**REPORT**

# Implementation Framework for Strengthening Regional and National Collaborative Capacities of ASARECA and its partners

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# Abbreviations

| | |
|---|---|
| **AFAAS** | African Forum for Agricultural Advisory Service |
| **AR4D** | Agricultural Research for Development |
| **ARD** | Agricultural Research Development |
| **ASARECA** | Association for Strengthening Agricultural Research in Eastern and Central Africa |
| **AU** | African Union |
| **AUC** | African Union Commission |
| **CAADP** | Comprehensive African Agriculture Development Programme |
| **CCAFS** | Climate Change Agriculture and Food Security |
| **CGIAR** | Consultative Group on International Agricultural Research |
| **CGS** | Competitive Grant System |
| **CORAF** | Le Conseil ouest et centre africain pour la recherche et le développement agricoles (West and Central African Council for Agricultural Research and Development) |
| **CSA** | Climate Smart Agriculture |
| **CSOs** | Civil Society Organizations |
| **EAAPP** | East African Agricultural Productivity Project |
| **EAPGREN** | Eastern Africa Plant Genetic Resources Network |
| **ECA** | Eastern and Central Africa |
| **FAO** | Food and Agriculture Organization of the United Nations |
| **FARA** | Forum for Agricultural Research in Africa |
| **GFAR** | Global Forum on Agricultural Research and Innovation |
| **GFRAS** | Global Forum for Rural Advisory Services |
| **GHG** | Greenhouse Gas |
| **IARCs** | International Agricultural Research Centers |
| **IP** | Innovation Platform |
| **LFA** | Logical Framework Approach |
| **M&E** | Monitoring and Evaluation |
| **MTOP 1** | Medium Term Operational Plan 1 |
| **NAPs** | National Adaptation Plans |
| **NARES** | National Agricultural Research and Extension Services |
| **NARIs** | National Agricultural Research Institutes |
| **NARS** | National Agricultural Research Systems |
| **NDC** | Nationally Determined Contributions |
| **NFOs** | National Farmers' Organisations |
| **NFPs** | National Focal Persons |
| **NGOs** | Non-Governmental Organizations |
| **NSAs** | Non-State Actors |
| **NSC** | North-South Cooperation |
| **RECs** | Regional Economic Communities |
| **RFT** | Regional Focal Team |
| **SDGs** | Sustainable Development Goals |
| **SME** | Small and Medium Enterprises |
| **SSC** | South-South Cooperation |
| **STI** | Science Technology Innovation |
| **TIMPs** | Technologies Innovations Management Practices |
| **TOTs** | Training of Trainers |
| **TrC** | Triangular Cooperation |

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# Executive Summary

## Background

The Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA) is a sub-regional not-for-profit association. It was established in 1994 by ten member States represented by their National Agricultural Research Institutes (NARIs) following the approval of the Framework for Action (FFA) for agricultural research in Eastern and Central Africa by the Special Programme for Africa Agricultural Research (SPAAR). The original ten member States included Burundi, the Democratic Republic of Congo, Eritrea, Ethiopia, Kenya, Madagascar, Rwanda, Sudan, Tanzania and Uganda. South Sudan joined the association at the General Assembly meeting convened in December 2011 raising the membership of the regional Association to eleven. In October 2018, the Republic of Congo joined ASARECA to bring the total number of member states to twelve.

## Methodology

The Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA) set out to develop an implementation framework that supports strengthening of the regional and national agricultural research and innovation delivery infrastructure for climate-relevant STI through engagements with national, RECs, the AU and European partners. The methodology used in the assignment focused primarily on reviewing secondary sources of data, implementation plans, programme/project documents, reports and structured stakeholder feedbacks which allowed the compilation and analysis of data that provided useful insights to inform the development of an implementation framework that supports Strengthening of Regional and National Collaborative Capacities of ASARECA and its partners.

## The ASARECA Implementation Framework that supports Strengthening of Regional and National Collaborative Capacities of ASARECA and its partners

The developed implementation framework is aligned to ASARECAs new repositioned role as an innovative convener, partnership broker, strategic catalyser, process facilitator, effective communicator and efficient coordinator of priority regional AR4D initiatives. The framework presents a set of methodology concepts, ideas, approaches and tools that should guide ASARECA and her partners in the execution and implementation of the strategies and interventions described in the Medium Term Operational Plan 1.ASARECA shall adopt the Innovation Platform approach along priority value chains to implement its interventions. The framework shall support the strengthening of regional and national collaborative capacities of ASARECA and its partners.

To ensure that ASARECAs interventions and investments are demand-led and targeted and that outreach actions extend beyond technology adoption to include commercialization of technology through enterprise development and agribusiness incubation, ASARECA shall consider forming small, focused teams to do priority setting. It is recommended that ASARECA through its member NARIs and the National Focal Persons (NFPs), should convene country focal teams to identify specific implementable actions in select value chains.

In its redefined role, ASARECA shall engage more diverse partners in multi-dimensional relationships. The participation of non-state actors (NSAs) in ASARECA partnerships shall particularly be enhanced by designing and implementing transparent selection processes, implementing practices that promote trust,

providing support to NSAs selected to serve, establishing a clear architecture for mutual accountability and implementing the strategies detailed in this framework. ASARECA and its partners shall also scan the business environment to identify businesses that can be potential strategic partners. A comprehensive inventory of private sector players in agriculture shall be developed. To attract businesses into ASARECAs partnerships, ASARECA and its partners shall embrace the business ethos and value system in the management of the partnerships. Businesses identified for inclusion in partnerships shall be invited based on clearly defined roles that they can best play. The private sector players shall also be involved in the collective development of specific programme goals and scope, identification of participants and development of measures of performance.

ASARECA shall seek to achieve equity in its agriculture partnerships by: developing collaboration agreements and governance plans that clearly define the roles and responsibilities of all partners and their commitments to transparency; promoting the participation of women, youth and vulnerable groups; ensuring social inclusion in the allocation of efforts, costs and benefits; promotion of the participatory approach in funding processes; and implementation of sound institutional approaches that promote performance.

ASARECA and its partners shall promote approaches that facilitate South-South Cooperation (SSC) and Triangular Cooperation (TrC) by: Supporting knowledge exchange, promoting peer to peer learning and capacity building; enhancing the use of its own and other web platforms to share information on projects on climate change mitigation and adaptation technologies; supporting ASARECA members to increase their engagements in SSC and TrC; supporting ASARECA members to develop fundable project proposals and submit them to the Green Climate Fund and the Global Environment Facility; supporting ASARECA members to document and monitor the success of sharing climate change knowledge and practices to facilitate replication and scaling up; and ensuring that ASARECA has a robust M&E framework that promotes learning.

The repositioned ASARECA shall embrace innovative pathways and best practices for on-time delivery, spillover and scaling up of regional agricultural research results to deliver agricultural outcomes and impact by: Mainstreaming climate resilience in all its programmes/projects at the planning stage to deliver climate-resilient developmental outcomes; mainstreaming gender in climate-relevant science and innovation so that gender innovation goals are formulated to look into solutions that work well for women as well as men, impacts of public investments are improved, social responsibility and inclusivity is promoted, and new technologies for a sustainable future are created.

ASARECA and her partners shall also support member countries in the mainstreaming of climate resilience into their development planning through: (i) Policy formulation - To be effectively mainstreamed into development planning, climate resilience will have to be integrated into policy documents that articulate development planning objectives, strategy and action plans. These policy documents shall outline how the policy objectives will be implemented; (ii) Policy advocacy - Because mainstreaming climate resilience involves many stakeholders, ASARECA shall foster the establishment of appropriate institutional arrangements to facilitate effective policy advocacy.

ASARECA shall ensure that its implementation framework is strengthened through; institutional coordination, integration of the value chain approach, building resilience and appropriate mitigation actions and enhancing communication systems on climate-smart agriculture (CSA) extension and agro-weather issues. The focus on agricultural value chains shall be adopted because the out scaling initiative shall aim to build the resilience of agricultural value chain players through the use of adaptive technologies and enhanced market linkages. Scaling up climate-relevant technologies shall therefore not be an end in itself but ASARECA and her partners

shall ensure that the resultant climate-smart products access markets. ASARECA shall also work with partners to develop mechanisms of risk transfer and management and capacity building of value chain actors on the importance of insurance and safety nets. A list of strategies that could be used to scale out climate-relevant technologies is presented in this framework. All the scaling up activities shall be coordinated and implemented through team consultation and joint cooperation mechanisms. The Innovation Platform (IP) shall be adopted as the main institutional model to implement the ASARECA interventions complemented by holistic capacity development approaches to develop technical, institutional and systemic capacities that are effectively networked to sustainably scale proven technologies to millions of beneficiaries.

