA’s mission is to promote economic growth, fight poverty, reduce hunger and enhance resources through regional collective action in agricultural research for development. It is a formal legal entity registered in Uganda and is governed by a Committee of Directors comprised of the Director Generals of National Agricultural Research Institutes from the ten Member States.

ASARECA began with a small set of activities but has grown rapidly and currently implements activities through 17 Networks, Programmes and Projects (NPPs), which are in

turn implemented through national agricultural research systems<sup>10</sup>. Most NPPs are hosted and backstopped by international agricultural research centres, particularly members of the Consultative Group on International Agricultural Research (CGIAR). Three of the NPPs are based at the ASARECA Secretariat, with two of these directly involved with Secretariat functions, information and socio-economics/policy, and other wider issues. A coordinator based at one of the cooperating national research institutions manages each of the 17 NPPs. Overall coordination of ASARECA and day-to-day management is provided by a Secretariat of six staff members led by an Executive Secretary based in Entebbe, Uganda.

ASARECA has recently embarked on a strategic planning exercise that has recommended a comprehensive restructuring. The new strategic and operational plans call for an enlarged Committee of Directors with a greater variety of stakeholders; greater alignment with regional economic bodies; a streamlined programme structure that rationalizes the 17 NPPS into seven core programmes<sup>11</sup>; and a larger, more centrally based Secretariat that replaces the 17 decentralized NPP coordinators with seven programme managers based in Entebbe. The new structure is expected to enable ASARECA to further strengthen its effectiveness and manage greater amounts of funding in a more coordinated manner. ASARECA obtains most of its financing from external donors with Member States paying annual cash contributions in addition to the in-kind contributions of staff and research space.

Key lessons that can be drawn from ASARECA's experience are the need for strong participation and leadership by national stakeholders, the need for maintaining a non-political role as an institution but building links with regional and national political structures in order to maintain relevance and foster interaction with policymakers, and strong support for information and communication to ensure that research outputs and knowledge are fully shared within networks. Another lesson is the ability of ASARECA to include the full range of stakeholders and address a wider range of technology generation and dissemination activities.

## **5. Conseil Ouest et Centre Africain pour Recherche et le Développement Agricole (CORAF)**

The Conseil Ouest et Centre Africain pour Recherche et le Développement Agricole (CORAF)<sup>12</sup> was established in 1987 by 21 NARS in Western and Central Africa (Mauritania, Burkina Faso, Mali, Senegal, Ghana, Nigeria, Togo, Benin, Cote d'Ivoire, The Gambia, Niger, Chad, Cameroon, DRC, Gabon, Central African Republic, Sierra Leone, Cape Verde, Guinea, Guinea Bissau, Congo). CORAF's mission is to improve the efficiency and effectiveness of agricultural research in the region by contributing to the strengthening of capacities of national agricultural research systems through co-operation between its members, development partners, regional and international organizations, the private sector and NGOs.

With a large and diverse geographic area, CORAF has established three geographic sub-groups: a West African Sahelian Zone, a West African Coastal Zone, and a Central African Zone. CORAF activities are implemented through national agricultural research systems

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<sup>10</sup> The 17 NPPs cover the following topics and commodities: beans, maize and wheat, animals, coffee, biotechnology and bio safety, agricultural policy, plant genetic resources, sorghum and millet, root crops, rice, soil and water management, potato and sweet potato, trees/agro-forestry, banana, highland areas, agricultural information, and food security/early warning.

<sup>11</sup> The seven core programmes are: Staple Crops, Non-Staple Priority Crops, Livestock and Fisheries, Agro-biodiversity and Biotechnology, Natural Resource Management and Forestry, Policy and Advocacy, and Capacity Development and Institutional Strengthening including Innovation Processes for Technology Uptake and up scaling.

<sup>12</sup> In English, the West and Central African Council for Agricultural Research and Development (WECARD)

(NARS), producer organizations, private agribusinesses and civil society (NGOs). Coordinators are NARI staff responsible for implementing specific programmes, which are often multi-country initiatives within specific geographic sub-groups. Overall coordination of CORAF is managed by an Executive Secretary, a Scientific Coordinator and associated administrative and M&E staff.

The governance structure of CORAF includes a General Assembly, Governing Council, a Scientific and Technical Committee, and the Executive Secretariat.

CORAF is currently pursuing cooperation agreements with regional economic communities and has already signed an agreement with the West African Monetary Union (UEMOA) to work collaboratively on agricultural research programs of priority to the region. The RECs within the CORAF Member States include The Economic Community of West African States (ECOWAS) which comprises 15 West African states and the Communauté Economique des Etats d'Afrique Centrale (CEEAC) which comprises 10 states, 6 of which are found in the region covered by CORAF/WECARD.

Like ASARECA, CORAF is reviewing its strategic plan in order to update its research priorities and respond to implementation of CAADP Pillar IV and the FAAP. CORAF will also be implementing a West Africa Productivity Program (WAPP), which will be financed by the World Bank based on a part grant part loan financing mechanism involving participating countries. Currently Ghana, Senegal and Mali are participating in the first phase of WAPP.