ASARECA and its partners shall develop programmes that organize target farmers into some form of producer business groups or organizations with the potential to evolve into agribusiness enterprises. The capacity of the producer groups shall be built to be able to jointly access inputs, aggregate their production, value add their produce and access markets collectively and thus benefit from the accruing economies of scale. The producer groups shall also be supported to develop their ideas into viable proposals and business plans and establish alliances with large buyers or agro-processors of their produce through contracts. The group leaders shall also be trained on the following general issues; group dynamics, Leadership and management, gender mainstreaming, environmental safeguards, requirements for group registration etc. Once formally registered, the groups shall be recognized and trusted to utilize social guarantees to access negotiated credits from agricultural related development agencies, credit from financial institutions as well as grants from development partners. Through the producer organizations and their alliances, the knowledge of value chains, new technologies and climate-relevant practices shall be integrated into farmers' learning cycles. Because the transformation of smallholder farmers and farmer groups/organizations into viable businesses requires a suitable and enabling policy environment, ASARECA and its partners shall carry out a scan of the business environment in target programme sites and prepare appropriate policy interventions to be shared with the relevant authorities.

To ensure that ASARECAs Risk Management Framework is aligned to MTOP 1 and this implementation framework, the existing Risk Management Policy shall be reviewed, updated and aligned with the realities of a repositioned ASARECA. Therefore, early on in the implementation of MTOP1, ASARECA shall prepare an appropriate risk management plan to facilitate proactive monitoring of the risks and implementation of appropriate and effective mitigation measures.

Monitoring, Evaluation and Reporting (M&E) shall be used to guide the coordinated and efficient data collection, analysis, use and provision of information that will provide indications of impact, outcomes and outputs. The monitoring shall measure programme/project achievements at the activity and output levels while the evaluation shall measure achievements at the outcomes and impact levels. The M&E shall be based on the Logical Framework Approach (LFA) and shall be aligned to the ASARECA M&E framework. Evaluation in the framework shall be done at various levels as follows: Baseline surveys to collect baseline data on vulnerability levels; Mid-term (three years) review aimed at evaluating the relevance, effectiveness and efficiency of implementation of the framework against key performance indicators; Terminal (five years) evaluation at the end of the Framework period to analyse outcomes and impacts and learning experiences.

To guarantee the sustainability of its programme, ASARECA and its partners shall mobilize, allocate and prudently manage regional AR4D investments to support the generation of regional agricultural research public goods and services. ASARECA and its partners shall seek to diversify funding sources to be able to tap into new and innovative income streams.

The Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA) is a sub-regional not-for-profit association. It was established in 1994 by ten member States represented by their National Agricultural Research Institutes (NARIs) following the approval of the Framework for Action (FFA) for agricultural research in Eastern and Central Africa by the Special Programme for Africa Agricultural Research (SPAAR). The original ten member States included Burundi, the Democratic Republic of Congo, Eritrea, Ethiopia, Kenya, Madagascar, Rwanda, Sudan, Tanzania and Uganda. South Sudan joined the association at the General Assembly meeting convened in December 2011 raising the membership of the regional Association to eleven. In October 2018, the Republic of Congo joined ASARECA to bring the total number of member states to twelve.

ASARECA set out to develop an implementation framework that supports strengthening of the regional and national agricultural research and innovation delivery infrastructure for climate-relevant STI through engagements with national partners, RECs, the AU and European partners. The specific objectives of the assignment were to:

i. Review existing regional and continental AR4D implementation frameworks that can be applied to ASARECA (based on lessons learned and good practices);

ii. Design approaches that ASARECA Secretariat can adopt to strengthen its collaborative capacity with the partners as well as of selected institutions in Eastern and Central Africa (ECA);

iii. Validate the document with selected stakeholders through virtual meetings and other available online platforms.

The scope of the assignment included the following:

i. Undertaking a desk study to review existing national, regional and continental AR4D implementation frameworks that can be applied in developing ASARECA's Regional Implementation Framework;

ii. Using the review findings, design a user-friendly Implementation Framework/approaches that ASARECA Secretariat can adopt to strengthen its collaborative capacity with the partners as well as selected institutions in ECA both at the national and regional level. This Framework should include, among other things: (a) the type of support needed by the targeted institutions in harnessing collaborative efforts for enhancing climate-relevant and inclusive transformation of agricultural, food, and innovation systems; (b) the potential approaches for collaboratively addressing these gaps; (c) the adaptable options for scaling out climate-relevant technologies and innovation; (d) replicable modalities for strengthening regional and national agricultural research and innovation delivery infrastructure for climate-relevant STI, particularly taking into account how to engage stakeholders from national, RECs and AU level; (e) examples of replicable opportunities for the development of climate-relevant agripreneurship capacities, mainly among youth, women and other vulnerable groups to reduce unemployment and regional and intercontinental migration; and (f) how to effectively facilitate South-South and North-South research for development partnerships.

iii. Validate the implementation modalities of the proposed Framework with selected national and regional stakeholders using available online platforms (such as WebEx for virtual meetings). Among the areas to be validated include: (a) Proposed good practices to support countries to mainstream

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climate-relevant science and innovation in their national agriculture investments. These good practices and operating mechanisms should include strong gender and youth perspectives. (b) Protocol or framework for facilitating and supporting equitable multi-stakeholder partnerships for innovation, including procedures for uptake and scaling of technologies, innovations and management practices to achieve CAADP targets; (c) Proposed framework for enhancing country-based Climate Change thematic platforms; and (d) Suggested avenues for effective engagement of private sector and other non-state actors to increase industrialization and productivity of agriculture in the region.

## 1.1 The Conceptual Framework for review of implementation frameworks at national, regional and continental levels

### 1.1.1 Scope and Analytical Framework

A programme/project implementation framework represents a set of methodology concepts, tools and measurement instruments that guide the execution of an improvement programme/project. It defines the process of implementation of programme strategies and the environment within which the implementation is to take place including influencing factors. It also includes an implementation plan that broadly defines at least the following five elements:

i. **The work plan:** The basic objective of any work plan is to establish and communicate what is going to happen (activities) and when (time) to ensure that all involved stakeholders have a common understanding of how the improvements will be implemented. The plan identifies the changes needed for existing processes, procedures, resources and equipment, and documents how to make the changes. In addition, the plan identifies who will make the changes and when they will be completed. It is also crucial to determine how the changes will be measured and deemed successful.

ii. **Resources and budget:** The implementation of the proposed actions requires significant time, staff or other resources, all of which need to be included in an implementation plan.

iii. **Stakeholders:** Stakeholders are the people who will be affected by the proposed project, actions and/or interventions or who can influence it. These need to be identified. A suitable stakeholder analysis tool is used to identify and enlist support from key stakeholders and partners. It provides a visual means of identifying stakeholder and partner support, which can ease the creation of an action plan for a project. It helps project managers begin to discover ways to influence relationships, collaborations and strategies to ensure that the project has the appropriate involvement and support from the key stakeholders. Most important, it helps the team to answer the question, "Where does this stakeholder or partner currently stand on the issues/ impact associated with this effort?"

iv. **Risk assessment:** Risk assessment involves identifying all potential risks of a programme/project implementation and communicating them to the stakeholders. Stakeholders need to be kept up to date about the risks identified and how they will impact the implementation process to allow for timely mitigation measures.

v. **Performance and Quality control:** This is the process by which the quality and performance of all factors involved in programme/project implementation are monitored and controlled. Quality control relates to project management and requires the review of accomplished work to ensure that it is aligned with the programme/project scope and that changes are sustained.

Implementation planning helps to ensure that the right resources and stakeholders are involved to execute the implementation plan in order to meet or exceed the set targets. Proper planning increases a programmes/project's odds to be on time, in scope and within budget and if variations take place they can be easily accounted for with few surprises.

Implementation processes and the obtaining environment during implementation also have the potential to impact the success of the delivery of the project or programme goals.

The aim of this assignment was therefore to review and analyse the five components and processes of selected key implementation frameworks of programmes at the national, regional and continental level in the ECA region and to develop a harmonized implementation framework that supports strengthening of the regional and national agricultural research and innovation delivery infrastructure for climate-relevant STI through engagements with national, RECs, AU and European partners building on successes, lessons and experiences of the existing frameworks.

The review and analysis covered the performance of selected implementation frameworks in different dimensions. The following were selected for review: key implementation frameworks of key national programmes from across the ASARECA region; sub-regional programmes implementation plans for ASARECA (OP1, OP2, MTOP1, EAAPP), CORAF-WAAPP and the regional agriculture investment plan (RAIP) for EAC; the regional framework for EAFF, continental and international programmes such as CAADP, Maputo Declaration, the RUFORUM and TAAT frameworks as well as the ICRISAT implementation framework etc. Concurrent to the document review, a questionnaire was used to collect and assess information from key stakeholders of ASARECA priority programmes. Lessons were also drawn from other SROs implementing continental CAADP. During the review, the organization and behaviour of all stakeholders in the programme implementation frameworks was analysed, to diagnose the constraints and problems that they face, and to identify actions that may enhance their performance and enhance programme delivery and impacts. The review also focused on institutional arrangements that link stakeholders in the ARD value chain, recognizing that power differentials among them may influence outcomes along the project chain.

In the review and analysis, the following were also undertaken:
i.      From the implementation frameworks, the relevance of the proposed actions to address the planned objectives and alignment to other regional and continental AR4D agenda was determined; practicability and suitability of the proposed actions and set timelines, procedures and systems employed and performance evaluation measures adopted; and while also identifying any gaps therein and opportunities for improvements.
ii.     Assessed the resources including budgetary, human and physical resources deployment to determine their adequacy, efficiency and effectiveness in utilization, duplications and to also identify any gaps therein and opportunities for improvements.
iii.    From reviewing the implementation frameworks, a brief stakeholder analysis was carried out to identify and map key stakeholders for different clusters of interventions to determine their level of involvement in the implementation of proposed actions.
iv.     Assessed adequacy of risk management plans by identifying and clustering potential risks that may impact the implementation of planned projects and interventions to ensure that they are considered in project planning and appropriate mitigation measures planned well before implementation.
v.      Reviewed performance and quality control measures employed in the different frameworks

The above actions enabled the determination of whether the implementation framework:-
i.      Promoted the consultation of stakeholders and whether the stakeholders had a shared vision with regard to challenges and opportunities and facilitation of the establishment of collaborative relationships.
ii.     Promoted enterprise development within agricultural value chains.
iii.    Contributed to enhancing food and nutrition security and safety.

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iv.    Promoted value addition and equity among stakeholders.
v.     Promoted coordinated linkages among key stakeholders.
vi.    Promoted the improvement of an individual actors' competitive position within the value chain by capacity development.
vii.   Promoted acceptable performance measurement.

The approach adopted for this assignment also specifically involved the following:

i.     Profiling key categories of ASARECA stakeholders.
ii.    Determining a sample of ASARECA stakeholders from which feedback data would be sourced.
iii.   Selecting implementation frameworks at the national, regional and continental level for review.
iv.    Identifying the roles and functions of stakeholders, including those who perform multiple roles in the selected frameworks.
v.     Mapping and establishing interactions among these agents in selected frameworks;
vi.    Mapping key policies and institutions that influenced the functioning of the selected implementation frameworks; and
vii.   Establishing key drivers, trends, and issues affecting the selected implementation frameworks and their actors.

The methodology used in the assignment focused primarily on reviewing secondary sources of data, implementation plans, programme/project documents, reports and structured stakeholder feedbacks which allowed the compilation and analysis of information that informed the development of an implementation framework that supports the Strengthening of Regional and National Collaborative Capacities of ASARECA and its partners. Additional data/information from the following sources was also used in the compilation of this report:

i.     Documents that define the mandates of different actors in AR4D at national, regional and continental levels.
ii.    Secondary project documents, especially project and programme proposals, implementation plans, technical and financial reports, monitoring and evaluation reports, programmes mid and end-term evaluation reports for key identified implementation frameworks.
iii.   Secondary AR4D organizational documents that define policies and operational plans of key actors.
iv.    Programmes and organizational assessment/review reports.
v.     Reviews have examined the evolution of the selected frameworks.
vi.    Structured interviews of stakeholders and key informants interviews/surveys, including relevant past and present actors, and partners.
vii.   Triangulating data/information from multiple sources.

### 1.1.2 Review Criteria and Questions

Following analysis of the key objectives outlined in the Terms of Reference for this assignment, the following broad overarching questions were formulated to guide the overall review and analysis of implementation frameworks:

i.   Were or are the mandates and expectations of the actors or stakeholders in reviewed implementation frameworks met?
- Does experience to date support the objectives/focal areas as originally conceptualized?
- To what extent and how well were/are the actors addressing the issue of upscaling and out-scaling?

ii.   What were/have been the major successes or failures of the reviewed implementation frameworks? What lessons can be learnt from these?

iii.   How has the history of the reviewed implementation frameworks affected performance?

iv.   Implementation coherence: Has there been a strong, valid, demonstrable and logical link among the stakeholders or actors in reviewed frameworks?

v.   Have there been specific opportunities or challenges in the reviewed frameworks?

vi.   Have the reviewed implementation frameworks given adequate attention to emerging challenges of agriculture: e.g. Natural Resource Management, adaptation to climate change/variability, emerging pests and diseases, post-harvest loss, etc.?

vii.   To what extent have governance and management arrangements helped the reviewed implementation frameworks to reach their set objectives?

viii.   In what ways have the reviewed implementation frameworks contributed to poverty reduction?

ix.   What impacts have the reviewed implementation frameworks had over the years, in terms of development, partnership, knowledge development and brokering, capacity development, etc.? How have these impacts been used?

x.   How well have the reviewed implementation frameworks leveraged the available capacity locally and among external partners?

xi.   To what extent have the reviewed implementation frameworks contributed to the institutional capacity building?

xii.   To what extent have the reviewed implementation frameworks purposed to integrate gender and youth both in their strategy and practice to enhance impact?

xiii.   How has gender been operationally mainstreamed?

xiv.   How has the learning from experiences on gender work been scaled up and out?

xv.   How have partnerships been managed to enhance impact?

xvi.   Do the governance and management arrangements and functions in reviewed implementation frameworks, including the actual practice, conform to best practice requirements of independence, accountability, transparency, legitimacy, equity, fairness, effectiveness and efficiency?

xvii.   How has the prevailing social, political and economic environment affected the performance of the reviewed implementation frameworks?

xviii.   To what extent have conflicts of interest in management and governance been proactively given attention in the reviewed implementation frameworks?

xix.   To what extent have the reviewed implementation frameworks taken advantage of new technologies and institutional approaches in enhancing their administrative processes?

xx.   How can the positive results be sustained?

The results obtained from the review and analysis of implementation frameworks at national, regional and continental levels, informed the development of the ASARECA Implementation framework. The proposed ASARECA implementation framework presented herein is aligned to ASARECA's Medium Term Operational Plan (MTOP 1).

## 1.2 The ASARECA MTOP 1

ASARECA has repositioned herself strategically to perform a higher level facilitative, supportive, coordination and advocacy role to enhance sustainable agricultural transformation, sustained economic growth and inclusive development in the ECA sub-region. To achieve this, ASARECA has purposed to be an Innovative convener, Partnership broker, Strategic catalyser, Process facilitator, Effective communicator and Efficient coordinator of priority regional AR4D initiatives. ASARECA has developed its MTOP1 to support the attainment of this strategic goal. The ASARECA MTOP has defined the needs and resources for the transformation of agriculture in ECA. It has defined thematic priority investment areas, expected outcomes and results of investment as well as specific strategies/interventions (Figure 1).
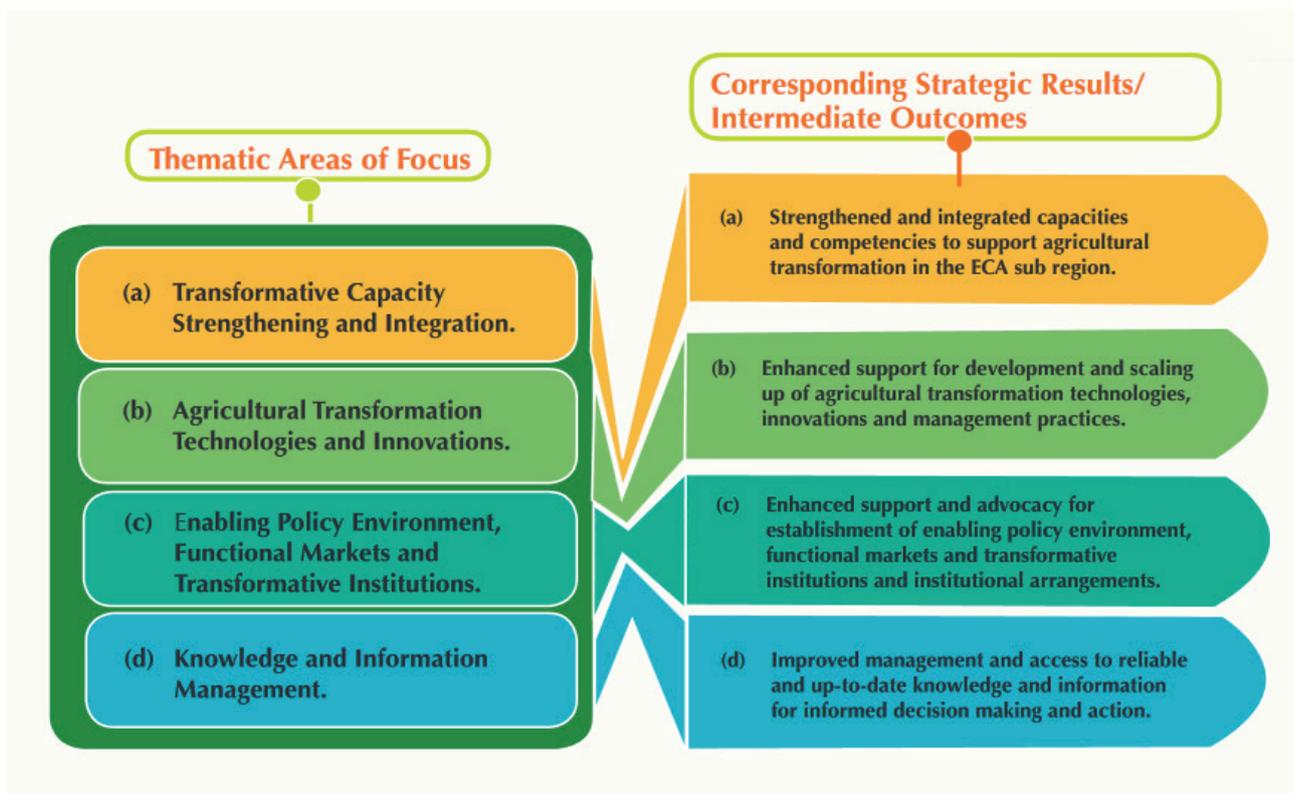


**Figure 1: ASARECA thematic areas of focus and their corresponding strategic results/intermediate outcomes**

# 2.0 Methodology

Primary data and information to complement the secondary data and information obtained from the implementation framework review were collected electronically from a variety of sources given the geographic coverage of the stakeholders and the temporal period of review. A spectrum of ASARECA stakeholders was selected to access information and data. The sample of stakeholders contacted was representative of all interest groups. An online questionnaire was administered to the selected respondents. The questions which these data and information sought to answer are presented in the ToRs of the assignment and expounded in section 1.1.2.