## **6. Regional Universities Forum for Capacity Building in Africa (RUFORUM)**

The Regional Universities Forum for Capacity Building in Africa (RUFORUM) is a new member-based organization owned by 12 constituent Universities. It was primarily formed to strengthen and promote the roles of Universities in agricultural development and national agricultural innovation systems. Current constituent Universities of RUFORUM are in Kenya, Malawi, Mozambique, Tanzania, Uganda, Zambia and Zimbabwe, with the Secretariat based in Uganda.

RUFORUM focuses on building, rationalizing and sharing regional capacities and resources for agricultural training and research at regional level. Membership is by subscription by individual Universities and national forums. A Board consisting of 8 members who include Vice Chancellors, representatives of civil society and private sector, NARS and development partners, governs it. There is also a ten member Technical Committee responsible for implementing a competitive grant system and other grant wards. The Forum has a lean Secretariat consisting of a Regional Coordinator, Finance Manager and Program Officer.

## **7. Lessons from SRO Examples**

Based on an assessment of available information and recent evaluations of some of the above SROs, the section below summarizes some of the general lessons learned from their formulation and implementation experiences:

- a. **Importance of Ownership by and Responsiveness to Key Stakeholders:** While most of SROs had their primary origins and ownership with the member government research agencies, it is noteworthy that there is a discernable trend toward SROs actively seeking to broaden their stakeholder ownership, and developing mechanisms and strategies to be more responsive to diverse stakeholders (especially those which are client-driven, namely farmers and farmer groups, and private sector groups).

- b. **Governance & Management Arrangements:** Most of SROs are autonomous, governed by a Board of Directors elected by a stakeholder assembly. Most of the Board members have tended to be representatives from member countries, but there is a growing realization on the importance to be more flexible in order to ensure that Board members are “credible” representatives from diverse stakeholder groups and strategic research themes/issues. SROs tend to have a “lean” and effective Technical Secretariat, to manage the day-to-day activities, involving coordination and implementation, whereby the latter refers primarily to monitoring, facilitation of activities carried out by multiple stakeholders/member agencies. The most successful SROs are those managed by effective leaders, who can attract and retain qualified staff. This is linked to the operational flexibility and autonomy.
- c. **Proactive Leadership in Promoting Partnerships and Alliances:** SROs are devoting increased attention to expanding and diversifying their operational partnerships and alliances, through developing innovative mechanisms (e.g., meaningful and mutually beneficial MOUs), and more creative approaches to working with the CGIAR system. There are strong incentives to continue doing this, especially as it helps to add value to the country member NARS and help ensure sustainability.
- d. **Institutional Autonomy and Flexibility:** Almost all of SROs have “autonomous” status, in terms of being an international association, being apolitical, and have the ability to devise the required operational procedures and to mobilize, manage, and account for funds and programmes, while being accountable to their Board of Directors. This autonomy enables a SRO to have the right type of incentives to perform with the aim of attaining strategic outcomes. Flexibility in responding to stakeholders has been a key success factor, enabled by a generally “lean” and efficient Technical Secretariat. Leadership effectiveness at the Board level and Secretariat levels is a key common success factor. An overall theme has been the need for time to grow and mature, while building on common lessons learned.
- e. **Viability and Sustainability:** All SROs are very dependent on donor funding, recognizing that they are providing essentially a regional “public good”, in which market forces cannot ensure financial viability. However, all SROs are increasingly positioning themselves to strengthen their financial sustainability through various strategies, that include increased contributions from diverse stakeholders, increased “cost sharing” on regional research agendas; establishing endowment funds (such as FONTAGRO; ASARECA; and now being explored by CORAF). However, the capacity to establish a successful endowment fund requires a solid track record first. Donor agencies are increasingly demanding upfront credible strategies and performance-based indicators for encouraging enhanced operational and financial sustainability (which is closely linked to being responsive to a diverse stakeholder base). Another related lesson is the need to ensure institutional relevance and effectiveness, both as a means to improve impact and to ensure overall sustainability and support from stakeholders.
- f. **Mandate of SROs:** In light of the above lessons, the key elements and specific mandate expected of each SRO are:
- i. To facilitate the development of NARS in every Member State, and to play a sub regional coordinating role in order to add value;
  - ii. To provide services to its constituents: information, communication, and training through the promotion of an ICT system;
  - iii. To promote corporate research programs in the region, to be implemented by the constituents of the SRO;
  - iv. To promote and strengthen regional research networks;

- v. To carry out an advocacy role for agricultural research in the region to the decision makers from governments, private sector and professional organizations, as well as donors;
- vi. To become a reference for the design of sound governance arrangements and modalities, with strong connections with all research stakeholders in agriculture; and
- vii. To be an important contact point for and partner with ARIS and CGIAR Centres with the regional research networks.

Other key success factors are that a SRO must avoid being too dominated by one institution, Member State or thematic group, and must not be too donor-driven in terms of program setting and ownership. In deciding on the tasks for which the SRO would be responsible, it is important to keep in mind that much of the actual research work should be done by the constituent NARS, and that the SRO should only be a facilitating entity. There is need to clearly identify a limited number of widely endorsed early priority actions with a high potential of relatively short-term rewards so that the SRO can prove its worth. For example, unless CARDESA can engage in in-depth regional priority setting and be effective in quickly mobilizing increased and sustained financial support for agricultural R&D, including ensuring adequate compensation for national and regional agricultural researchers in the public sector, the entire effort would have minimum impact.

How far the new SRO will take on the added functions of extension, advisory, policy advocacy and education services will depend on the existence and effectiveness of other associations in the region doing the same function, and how such associations like RUFORUM and FANRPAN will relate to the new SRO.

If an SRO is to be semi-autonomous, it must be so to the letter in terms of governance and budgetary independence and hiring and remuneration of competent staff, with minimum bureaucratic interference. Finally intensive consultations with the stakeholder NARS and especially the public National Agricultural Research Institutions during CARDESA design process and initial operation, are crucial success factors.

## **INSTITUTIONAL ANALYSIS OF SACCAR: LESSONS LEARNT**

### **Origins of SADC**

Realist theories on regime formation as discussed in Masemola (1990) argue that the reason why states choose to form or observe a regime is because they realize that they are normally confronted with the same challenges and that the risk of not coordinating moves them into a disadvantageous position. With that in mind, states therefore, form regimes consisting of rules, norms, principles and decision-making processes to help them deal with problems and thus create opportunities for their regions or areas. In this context, SADCC was established in 1980 as a politically motivated response and defensive mechanism of the Front Line States (FLS) to South Africa's idea of a Constellation of Southern African States (CONSAS) and to deal with economic dependence that was created by decades of colonialism.

According to Masemola, the nature and shape of a regime is also influenced and determined by powerful states. A hegemony determines the shape of a regime around which states will coordinate their efforts. For example, the power of South Africa and its force in the region determined the shape of SADCC. Drawing from this, SADCC member states deliberately opted for a decentralized decision making institutional framework and a micro or project approach to regional development, in order to retain sovereignty and deal with development issues domestically. They also declared a security issue or threats from South Africa as a regional problem. Sectoral programming was thus a direct response to their varying levels of economic dependence on and resource endowment and power capabilities of their member states.

In furthering its objectives, SADCC adopted Programme of Action that identified and defined economic activities and development projects to be pursued. The plan of action was based on the project approach or sectoral approach with each member taking responsibility for a particular sector (see Table 3), for example, Angola for energy, Mozambique for transport and Swaziland for human resources.

According to Gwaradzimba (1993:89), from 1980 to 1990 SADCC consisted of small and loose institutional structures, closely linked to national bureaucracies of the member states. The highest authority of the organization was the summit consisting of Heads of State and government of ten member countries listed in Table 3. Its overall role was to guide policy, maintain political and ideological cohesion of the organization and ensure that the objectives of the organization were met.

SADCC established a Secretariat with a dozen staff members in Gaborone, Botswana which was headed by an Executive Secretary answerable directly to the Summit through the Council of Ministers.

**Table 1: SADCC Member Countries Sectoral Responsibilities 1980-1992**

<b>SECTOR</b>	<b>COUNTRY</b>
Food Security Coordination and Agriculture	Zimbabwe
Agricultural Research, Livestock and Animal Disease Control	Botswana
Energy	Angola
Transport and Communications	Mozambique
Manpower	Swaziland
Industry and Trade	Tanzania
Mining	Zambia
Inland Fisheries, Forestry and Wildlife	Malawi
Tourism, Soil and Water Conservation	Lesotho
Marine Fisheries	Namibia

Source: SADCC Handbook (1984)

The Secretariat had no decision making powers but it essentially existed to coordinate the sectoral activities of the member countries, mobilize resources on behalf of SADCC and liaise with member states and donors and lastly, to service the organization administratively. In addition, the Secretariat mobilized resources for almost all the projects and for that reason it carried out periodic briefing missions to international cooperating partners to discuss SADCC needs.

### **Establishment of SACCAR**

SADCC recognized the need to coordinate research and training at tertiary level among member countries in order to rationalize the available resources. The Southern African Centre for Cooperation in Agriculture and Natural Resources Research and Training (SACCAR) was therefore established in 1984 to coordinate agricultural and natural resources research, training activities and promotion of cooperation between Member States and was located in Gaborone, Botswana. As a Commission of SADC (Ref: Memorandum of Understanding Establishing the Southern African Centre for Cooperation in Agricultural Research), the centre was managed through a Board (SACCAR Board). SACCAR had the following objectives:

- a. Promotion and dissemination of available and appropriate agricultural and natural resources technologies among and between SADC countries;

- b. Coordination, dialogue and implementation of studies on agricultural and natural resources research policies, priorities and constraints common to all Member States, and initiation of cooperative research projects to overcome them;
- c. Coordination of regional research in agriculture and natural resource utilization and conservation, and establishment of mechanisms for integrated research in all FANR disciplines;
- d. Generation of new technologies needed by farmers to raise production and productivity, through regional collaborative projects and close liaison with national programmes;
- e. Strengthening the capabilities of national agricultural research systems (NARS);
- f. Promotion of rapid and continuous provision, interchange and utilization of scientific and technical information, in agriculture and natural resources;
- g. Provision of such regional support services and functions as may be necessary to assist and inform national and regional agricultural and natural resources research institutions; and
- h. Promotion of professional training in the Food, Agriculture and Natural Resources (FANR) sectors.