## 2.1 Literature review

Broadly, the desk review of implementation frameworks sought to examine (i) the context in which the selected frameworks are or were operating in, leading to a situational analysis or environmental scan (trends, challenges, opportunities, risks); (ii) performance of the framework; (iii) institutional arrangements and partnerships in the selected implementation frameworks; and (iv) synthesis of the main strategic choices that faced the implementation frameworks.

The broad areas for documents reviewed and analysed include the following:
i.     ASARECA Strategy documents.
ii.    Strategy and Operational documents from national AR4D implementing institutions.
iii.   Documents that describe specific projects/programmes and their principal actors/stakeholders.
iv.    Documents that describe Management and Governance of projects and programmes.
v.     Documents that provide insights into the evolution of implementation framework actors and their procedures of operation.
vi.    Programme review/evaluation documents.
vii.   Self-assessments - documents that describe what the actors/stakeholders in implementation frameworks consider as their major outcomes and impacts over the years.
viii.  Relevant policy documents.

In addition to the above documents and reports, the following documents were also reviewed:
i.     Global and Continental documents on agricultural development including CAADP, Malabo, Science Agenda for Agriculture, Sustainable Development Goals among others.
ii.    Reports/documents prepared by regional, sub-regional organizations such as those prepared by the African Union, EAC, NEPAD/CAADP, RECs, SROs, academia among others.
iii.   Relevant international documents/reports such as those prepared by the World Bank, FAO, as well as other international development agencies.
iv.    Unsolicited reports/documents written by others on the implementation of AR4D projects/programmes.
v.     "Flagship" documents or reports which have done analyses relevant to the reviewed AR4D projects/programmes.

## 2.2 Interviews and consultations

Limited interviewing and consulting with some stakeholders, in a variety of formats, provided a deeper understanding of critical issues – from the perspectives of these stakeholders – and facilitated the identification and isolation of key points as guided by probing questions such as: How have these stakeholders interacted within the reviewed implementation framework? What has gone well? What impact have the projects/ programmes achieved? What could have been better? To facilitate engagement between the stakeholders and the Consultant, a letter of introduction was provided by ASARECA.

**Table 1: Stakeholder categories that were consulted to provide review documents and invited to fill in an online questionnaire**

| Stakeholder category | Examples of contacted stakeholders |
| --- | --- |
| National Agricultural Research System | NARIs in all the 12 ASARECA member states |
| Regional Economic Communities | EAC, COMESA, IGAD. |
| Universities | Agricultural Universities in ASARECA region- at least two (2) per country. |
| International Agricultural Research Institutions and Centres (operating in the ASARECA region) | IITA, ICRISAT, CIAT, ILRI, RESAKSS , ICIPE and others |
| Regional and Continental AR4D institutions | FARA, CORAF, CCARDESSA, ASARECA |
| Private sector representatives | Processors, agricultural service providers and their associations in ASARECA region eg East African Grain Council (EAGC). |
| Farmer's organizations | EAFF, Farmer Producers' organizations and groups in the ASARECA region, etc. |
| Regulators | Respective Commodity Regulators in the ASARECA countries |
| Government Departments | Ministries of Agriculture in the 12 ASARECA countries |
| Development Partners | USAID, EU, AGRA |

## 2.3 Key informant survey

An in-depth survey with a small sample of purposively selected key stakeholders representing the stakeholder categories presented in Table 1 above was carried out. A comprehensive semi-structured instrument (questionnaire) was developed and self-administered virtually to interrogate in detail the specificity of an individual's experiences with the ASARECA implementation framework.

To increase the number of respondents, the following methods were applied:
i.      Virtual data sourcing and mining through the use of a simple online survey form.
ii.     A few virtual interviews/online interactions particularly to elicit deeper qualitative responses among the chosen respondents. The choice of these most critical respondents was based upon a careful analysis of the value of their current and future interactions with the implementation framework.

## 2.4 Analysis and synthesis
Once all the information had been collected through literature reviews, interviews and consultations, and surveys; it was subjected to different forms of analyses. The aim of analyses was to make sense of the data and information and to synthesize it in ways that reveal underlying trends and enhance understanding and inform the development of the ASARECA Regional Implementation Framework that incorporates all the lessons learnt from the implementation of other frameworks reviewed in this assignment and built on the successes of these frameworks.

## 2.5 Outputs of this assignment

From the first component of this assignment, a "Current Status Report showing the existing national, regional and continental AR4D implementation frameworks that can be applied in developing the ASARECA's Regional Implementation Framework" was developed and submitted. The report highlighted the strengths and weaknesses of the reviewed implementation frameworks as well as key lessons and best practices that informed the development of the ASARECA Implementation Framework.

### 2.5.1 Key lessons and best practices from the reviewed Implementation Frameworks

The lessons isolated from the 13 reviewed Implementation frameworks that informed the ASARECA implementation include the following: The need to;

i.      Operationalize performance-driven governance and management structures and systems to enhance programme implementation.
ii.     Adopt a commodity value chain focus and clearly define priorities to enable the facilitation, generation and uptake of demand-driven agricultural technologies and innovations in the selected value chains.
iii.    Promote the use of information technology to enhance programme efficiency and visibility and enhance organisational positioning and influence.
iv.     Promote properly aligned planning and programming approaches to ensure that programme design is informed by a situational analysis.
v.      Support and encourage outward-looking management and improved diplomatic and advocacy efforts to enhance brand visibility.
vi.     Strengthen infrastructure and the human capacity for effective implementation of priority programme interventions.
vii.    Promote the understanding of the context within which the proposed plan is to be implemented.
viii.   Appropriately engage the private sector and encourage them to invest in agricultural transformation and development.
ix.     Engage the private sector more in the development of strategic plans and programmes to get their buy-in and to introduce them to the opportunities created by these plans and programmes.
x.      Build in self-financing and sustainability mechanisms in every planning process.
xi.     Integrate programmes with several national, regional and global open data and information platforms, research websites and portals for data hosting.
xii.    Promote participative planning to enhance the responsiveness of the resultant plans to the needs of the plan's targets and make stakeholder buy-in and adoption of plans easy.
xiii.   Build capacity of the National Farmers Organisations (NFO's) in planning and implementation of their individual strategic plans.
xiv.    Seek to enter into formal partnership agreements with the NFO's of all the ECA states.
xv.     Strengthen the coordination and mobilization of financial and technical resources for effective implementation of the priority interventions.
xvi.    Enhance the institutional architecture for enhanced implementation of the plan by establishing an effective mechanism to manage partnerships.
xvii.   Develop a comprehensive communication strategy.
xviii.  Develop and implement a holistic partnership strategy document to guide in the institutionalization, operationalization and overall management of partnerships.
xix.    Continuously develop the human resource capacity of the implementing partner organizations to enable them effectively and efficiently manage the workload at hand.

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xx. Establish a strong Scientific and Technical Committee (STC) or Technology Clearing House that is experienced on IAR4D and Development to vet all proposed interventions, programmes and projects.

xxi. Develop and regularly update the project management manual based on lessons learnt in programme/project implementation.

xxii. Regularly carry out institutional and stakeholder mapping to identify potential partners and resources.

xxiii. Create a Committee of Director Generals of NARs to aid in the mobilisation of resources.

xxiv. Diversify income streams by adopting innovative resource mobilization mechanisms such as the establishment of Endowments, Franchising, licensing, sponsorship, outsourcing, and consultancy.

xxv. Influence others through advocacy, training, publishing, advising, and communication.

xxvi. Establish and build effective delivery networks eg communities of practice, membership groups, federations, strategic partnerships, and ride on other organisations infrastructure and programmes, contracts etc

xxvii. Identify key value chains in different geographies.

xxviii. Identify all actors in a value chain.

xxix. Build the capacity of all actors in a value chain to guarantee their efficient participation.

xxx. Ensure that technology adoption is not an end in itself but that outreach intervention should ensure agribusiness development for impact.

xxxi. Engage youth in agribusiness development.

xxxii. Implement priority interventions through Innovation Platforms (IPs) of selected priority value chains for greater targeting and impact.

xxxiii. Ensure more diverse partners and partnership arrangements to strengthen the delivery of outputs and outcomes.

xxxiv. Harmonize project culture with the unifying conceptual framework to focus all partners on the delivery of the programme's objectives.

xxxv. Strengthen management review mechanisms.