One argument in favour of establishing SACCAR was that there are research issues that cannot be dealt with sufficiently at national level because either the research is too expensive or the expertise is not available locally or because two or more regional countries share the same problem. Furthermore, different countries are endowed differently with resources and it is therefore justifiable that joint regional/regional research ventures are carried out through the coordination/facilitation of a Sub-regional Organization (SRO). Therefore, co-operation in agricultural research was expected to help alleviate the common problems of poverty, unemployment, food insecurity, land degradation and recurring droughts.

SACCAR was given the mandate of co-coordinating and strengthening agricultural research. Soon after its establishment, it was realized that the capacity of Member States to conduct agricultural research was being hampered by inadequate trained human resources, thus SACCAR was directed to include in its mandate the strengthening of human resource development of the National Agricultural Research Systems (NARS) in the areas of agricultural technology generation and transfer. The mandate of SACCAR was expanded in 1992 to include natural resources management and impact assessment, and its activities evolved considerably since its establishment.

Until 1998, SACCAR had the status of a SADC Commission. Thereafter, it was transformed into a Sector Coordinating Unit (SCU) with financial and administrative autonomy under the overall responsibility of the Government of Botswana. As a Sector Coordinating Unit, SACCAR functioned as a Sub-regional Organization (SRO) in the planning and governing of the FANR agricultural research and training including the facilitation of regional research networking and the forging of new regional partnerships at the Pan-African level.

From October 1998, under pressure of funding constraints, it was transferred to the Ministry of Agriculture. There is evidence that like other regional co-operative ventures, SACCAR was jeopardized by the failure of some states to pay their dues.

### **Institutional and Organizational Framework of SACCAR**

The Southern African Transport and Communication Commission (SATCC) in Maputo and the Southern African Centre for Cooperation in Agricultural Research (SACCAR) in Gaborone were the only two sectoral commissions that SADCC Heads of State sanctioned. While these commissions had an autonomous status and their own budgets, sectoral coordinators who planned and coordinated regional sectoral development strategies on full

time basis remained salaried civil servants of their respective governments staffed by the Sector Coordinating Units (SCUs). Though the Sectoral Coordinators worked exclusively on SADCC sectoral programmes, they fell under the authority and administrative structure of their Ministers. Mandaza (1967: 219-22) warned that, while the above views might reflect the official intent of SADCC's founding members and the economic advantages, it was also true that there were hidden costs and disadvantages in a decentralized institutional structure. Relying on national bureaucrats meant that the pace of program implementation was subject to the dynamism or efficiency of the individual member states. In areas where skills were in short supply, this arrangement led to heavier reliance on external experts to implement the regional development programmes without advantages of an overarching national policy framework to guide the work of foreign short-term experts. The experts were *inter alia* contributing factors to the need for restructuring.

In 1997 the SADC Council of Ministers decided to transform SACCAR from a SADC Commission to a Sector Coordination Unit (SCU) under the Government of Botswana. The transformation was effected in December 1998, but no funding mechanisms were put in place to ensure the sustainability of SACCAR's activities and programs which were left to the vagrancy of donor funding and the issue of its unfunded mandate was never fully addressed. However, the Government of Botswana had committed itself to cover the recurrent costs of the Sector Co-coordinating Unit.

### **Performance of SACCAR**

As a Sector Coordinating Unit, SACCAR functioned as a Sub-regional Organization (SRO) involving all key stakeholder groups in the planning and governing of the FANR-Agricultural Research and Training unit including the facilitation of regional research networking and the forging of new regional partnerships at the Pan-African level. The SACCAR secretariat was accountable to the Technical Committee for Agricultural Research and Training (TCART) consisting of representatives of all the SACCAR stakeholders. However, by placing the organization within the Government of Botswana, SACCAR lost its regional identity and autonomy to fulfil its obligations and also compromised its ability to articulate its mandate and role of the SRO for Agricultural research and training activities with the mandate and role of the SADC-FANR- Research unit.

Stakeholders saw SACCAR as inefficient and costly. SACCAR eventually lost support within the SADC Council of Ministers to continue operating as a separate institutional structure and was formally phased out as part of SADC restructuring and integrated into the SADC Secretariat as the Agriculture Research and Training Unit in 2002. As of now the responsibility for coordinating and strengthening agricultural technology development today lies with the Agricultural Research and Training Unit within the Food, Agriculture and Natural Resources (FANR) Directorate of the SADC Secretariat.