This report presents the output from the second component of this assignment which is the "ASARECA's Regional Implementation Framework that supports strengthening of the regional and national agricultural research and innovation delivery infrastructure for climate-relevant STI". The proposed ASARECA Implementation framework was also informed by stakeholder views and data that were collected through an online survey tool. A summary of the synthesized data is presented in section 2.5.2

## 2.5.2 Summary of synthesized data from stakeholder survey

Responses from stakeholders who had been invited to fill in the online questionnaire were received and analysed. Most respondents were from research organizations (53%) with the farmers' organizations, private sector, academia and development partners all having very few respondents (6.7% of the respondents each) which may be indicative of the weak link between ASARECA and the Non-state actors including the private sector. The respondents indicated that they engaged ASARECA very frequently (up to 80% of the respondents) and therefore were generally well versed with ASARECAs new mission and strategies as articulated in the A-SRF and MTOP 1. The respondents noted that ASARECA activities are aligned to its mission and mandate. A synthesized brief of the data collected from the ASARECA stakeholders is presented in the following sub-sections.

### Relevance

The stakeholders reported that ASARECA interventions/actions were well integrated with national and regional AR4D agenda, systems and stakeholders including the NARIs, Governments, farmers' organisations and other actors. ASARECA interventions were also seen as addressing emerging challenges in agriculture

such as natural resources management; adaptation to climate change/variability; emerging transboundary diseases and pests; and post-harvest losses.

The respondents recommended that the services that ASARECA should uniquely offer its stakeholders in order of importance should be: partnership brokerage; convening of AR4D stakeholders for collective action; AR4D coordination; development of private sector-focused and driven AR4D interventions; collective setting of the agenda for regional research; upscaling of agricultural technologies; identification of sub-regional priorities in AR4D; provision of communication and knowledge products and services; promotion of data sharing and cross country analysis; institutional capacity strengthening; grant mobilization; and management of trans-boundary diseases and pests.

## Partners and partnerships

ASARECA was rated as having been effective in fostering partnerships. However, up to 33% of the respondents felt their partnership with ASARECA was not effective enough. Another one-third of the respondents reported that their partnerships with ASARECA were not properly institutionalized in their own organizational structures, systems and processes. The stakeholders recommended that partnerships should be made more effective by promoting joint communication and knowledge sharing; regular discussion and exchanges; joint implementation of interventions; and regular review and assessment of progress to inform the next steps.

ASARECA communication with stakeholders was categorized as effective.

Although up to 80% of the respondents felt that ASARECA had effectively leveraged on the available capacity in ECA, the following interventions were recommended to further enhance this: convening of regular joint programme/project planning meetings; promotion of joint priority setting; deepening of private sector engagement; benchmarking for best practices in the sub-region; joint resource mobilization initiatives; regular stakeholder analysis to identify institutions with prerequisite capacities; and effective communication on the available capacities in the sub-region.

## Capacity development

ASARECA was generally rated as having been less effective in promoting capacity development in ECA and particularly, implemented interventions were reported as not having been very effective in strengthening national and regional research and policy-making processes. However, ASARECA interventions were reported to have promoted the capacity development of individual actors and groups in agricultural value chains.

The internal capacities of ASARECA were deemed inadequate and in need of strengthening in order to enable the Association to effectively carry out its role of implementing capacity building interventions. The following were identified as areas of internal capacity strengthening: resource mobilization; private sector engagement; and knowledge management.

## Cross-cutting issues

The stakeholders reported ASARECA as having effectively integrated gender, youth and VMGs in its strategy and practice, though learning from experiences on its gender work has not been well scaled up and out.

The stakeholders reported that ASARECA interventions/actions had been implemented in compliance with environmental and social safeguards and relevant policy and legislative requirements.

## Performance evaluation measures and quality control

A majority of the respondents (73%) indicated that ASARECA was consistently meeting their expectations. The stakeholders reported that the ASARECA performance evaluation measures were adequate and the Association had been effective in promoting the quality of science and foresight to effectively inform policy.

## Resources

Up to 60% of the respondents thought that ASARECA resources (human, budgetary, infrastructure) are inadequate for implementation of the interventions described in MTOP1 though a majority still regard ASARECAs past deployment of resources as effective. ASARECAs governance and management arrangements and functions including actual practice were deemed to have conformed to best practice requirements of independence, accountability, transparency, legitimacy, equity, fairness, effectiveness and efficiency.

The respondents recommended that ASARECA should prioritise its investments and resources on the following categories of stakeholders in order of importance: farmers and farmers' organisations; NARIs; private sector; NGOs/CBOs; policymakers; and Universities and academia.

## Risks management

Though ASARECA was seen to have taken advantage of new technologies and institutional approaches in enhancing its administrative processes, up to 46% of the respondents felt that some ASARECA processes and procedures are not practical and efficient enough and hence may require to be reviewed.

Overall, ASARECA was deemed to have an adequate risk management strategy. The stakeholders listed the following as the key strengths and weaknesses of ASARECA:

### Successes/strengths of ASARECA

i.      ASARECA has retained its strong convening power.
ii.     It has established viable Regional Centres of Excellence.
iii.    It has contributed to the harmonisation of trade policies in EAC member countries.
iv.     It has effectively coordinated regional networks.

### Weaknesses of ASARECA

i.      Lack of adequate resources including funds and human capital.
ii.     Low return on investment and impact.
iii.    Low engagement with the private sector.
iv.     Low public awareness of ASARECA and its roles and activities.
v.      Ineffective knowledge management and sharing of experiences.

# 3.0 The Proposed ASARECA Implementation framework

ASARECA is operating in a context where smallholder farmers in Eastern and Central Africa face similar challenges. Many use poor quality inputs such as seeds and farm implements. Their farms are often under the threat of attack by menacing pests, diseases and weeds. This situation is aggravated by variable weather, climate change and a declining natural resource base. As a result, the farmers get poor yields from their crops and animals. In addition, lack of access to input and output markets, coupled with an environment of limiting trade policies, make farming a challenging business.

Most farmers are also not organized and lack the necessary entrepreneurial drive to take calculated risks to overcome agribusiness challenges related to accessing remunerative markets, timely finance, appropriate technologies and information, and access to service providers. They also have low bargaining power and face constraining regulatory environments. These factors contribute to high levels of poverty among the farming communities in the sub-region. Owing to low returns from agricultural enterprises, the youth have either abandoned farming in search of money-making ventures in urban areas leaving farming to the elderly, women and children or even migrated from the region. Although all these can be tackled at the national level, the national systems have inadequate capacities to manage these challenges comprehensively.

ASARECA seeks to address these challenges in a regionally coordinated manner by working with multiple partners that include Governments; farmers and farmer organisations; national, regional and international research institutions, extension and training organizations; public and private sector actors, NGOs, RECs and development agencies. ASARECA shall adopt an implementation framework that brings together multiple partners in a coordinated manner to identify key investment priorities along priority value chains and that promotes joint programme planning and implementation and that is supported by a robust performance management system, risk management plan and prudent deployment and use of resources. The proposed implementation framework shall adopt the Innovation Platform as the special purpose vehicle to deliver the ASARECA strategic results. Details of the structure and processes of the implementation framework are presented in the following sections.