The disbanding of SACCAR has been attributed in part to a perceived lack of relevance and effectiveness as well as concerns about the sustainability and overall financial obligation SACCAR placed on the Secretariat's operations. Another lesson is that SACCAR had good professionals and resource persons, but the authority to take decisions was outside the control of SACCAR, and hence many of these professionals felt their efforts were in vain.

Although SACCAR was very successful in forging partnerships between public and parastatal institutions, such as NARIs and Universities, and between NARIs and IARCs stakeholders identified lack of participation of key stakeholders, such as the private sector, extension services, NGOs, farmers' organizations and professional scientific associations in SACCAR's activities as a bottleneck to regional integration. In fact SACCAR was involved directly in the implementation of projects. Gender imbalance was also identified as another limiting factor of SACCAR.

SACCAR was not able to facilitate research that focuses on priority problems and skilful shaping of potential solution to farmer circumstances and needs. The continuous absence of SADC and lack of representation of the SADC Secretariat at regional and international fora to represent research institutions of the region is what has adversely affected the Pan-African research coalition is also one example demonstrating that inclusion of SACCR functions within the SADC Secretariat overstretched FANR's capacity to implement functions of an SRO.

As a coordination unit SACCAR did not develop regional research policies and strategies only. By integrating the functions of SACCAR within the Food Agriculture and Natural Resources (FANR) Directorate, SACCAR failed to perform its functions due in part to bureaucracy, inadequate human capacity and conflict of interest. Even after the SADC reform into SADC the organization has been a very active political institution with formal establishment of structures to promote regional co-operation and integration and achieve complementarity between national and regional strategies and programmes. Based on these institutional arrangements all organizations have been bureaucratic with rigid procedures of operations and delayed decision making and implementation of the prescribed strategies. For example recruitment of personnel has been based on regional quota basis, an arrangement which has not ensured competitiveness and quality of human resource capacity. Further, the process of preparing the Five-Year Strategic Plan took almost two years from the time the Reference Group met in October 1999 to the time the Strategic Plan was submitted for approval by the SADC Council of Ministers in February 2000 through the Committee of the Ministers of Food, Agriculture and Natural Resources.

By maintaining its focus on technology development and transfer in crop production through commodity oriented projects, SACCAR has in the past partially addressed the needs of the agricultural sector for research and training but missed other opportunities for collaboration. The diversity and complexity of the stakeholders' demands and the multiple objectives of the agricultural sector suggest a broadening of the research and training areas to be promoted through co-operation and integration.

In order to meet these deficiencies and to enhance stakeholders ownership of SACCAR's programmes, there is need to involve other key stakeholders, such as farmers' organizations, the private sector (private companies, private research and training institutes, agro-industries, commodity marketing firms, etc), NGOs, extension services and professional associations, which were previously left out of SACCAR's activities and decision making. New developments in participatory approaches and information and communication technologies offer opportunities to address these concerns.

Over the past five years several networks and initiatives involving research and development have become inactive. Implementation of some existing programmes has been slow (as evidenced by low and lagging disbursements vis-à-vis targets), and a growing number of new initiatives identified by diverse stakeholders (not just public sector agencies from member governments).

It is generally recognized the SADC Region has started later than the two other African regions in terms of having an effective regional organization for R&D. The efficient development of a suitable SRO for research and development for SADC is critical since meeting the challenges of FAAP calls for stronger SROs for the entire continent. Currently, ASARECA and CORAF/WECARD, with active donor assistance, are formulating comprehensive proposals to further strengthen their SRO functions, building on their relevant lessons. This means that SRO "institutional gap" between the SADC Region and the other two regions may continue to grow, if the underlying structural issues are not adequately addressed.

The “Research and training” unit within the FANR Directorate has not been visible and has had insufficient resources and autonomy to effectively coordinate research activities at regional level and represent the NARS and other research partners in different regional and international fora. The region has therefore lost funding opportunities as most donors have been hesitant to commit their support until the coordination unit is visible and sufficiently strengthened to cover the functions of an SRO. As a consequence of the above constraint the region has not moved as swiftly as other Sub-regional Organizations (ASARECA<sup>13</sup> for East and Centre Africa and CORAF/WECARD<sup>14</sup> for West Africa) to implement new initiatives and represent the region in regional and international fora and so far Southern Africa has been described as the weakest pillar of the Forum for Agricultural Research in Africa (FARA).

The SADC protocol states that there will be an ever increasing demand for more reliable information and its rapid cost effective dissemination in order to broaden access of information to a wide range of stakeholders. Currently, it is estimated that there are approximately 2,500 professionals in various NARS in the SADC region. The need for relevant and timely information is one of the aspects that have been singled out for attention by the stakeholders. Servicing this need will bolster regional cooperation and supports SRO’s strategic thrusts of research and training co-ordination and integration, and scientific and technical partnerships.

SACCAR’s past activities had some emphasis on information and communication. These activities have been hampered by the lack of resources and by the recent transformation process. It is widely recognized by stakeholders within the region that inadequate knowledge

about sources of information, acquisition procedures as well as the lack of effective information services are the major constraints to accessing information.