## 3.1 Brokering and managing strategic partnerships

The repositioned ASARECA shall strive to bring together diverse partners, on an ongoing basis, as part of its broader convening role that underpins coordinated AR4D implementation in the ECA sub-region. ASARECA shall therefore commission, broker and manage strategic research partnerships to address identified regional priorities in the most effective, efficient and synergetic ways. When working to improve food and nutrition security and the livelihoods of communities through strategic research partnerships, ASARECA shall be cognizant of the need to build a diverse team of partners to create a stakeholder-owned process. Different categories of stakeholders will need to come together to assess and identify very specific needs and priority areas of investment, effectively plan the appropriate programme initiatives, collaboratively implement priority actions and evaluate the success in the implementation of actions and outcomes, and impacts (Figure 2). The cog will be driven by continuous knowledge sharing and learning.
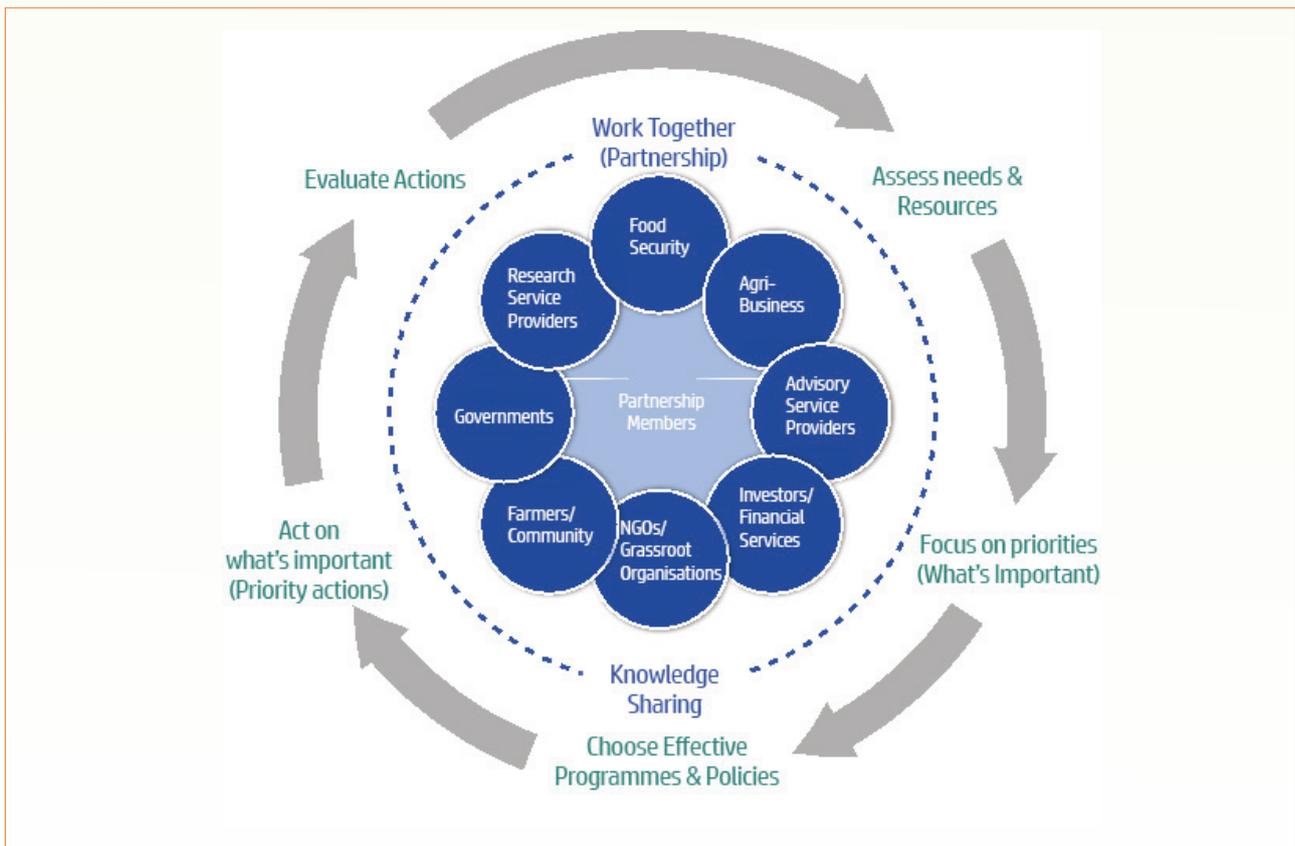
**Figure 2: The collaborative improvement of agricultural value chains process**

ASARECA has in the past focused on building and managing its bilateral partnerships with NARS, IARCs and other AR4D institutions including national and international NGOs and, to a limited extent, the private sector. ASARECAs partnerships with IARCs, other sub-regional and continental AR4D institutions and some RECs have therefore been strong and effective. However, partnerships with many other non-state actors (NSAs)including Advisory service providers, producer and consumer organisations have particularly been weak. ASARECA has predominantly used a competitive grant system (CGS) with short term partnership arrangements to deliver on its programme goals.

The partnerships have largely been formalised and managed through signed project proposal grant documents though some partnerships have also been formalised using Memoranda of Understanding (MoU) or Letters of Agreement (LoA). The duration of most project partnerships has lasted as long as the project/ programme cycle. Some ARD activities have also directly been commissioned with partnerships managed in more or else the same way. Some AR4D interventions have been implemented through regional productivity projects such as the East African Agricultural Productivity Project (EAAPP) and the Eastern Africa Plant Genetic Resources Network (EAPGREN), some of which had their unique frameworks of implementation. The latter sustained longer-term partnerships defined by key thematic areas of mutual interest and therefore delivered much more sustainable impacts. Therefore, with its repositioning, ASARECA needs more enduring partnerships for greater impact.

In its redefined role, ASARECA shall engage more diverse partners in more enduring multi-dimensional relationships. The different stakeholders in the partnership shall be expected to bring their perspectives and

resources, all of which would make the programme efforts more effective.In bringing on-board different stakeholders, ASARECA shall consider how each critical partnership will be managed, who will be responsible and what will be the key dimensions and content of each partnership. Individuals responsible for partnership management shall be equipped with soft skills critical for these roles. Board members will also be expected to be involved in networking and partnership development on behalf of the Association in addition to the development of staff skills in partnership brokerage, development and management.

### 3.1.1 Effective engagement of non-state actors (NSAs) to increase industrialization and productivity of agriculture in the region

Non-State actors vary according to the different agriculture sector constituencies but generally include consumers and producers who are primarily the target beneficiaries of agricultural transformation; organizations engaged in food and agriculture ranging from farms to collective bodies such as Farmers Organizations, CSO alliances, CBOs, or Chambers of Commerce who represent the interests of key constituencies, NGOs, Academia, International and Regional Sector Organisations etc (Figure 3).



**Figure 3: The diversity of potential NSA partners in ASARECAs AR4D partnerships**

The Non-State Actors (NSAs) can be critical players in ASARECAs journey to transform regional agriculture by generally informing investment planning, supporting inclusive dialogue to determine viable strategies for intervention, providing support, the building of national buy-in, helping align resources behind priorities, serving as service providers, providing best practice benchmarks, providing implementation capacity, informing reform agendas, promoting enabling environment, holding other stakeholders accountable and strengthening citizenry responsibility.

The specific roles NSAs can play in the ASARECAs strategic partnerships include:
- Building champions for policy and programmes development, implementation and review processes throughout their constituency.

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- Ensuring the full participation of other actors in these processes, maximizing their contribution and realizing their potential benefits.
- Representing the interests of their constituency as members of the processes.
- Disseminating information to their constituencies.
- Consulting their constituency on policy proposals.
- Substantiating M&E data through direct reports from their constituents.

## Challenges facing NSAs in their efforts to partner with ASARECA

The participation of NSAs in ASARECAs AR4D partnerships has been constrained by several factors listed below.

i. The NSAs in most countries are diverse, highly fragmented and duplicated, and often not organized enough, with many lacking a definite constituency of members that they claim to represent and therefore lack legitimacy to the broader community of Non-State Actors. As such, these actors lack the legitimacy they need to be respected and heard; they lack incentives to communicate and consult with their constituencies.

ii. Partnerships relationships can be characterized by a lack of mutual trust among all partners due to a lack of adequate information on expectations.

iii. Many Non State Actors lack the financial resources to effectively participate in such partnerships, especially those who serve the interests of poor or less powerful constituencies.

iv. Partners lack skills for jointly creating and implementing policy and programmes.

v. Partnerships with NSA are usually characterized by limited awareness of policy and programme processes and avenues for input and collaboration.

vi. The NSAs have limited capacity to hold the other partnership actors accountable. If commitments are unclear, data on performance is unavailable, and there are few platforms for debate, then Non-State Actors cannot fulfil their watchdog role on behalf of their constituencies. Equally Non-State Actors themselves may lack the reputational incentives to deliver.

## Recommendations on how to harness the collaborative opportunities with NSAs

To fully harness the collaborative efforts of NSAs and also enhance their level of participation in ASARECA partnerships, the following actions shall be implemented.

i. ASARECA shall establish an open and transparent process whereby the broader relevant Non-State Actor community selects organizations to serve as their representatives for each relevant constituency e.g. farmers, women, consumers and the CBOs/CSOs etc. Because of the centrality of farmers in the agenda to transform agriculture in all the ASARECA member states, ASARECA shall seek to enter into formal partnership arrangements with all the National Farmers Organisations (NFOs) of the ASARECA countries.

ii. ASARECA shall develop a comprehensive inventory of key relevant NSA organizations with a stake in her policy/programme processes and that meet a set defined minimal criteria that includes that the organizations must be active in agriculture or food security; independent of government; represent a constituency of a minimum defined membership and have a minimum defined annual budget to ensure that those selected are genuine representatives of the constituencies they represent.

iii. ASARECA shall develop an overarching partnership strategy document to guide the organization in the development and management of partnerships with NSAs and other partners.

iv. ASARECA shall ensure that its programmes and activities are guided by an annual plan for the implementation of all partnership processes with clear priorities, timelines, and roles and responsibilities

for each partner. Such annual plans developed shall ensure that the plan and its delivery process allow adequate time for NSA representative organizations to inform and consult with their constituencies throughout the implementation process. Partner organizations in the partnerships shall be encouraged to create and share their action plans for the delivery of their defined responsibilities.

v.   ASARECA shall facilitate regular meetings of the partners to review progress and address emerging issues and ensure that the annual plans provide for equal and equitable participation by women and men in all partnership issues.

vi.   To ensure effective NSA participation in ASARECA'S programmes and activities, ASARECA shall consider providing a budget from which the selected NSA representatives can be supported to effectively participate in its programmes irrespective of their financial resources situation. ASARECA shall define eligibility criteria against which such support can be provided. A suitable mechanism to manage this budget needs to be developed and may include each NSA representative organization preparing activity-based budgets for delivery of their responsibilities in a specific programme in the partnership and a system to allocate available finances across organizations as appropriate. Such a system shall also include a reporting mechanism and a due diligence process to ensure value for all support provided with delivery as a pre-condition for further financing.

vii.   To enhance communication, ASARECA shall put in place effective strategies for communication and consultation leveraging on the networks and outreach work of NSAs, by issuing regular press releases on significant decisions, opportunities and progress, convening regular regional consultation meetings on key issues, leveraging on NSAs to reach out to their local implementing partners for consultation and optimally working or communicating through traditional fora.

viii.   ASARECA shall establish a clear architecture for accountability that clearly defines the evaluation and Mutual Accountability Frameworks, records partners' commitments publicly, generate evidence-based M&E reports and mutual Accountability reports and regularly presents such reports in recognized platforms to enhance accountability by all partnership actors.