Key constraints identified for the region were:

- Poor recognition of the value of information and communication, and inadequate local networking initiatives at national and regional level, resulting in poor dissemination of information within the NARS;
- Inadequate physical resources and infrastructure (lack of or inadequate modern equipment and facilities for rapid processing and dissemination of information, unreliable postal service and telecommunication system);
- Lack of information technology and communication skills;
- Poorly organized information resources; and
- Inadequate operational resources to sustain conventional information services.

Information system and dissemination was centralized at the SACCAR Secretariat. There is need to establish an information and communication facility which will serve as a gate-way and a link to networks in and between the NARS and globally

### **Current Institutional Structure for Sub-regional Coordination of Agricultural Research and Extension**

The analysis in the MAPP Working paper of 2007 observes that while the current institutional structure of SADC is relatively dynamic and several initiatives are underway both in and outside the organization’s Secretariat, the overall institutional structure of the SADC region can be characterized by some level of fragmentation, lack of full knowledge about on-going regional activities and priorities among stakeholders, and the presence of

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<sup>13</sup> ASARECA: Association for Strengthening Agricultural Research in East and Centre Africa

<sup>14</sup> CORAF/WECARD: Conseil Ouest et Centre Africain pour la Recherche et le Développement Agricoles

many actors participating in regional activities, but with limited contact with each other. Opportunities for building synergies or scaling up/out successes have been limited due to lack of knowledge sharing and the lack of an operable forum for stakeholder interaction. The paper further argues that the profusion of steering committees for the growing number of projects and programs is already beginning to lead to duplication and inefficiency, implying lack of subsidiarity.

FANR as one of the five technical units in the FANR Directorate, the Research and Development Unit/RADU (formerly named “Agriculture Research and Training Unit”/ARTU) is mandated to handle agricultural technology generation and dissemination issues<sup>15</sup>. Priorities identified in the RISDP for the RADU include: promoting partnerships in the area of agricultural research and training, improving regional research and training co-ordination and integration, improving regional information and communication systems, and reviewing the institutional framework governing regional agricultural research and training activities. In particular, RADU was designed to focus on providing support for strengthening human resources capacity and regional research and training capacity; developing co-ordination mechanisms for related policy issues, partnerships and stakeholder ownership of collaborative research programmes; and facilitating exchange of information and dissemination of research results.

The RADU is currently staffed by one SADC staff member, one donor financed advisor and a number of temporary project staff. It is currently implementing a number of different projects and programmes, including the EU financed Implementation and Coordination for Agricultural Research and Training (ICART), Land and Water Applied Research Programme, the Fund for Innovative Regional Collaborative Projects (FIRCOP) and the SADC Plant Genetic Resource Centre. Project staff have been contracted to assist SADC in implementing projects at the SADC Headquarters and in the field. Other Directorates are also implementing projects with some elements of agricultural technology generation and dissemination. Fragmented institutional landscape with multiple project staff and multiple stakeholder consultation structures as well as limited coordination across regional initiatives and among stakeholder groups, have over-stretched SADC institutional structure within FANR.

### **Lessons Learnt**

SACCAR was governed and financed by Governments of member states. Due to differences in their priorities and willingness to finance regional programmes, inflows of revenue were irregular. Furthermore, SACCAR failed to attract funding from corporate entities due to lack of private sector involvement in the governance system and failure to accommodate their interests in research, extension and training programmes.

In contrast, most of SROs are autonomous, lean and flexible, and are governed by a stakeholder assembly which elects a Board of Directors. Leadership effectiveness at the Board and Secretariat levels coupled with effective interaction with policy makers are a key common success factor amongst successful SROs. Experiences of ASARECA and CORAF/WECARD for example, have generally been positive due to their operational autonomy and flexibility in addressing the member country regional R&D needs, minimal political influences, and increased attention to secure broader stakeholder participation and ownership.

As observed in the FANR (2007) MAPP working paper, all SROs are very dependent on donor funding, recognizing that they are providing essentially a regional “public good”,

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<sup>15</sup> The other four units are the: Food Security Unit, Crop Development Unit, Livestock Production and Animal Disease Control Unit, and Natural Resource Management Unit (which also covers wildlife, forestry and fisheries issues).

where the market forces will not ensure financial viability. However, all SROs are increasingly positioning themselves to strengthen their financial sustainability through various strategies, including: increased contributions from diverse stakeholders, including increased “cost sharing” on regional research agendas (with little significant achievements thus far, but offering potential); establishing endowment funds (such as FONTAGRO; ASARECA; and now being explored by CORAF/WECARD).

The capacity to establish a successful endowment fund requires a solid track record first. Donor agencies are increasingly demanding upfront credible strategies and performance-based indicators for encouraging enhanced operational and financial sustainability (which is closely linked to being responsive and effective to a diverse stakeholder base). Another related lesson is the need to ensure institutional relevance and effectiveness, both as a means to improve impact and to ensure overall sustainability and support from stakeholders

Regardless of the preferred option eventually selected, the lessons from ASARECA and CORAF/WECARD indicate that it is important to enable the SRO to evolve and mature “organically”, or from within, and grounded on establishing strong alliances and partnerships with multiple stakeholders, especially the farming community. The role of SADC MAPP will be to support this SRO institutional maturation process. It is believed that the expertise and initial nurturing which can be provided through FARA, as an umbrella and facilitating forum for the region, which can accelerate the CARDESA’s learning-by-doing, and also help it avoid (or minimize) mistakes committed by other SROs.