### 3.1.2 Engagement of the private sector

One very important partner to engage in efforts to build resilient, sustainable, profitable and equitable agricultural value chains and that is removed from the NSAs category discussed above is the business community or the private sector. A vibrant agricultural sector creates wealth and employment, builds the resilience of the national and local economies and increases the purchasing power of the citizenry. Addressing food and nutrition security challenges can reduce the significant economic burden of malnourishment and malnutrition as well as disease in addition to improving the length and quality of people's lives. A vibrant, profitable and sustainable agricultural sector is, therefore, a good business case.

Businesses/corporations or the private sector can play a unique role in the development of agriculture and the enhancement of farmer livelihoods. This interdependence, therefore, sets the stage and context for business-AR4D collaborations to improve agricultural value chains. Based on the specific needs of the potential participants and recipients of an AR4D initiative, there is a wide range of opportunities for collaboration. Farmers and agribusinesses require inputs, information and a range of other services that are provided by the private sector all of which also point to new opportunities, partnerships and venues for effective collaboration. However, many research-focused collaboratives struggle with how to successfully bring businesses or the private sector to the table as full partners. The language and framework of those more frequently involved in agricultural research work do not translate well to those of businesses and vice versa.

To engage the private sector in improving rural livelihoods through agriculture, it is vital for all partners involved in such initiatives including the grass-root organizations to understand the perspective of business

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enterprises, the business culture, and the values that tie businesses to their local communities. Effective business involvement requires a unique approach to agricultural programmes/project management, implementation and evaluation.

Generally, businesses are impact-oriented and for example, it has been established that large companies want rural community improvement initiatives with a long-term focus or goal, and the broadest impact possible. They also demand concrete, immediate steps. They are also keen on programme/project effectiveness ("what works") and measures of cost-effectiveness to reflect the project's value (i.e., that the returns outweigh the investments).

## Challenges of initiating and sustaining partnerships with the private sector

A review of the past ASARECA programme documents and the current updated list of ASARECA stakeholders reveals that the private sector has grossly been under-represented in past programmes and yet transformation of agriculture cannot be realized without the private sector. Numerous challenges constrain the development of partnerships between AR4D and private sector institutions.

i.      The AR4D institutions lack adequate knowledge of existing businesses in their localities.
ii.     The AR4D institutions and other public institutions in partnership have a different ethos and value system from that espoused by private sector players.
iii.    The AR4D institutions find it difficult to approach private sector players to participate in partnerships.
iv.     The AR4D institutions are unable to sustain the interest of private sector players in AR4D partnerships.

## Recommendations to enhance the establishment and sustenance of partnerships between ASARECA and private sector players

The following interventions and actions are recommended to enhance the establishment and sustenance of partnerships between ASARECA and the private sector.

i.      **Getting to know the business community:** It is important to learn about the local businesses. ASARECA shall scan the business environment to identify and profile businesses that can be potential strategic partners. A profile of the businesses with a presence in defined localities shall be developed. The following key information shall be collected; the company's line(s) of business, the age/sex distribution of its workers, what per cent of its overall employee population works at the location within the programme target community, the proportion of the programme target local community employed by this company etc. This will help in determining whether to approach a company, and for what project, and whether to contact the local branch/level or the corporate headquarters. A profile of businesses shall also include a track record of previous and current collaborations because this would provide indication of the values and interests of the business, besides indicating the potential network and goodwill that can be available to ride on. The profile shall also include the current activities of the business since this can provide a starting point for collaboration. Without this, it would be difficult to know where to start when seeking to engage the business. The ASARECA National Focal Persons (NFPs) at the 12 member NARIs of ASARECA shall be tasked to profile businesses in their own countries and develop a full inventory of private sector players for sharing with ASARECA within the first 3 months of programme implementation. ASARECA can share this inventory with the relevant RECs and other AR4D institutions. The NFPs can get information on businesses from the Chambers of Commerce, Business Councils or Business coalitions/groups in their respective countries, who would, at the minimum, have contact information and data about the businesses and may know which businesses champion agriculture, food and nutrition security as well as poverty reduction issues.

ii. **Functioning as a business:** Private businesses operate based on a different ethos and value system. Therefore, to be able to attract them into viable strategic partnerships, the AR4D partnerships to be established shall adopt some private sector best practices. Right from the beginning, all engagements with the private sector players shall be guided by the following: Meetings shall have an agenda, ground rules, and timely minutes; meetings shall also run efficiently and start and end on time; progress reports shall be prepared on time and reviewed regularly so that measurable achievements can be seen and return on investment can be demonstrated; all work packages shall be based on quality measures such as evidence-informed practice or accreditation standards. To get value for money, efforts shall be made to piggyback meetings on convened regional conferences when appropriate, particularly if the programme/project involves participants from diverse locations who plan to be at the conference anyway.

iii. **Making a specific invitation:** When inviting a business or private sector player to join a partnership, this shall be based on the role(s) that they can best play. Once data, information and knowledge on each business have been accessed, it shall be easier to see what their role could be in the programme effort. The business shall not just be asked to get involved in the partnership but instead, it shall be invited to take on some specific roles or tasks that have been mapped for them based on their business interests and capacities. This shall be done through open discussions or negotiations. The initial contact with the business shall be through the corporate affairs office or regional technical office and not directly to the Chief Executive.

iv. **Planning successful initiatives with the private sector:** To retain the interest of the private players in the AR4D partnership, private sector values shall be mainstreamed in the management of the partnership. These shall include smart scheduling and management of meetings. The partners shall be encouraged to collectively develop a list of their needs, common interests and concerns. This is important because the partners will be able to appreciate that the programme initiative will meet their needs and interests, hence contributing to their buy-in, commitment and involvement.

Collective development of the specific programme goals, participants and measures of effectiveness shall be promoted. Because private businesses are impact-oriented though they also demand immediate and concrete outcomes, they shall be involved in determining the programme/project scope and the participants. The private sector players together with the other partners shall be involved in establishing measures of programme performance and the requisite data that should be collected. The form presented in Annex 1 can be used by all partners to provide their data. Throughout the programme/project implementation phase, these data shall provide evidence of the project's success and effectiveness. This information will be critical to informing the partner's decisions and choice of activities, as well as for attracting and renewing commitment to the programme/project from its participating organizations and funders. Objective measures of the project's effectiveness shall include measures of programme/project effectiveness ("what works") and measures of cost-effectiveness to reflect the project's value (i.e., the ratio of returns to the investments).

Principles of best practice in programme/project management shall be employed. Attention shall be given to ensuring positive group dynamics with every partner being made to feel important and necessary for the delivery of the programme goals; strict adherence to project timelines; effective communication; regular review of programme/project performance and prompt discussion of the results; joint re-evaluation of timelines and agreement on adjustments where necessary; joint assignment of accountabilities to the partners; receipt of feedback with an open mind.

Because of the dynamism of the private sector environment, the AR4D partners shall recognize and respect the business realities of the private sector players. Businesses may go through mergers, change of ownership, shareholding etc and the other AR4D partners shall recognize that such changes can affect the participation of the private sector player in the partnership.

All the group members in a partnership shall ensure that they are proactive in protecting the partnership from politics.

### 3.1.3 Protocol for facilitating and supporting equitable multi-stakeholder partnerships for innovation

Partnerships bring together stakeholders in a complex knowledge-for-development system. It's important that all stakeholders involved in a partnership feel that the collaboration is fair and equitable across the whole system.

ASARECA shall seek to achieve equity in its agriculture partnerships by;
i.     Developing collaboration agreements and governance plans which set out clear roles and responsibilities and commitments to transparency in all aspects of the partnership.
ii.    Using a multifaceted approach that generates gender-sensitive agricultural extension services, support the creation of cooperatives, promote the expansion of women-owned agribusiness and increase rural women's participation in rural producer associations.
iii.   Ensuring social inclusion in the allocation of effort and costs and benefits to cater for the special needs, vulnerabilities, capabilities, disparities and responsibilities of vulnerable partners including women. This includes benefit sharing of opportunities arising from climate change adaptation and mitigation for women and vulnerable groups. ASARECA partnerships shall also have mechanisms to share risks fairly among partners and include risk management mechanisms to protect the most vulnerable.
iv.    Promoting better funding mechanisms including the adoption of a participatory approach in funding processes.
v.     Developing sound institutional and regulatory frameworks that promote the design of well-performing partnerships that promote equity. This shall include, strengthening of M&E initiatives to create a solid evidence base that guides the effective design and implementation of agri-partnerships and their impacts over the long term.
vi.    Supporting the creation of a supportive regulatory environment with appropriate incentives for the inclusion of smallholder farmers.