## Appendix IV: Job Description for the Position of CARDESA Director

**Main purpose of the job:** To direct and coordinate the R&D functions and programmes for CARDESA, and provide strategic leadership, human and financial resource management and stakeholder collaboration, to the achievement of CARDESA Strategic Plan and MAPP outcomes, and reporting to CARDESA Board of Directors.

Main Duties	Skills Requirements, Experience and Key Competences
<ul style="list-style-type: none"> <li>• Supervise and provide strategic direction, management and policy guidance to CARDESA staff;</li> <li>• Develop and formulate short and long term strategies for research and development in the SADC region and supervise CARDESA activities;</li> <li>• Present work plans and budgets to the Board for approval and mobilize funds to finance the operations of CARDESA;</li> <li>• Organize fund raising modalities and ensure that all budgeted funds are utilized in the best possible manner;</li> <li>• Liaise with regional and international organizations on matters concerning R&amp;D in the region and design partnership agreements;</li> <li>• Recruitment and performance management of appropriate staff;</li> <li>• Development and management of strategic partnerships.</li> </ul>	<p><b><u>Qualifications:</u></b></p> <ul style="list-style-type: none"> <li>• Minimum of a Masters Degree in Agricultural or Social Science. A PhD is an added advantage;</li> <li>• Computer literacy in all major programs.</li> </ul> <p><b><u>Experience:</u></b></p> <ul style="list-style-type: none"> <li>• Proven track record of contribution to the agricultural R&amp;D</li> <li>• A minimum of ten years working experience at a senior level in an agricultural institution. Working experience in a regional institution is an advantage.</li> <li>• Experience in managing a national agricultural research institution and exposure to the management of regional or international research or training institution.</li> </ul> <p><b><u>Key Competences:</u></b></p> <ul style="list-style-type: none"> <li>• Ability to design work plans and budgets and strong analytical skills and report writing skills.</li> <li>• Proven leadership skills</li> <li>• Ability to interact with both public and private sector stakeholders.</li> <li>• Must be able to command respect among professional staff and stakeholders in the region.</li> </ul>

## **APPENDIX V: CARDESA FRAMEWORK TERMS OF REFERENCE FOR THE DETAILED DESIGN OF THE M& E SYSTEM**

### **The objectives of the M&E System**

The objective of the monitoring and evaluation system for CARDESA is to ensure that the laid down objectives of CARDESA and SADC MAPP are being achieved by providing information for decision making on the progress being made toward the achievement of CARDESA strategic objective of SADC MAPP results in terms of outputs ;outcomes and impact. Without exception, the system is expected to provide insights on the relevance, efficiency and effectiveness of CARDESA and its programmes. It will also be useful in identifying weaknesses, providing solutions on the way forward and provide lessons learned for replication of best practices

The M&E should be based on measurable and verifiable indicators, and should be simple, timely and cost effective. Since CARDESA will be working through and with several stakeholders it will be necessary to assess the expectations in relation to the achievement of their varied interests.

It is against this background that CARDESA will recruit the necessary expertise to develop a detailed the M&E system for the organization and the MAPP programme

### **Objective of the assignment**

The objective of this assignment is to design a suitable and automated monitoring and evaluation system for CARDESA and MAPP programme which includes in general.

The indicators to be measured at impact, outcome and output levels;

The process proposed for testing indicators at the various levels;

The types and sources of data;

The methodologies for data collection in relation to the indicators,

the types of reports to be prepared and their frequencies; and the management and feedback processes including dissemination channels of data collected in future planning; the linkages of the M&E system to the National Integrated Monitoring and Evaluation System (NIMES); and Install software to support the M&E system.

### **2.3 The scope of work of the firm will include**

Specifically the consultancy will assess the programme's clarification of the key stakeholders and target groups are and fill gaps in the description of their information needs and conduct an M& E readiness assessment . Consequently the assignment will accomplish the following:

- Assess the indicators (at output, outcome and impact levels) which are already drafted for their relevance and usefulness (specific, relevant, measurable, timely and feasible) in monitoring and evaluating the programme's progress and impacts.
- Identify the gaps in terms of indicators for the programme. Develop indicators, at all levels in the planning matrix (where provided) and at all levels of participation, for the programme's outputs, outcomes and impact.
- Propose suitable means of verification for the indicators.
- Detail the data required, the sources, the means of collection and the timing and collection intervals necessary.
- Determine the institutional capacity requirements for implementing the M&E system
- Determine the different reports to be generated from the M&E system and the respective frequency.

- Determine the means of dissemination of the reports such as conferences, planning and review workshops ,stakeholder workshops or other CARDESA channels.
- Provide information on how the M&E reports will be used for decision making at policy levels and for subsequent CARDESA and MAPP programme planning ).
- Consider cross-cutting issues such as sustainability of the monitoring and evaluation system, participation, gender and appropriate technology.
- Ensure the linkages of the M&E system to overall planning and the annual work plans,
- Develop an Information Communication and Technology (ICT) programme for the M&E system based on defined criteria and commission the system
- Recommend and implement a capacity building programme for staff and other stakeholders in M&E and in the use of ICT programme.

### **Deliverables ( outputs of the Assignment)**

- An automated M&E system with a framework, reflective of CARDESA requirements, for capturing all the activities and results of the CARDESA and the MAPP programme
- The M&E system should specify indicators of progress and impact, how and when data will be collected, analysed and reported, who will conduct the evaluations, and how results will be used.
- The system should have an ICT component and associated training support programme.

### **Methodology**

- Literature review of programme documents and other relevant documents as provided by CARDESA and MAPP programme management
- Review of other result oriented M&E systems for similar organizations
- Discussions held with relevant key personnel involved with CARDESA and MAPP programme implementation
- Discussions with other CARDESA partners
- Installation of a suitable software for the M&E system

### **Qualification of the Experts**

Specifically, the Experts must have at least several years of proven experience with:

- Development and implementation of computerized M&E systems
- The traditional logical framework approach, the results framework, and other strategic planning approaches;
- M&E methods and approaches (including quantitative, qualitative and -participatory);
- Planning, design and implementation of M&E systems;
- Computerized data and information analysis;
- Generation of M&E reports both qualitative and quantitative;
- Proven previous experience in research and extension monitoring and evaluation;
- Strong technical competence in and monitoring and evaluation methods and information technology;
- Strong operational management ability: a clear focus on results – sets goals, plans and prioritizes effectively, monitors quality and progress of work against plans; and

Training in M&E development and implementation

## **APPENDIX VI: DRAFT FRAMEWORK TERMS OF REFERENCE FOR THE PREPARATION OF A STRATEGIC PLAN FOR CARDESA**

### **Preamble**

The purpose of this assignment is to undertake a strategic review of the newly formed CARDESA and produce a strategic plan which will clearly guide the implementation of the objectives and mandate of CARDESA through an effective planning and budgeting process involving key R&D stakeholders in the region. It would be carefully reviewed and approved by CARDESA's Board of Directors. It would give emphasis to helping to ensure institutional and financial sustainability, to the extent feasible. It is recognized that its actual performance and results, and responsiveness to its stakeholders, will be the best measures to help ensure sustainability.

### **Methodology**

The Strategic Planning process should be designed to stimulate the generation and sharing of ideas on the best course of action to take in drafting and executing the vision, mission and long term research and development agenda of CARDESA. It should be a process of introspection as well as envisioning into the future. An initial two-day workshop will be held with CARDESA Board and Management to them with information and the tools needed to come up with a clear and competitive strategic plan and business plan, come up with carefully selected strategic R&D priorities for the region and produce a draft document that will guide CARDESA to properly align its human, financial and technical resources with the agreed upon priorities.

The methodology to be employed shall entail a mixture of the following approaches:

- A step-by-step process starting off with a brief presentation to the staff on the theoretical themes, methods and tools for results-based strategic planning.
- Brief presentation of background information by staff, where appropriate.
- Use of highly interactive participatory approaches to develop capacity in the organization to understand its core business and how it can exploit its strengths to achieve maximum results.
- Practical work sessions for staff, associates, stakeholders and clients.
- Group discussions in which participants will brainstorm to develop the strategic plan.

### **Specific tasks to be performed**

A competent and experienced Facilitator will be required to guide the planning process and to ensure that the organization comes up with a results-oriented Strategic Plan. The consultant will therefore be expected to carry out the following specific tasks:

- Review the Terms of Reference and additional background information on CARDESA and produce an initial draft document.
- Facilitation of at least two workshops, one at the planning stage, and the other for sensitizing stakeholders and obtaining feedback on the strategic plan.
- Design an appropriate workshop programme and methodology.
- Prepare workshop notes and tools to guide discussions in the Workshop.
- Facilitate and capture the inputs from the workshop participants.
- At the end of the workshop, conduct participatory evaluation of workshop proceedings stating achievements and shortcomings.
- Write-up the Draft Strategic Plan.

**Outputs**

The strategic planning should achieve the following outputs:

- Vision statement
- Mission statement
- Core Values
- Strategic Options
- Environmental analysis
- SWOT analysis
- Stakeholder Core Function Analysis
- R&D Strategic Objectives and Priorities
- Strategic Action Plan
- Key Performance Indicators, M&E and Implementation guidelines
- Financing Strategy and Plan

The Coordinator for the Strategic Planning Unit, together with the assistance of the Facilitator, will compile a Strategic Plan for the CARDESA covering the period 2008-2012 based on the outputs of the Workshop, and further consultations (including a review meeting by the Board of Directors).

## **APPENDIX VII: REFERENCES**

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