### 3.1.4 Effective facilitation of South-South and North-South research for development partnerships

Climate change has long term impacts that are extensive and connected to almost all significant challenges that humanity faces. Both the Paris Agreement and the SDGs chart a path towards a sustainable world of safety, prosperity and dignity for all and their implementation is key to mitigating the impacts of climate change. Implementation of the two agendas shall require new partnerships across the political spectrum and among all stakeholders. Sharing experiences among developing countries through South-South and triangular cooperation (TrC), as well as broadening and scaling up such cooperation, are critical means of implementation that shall complement North-South cooperation. These innovative ways of cooperation have already proven instrumental in equipping developing countries with the knowledge and skills to develop, deploy and promote climate change mitigation and adaptation technologies, helping to advance implementation of their own nationally determined contributions under the Paris Agreement and achievement of the Sustainable Development Goals.

There is growing recognition of the potential of South-South Cooperation (SSC) and triangular cooperation to facilitate technology development and transfer for climate action in developing countries. The thematic areas identified as most promising for technology cooperation via South-South and triangular channels include agriculture, disaster risk reduction, renewable energy and energy efficiency, forestry, transport, water resources and waste management. The successful introduction of new technologies through SSC in many countries has contributed to increased food security, especially through the improvement of agricultural productivity, diversification of food crops, small animal and fish production, and rural incomes. Through her collective action, ASARECA promotes SSC and triangular cooperation in AR4D.

ASARECA and her partners shall continue to promote the following approaches that facilitate and enhance the SSC and TrC relations;

i.     Application of the bottom-up approach to identify local practices and indigenous knowledge as the starting point for designing climate technology-related interventions and programmes in agriculture. ASARECA and her partners shall also promote the following approaches to South-South and triangular climate change technology cooperation; peer-to-peer learning, endogenous capacity-building and cultural exchanges.

ii.    Enhancement of use of its own and other existing web-based platforms that already partially include information on SSC and TrC programmes/projects on climate change mitigation and adaptation technologies. This will increase the visibility of, and promote, SSC and TrC as effective means of accelerating climate action and supporting the implementation of nationally determined contributions (NDCs) and national adaptation plans (NAPs). ASARECA shall also promote knowledge-sharing on SSC and TrC on climate technologies by specifically:

- Ensuring easy access to mobile device compatible information and knowledge on climate change and technology by all interested countries and stakeholders.
- Complementing the above data and information format with a platform for exchange between countries interested in engaging in SSC and TrC, on both the demand and supply sides.
- Adding documentation and data on implemented models for SSC and TrC on climate-relevant technology projects.
- Providing information on lessons learned and on initiatives and approaches that did not lead to the expected results to ensure learning from mistakes and avoidance of ineffective practices.

iii.   Enhancement of the effectiveness and long-term sustainability of SSC and TrC projects to facilitate climate-relevant technology development and transfer by including such components as research and development, adoption of policies and regulations, and creation of local value chains.

iv.    Supporting ASARECA member countries to increase their engagements in SSC and TrC on climate-relevant technologies to expand the sharing of knowledge, practices, technologies and know-how in this area.

v.     Supporting ASARECA member countries to develop fundable programmes/projects and submit them to agencies that support climate change interventions and programmes such as the Green Climate Fund and the Global Environment Facility.

vi.    Supporting ASARECA member countries to systematically document and monitor the success of sharing climate change knowledge and practices to facilitate the replication and scaling up of those practices.

vii.   Ensuring that all ASARECA programmes/projects have robust and transparent monitoring and evaluation framework that facilitates the collection of lessons learned, good practices and viable models of cooperation.

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viii.  Ensuring that ASARECA climate technology initiatives shall engage research and academic institutions in addition to the other stakeholders in order to ensure a strong science-based rationale for all planned activities and alignment of technology research with national climate change and development priorities.

## 3.2 Pathways for scaling up regional agricultural research results and TIMPs

The repositioned ASARECA shall embrace innovative pathways and best practices for on-time delivery, spillover and scaling up of regional agricultural research results to deliver agricultural outcomes and impact.

### 3.2.1 Good practices to support countries to mainstream climate-relevant science and innovation including gender and youth perspectives in their national agriculture investments

Climate change has the potential to undermine ASARECAs planned development outcomes including posing significant challenges to the resilience of livelihoods and ecosystems. Mainstreaming climate resilience into ASARECA programmes is therefore critical. However, to effectively mainstream climate resilience into any development domain including agriculture, a strategic approach that integrates this at the programme planning stage must be implemented. At the planning stage, partners can rationalize what interventions can be included based on partnership structure, resources and capacity available.

ASARECA shall:

i.   **Mainstream climate resilience in programmes/projects:** ASARECA shall ensure that climate resilience is mainstreamed in all AR4D programmes/projects at the planning stage. ASARECA and her partners shall therefore adopt the Development-first approach which has climate resilience as an integral part of the development planning process from the start. ASARECA shall therefore ensure that programme planning processes mainstream resilience to climate change, so they can deliver climate-resilient developmental outcomes.

ii.  **Mainstream gender in climate-relevant science and innovation:** Though ASARECA has a Gender Policy (2014-2018), the policy does not address itself to the differences in participation of humans in science and innovation caused by gender differences. The understanding of gender in science and innovation can be a useful tool in enhancing the implementation of climate-smart technologies. Major efforts to promote gender have focused on improving women in leadership but not in the context of science and innovation. For this to be realized, gender innovation goals should be formulated to look into solutions that work well for women as well as men, improve impacts of public investments, promote social responsibility and inclusivity, create new technologies for a sustainable future. Mainstreaming of climate-relevant science and innovation should include strong gender and youth perspectives since the current gender discourse has largely not addressed climate-smart technologies. ASARECA programmes shall therefore pay attention to how sex-gender differences influence human adaptation to climate change e.g. women may have less access to vital information on mitigation and adaptation strategies because of isolation and time constraints due to caring and other domestic responsibilities.

To facilitate gender mainstreaming of climate-relevant science and innovation, ASARECA and her partners shall;

i.   Mainstream intergenerational and gender equity in all aspects of climate change responses.
ii.  Ensure equity and social inclusion in the allocation of effort, costs and benefits to cater to special needs, vulnerabilities, capabilities, disparities and responsibilities.

### 3.2.2 Framework for enhancing country based climate-relevant technologies and innovation.

ASARECA countries have developed different ways of addressing climate mainstreaming partly due to the widely divergent views of climate vulnerability and development strategies and therefore no overarching approach currently fits all circumstances. Despite these differences, climate-resilient responses are often integrated into policy and for effective policy implementation to take place, an enabling environment is necessary. Political will plays an important role in driving the mainstreaming agenda since it provides an enabling environment for the integration of climate resilience as a policy objective and converting objectives into action. Politicians, technocrats, development partners, the private sector and civil society are key drivers of political will in government planning contexts. Governments address issues of climate change through different instruments and platforms such as legislation; components of national development policies; policies, strategies and action plans; or climate objectives within sectoral policies and programmes including in agriculture. Through its programmes that will be designed to mainstream climate resilience, ASARECA shall continue to engage with politicians, Senior Government Technocrats, the private sector and civil society to influence policy review or implementation.

Policy formulation on climate change is dependent on access to sufficient information services. Information services play an important role in driving the climate mainstreaming agenda by providing evidence of the effects and impacts of climate change particularly at the local level, which can trigger iterative policy responses. Information sources such as inventories and data sets and information systems including tools, methods and institutional arrangements for generating information are necessary for generating, managing and communicating the information needed for mainstreaming climate resilience into development planning. ASARECA shall seek strategic partnerships with institutions with appropriate capacities in climate change information sources and systems such as the CGIAR and provide data links to its partners for ease of access to climate change data. ASARECA shall also partner with other AR4D institutions to promote the science of climate modelling and to generate local data.

ASARECA and her partners shall support member countries in the mainstreaming of climate resilience into development planning through:

i.   Policy formulation: To be effectively mainstreamed into development planning, climate resilience should be integrated into policy documents that articulate development planning objectives, strategy and action plans. These policy documents should outline how the policy objectives will be implemented.
ii.  Policy advocacy: Because mainstreaming climate resilience involves many stakeholders, ASARECA shall foster the establishment of appropriate institutional arrangements to facilitate effective policy advocacy. ASARECA shall also engage with Region-wide institutions to participate in giving a voice to Africa on the Global platforms.

### 3.2.3 Adoptable framework for scaling out climate-relevant technologies and innovations in ECA

Wide-scale adoption of climate-relevant technologies and innovations in the ECA sub-region would contribute to making Climate-Smart Agriculture (CSA) a reality. ASARECA and its partners shall adopt a framework for scaling out climate-relevant technologies and innovations that are designed to address impacts of climate change challenges to agricultural growth and development. ASARECA and its partners shall ensure that all proposed interventions are aligned to the ASARECA member country's commitments and obligations to long-term national low carbon climate-resilient development pathways.

The framework shall aim to achieve the following objectives;

i.  Develop a sustainable system for achieving coordinated, coherent and cooperative governance of climate resilience and low carbon growth in the agricultural sector.
ii.  Mainstream CSA to support the transformation of member country agricultural sectors into innovative, commercially oriented, competitive and modern industries that contribute to poverty reduction and improved food security.
iii.  Reduce the vulnerability of the agriculture systems by cushioning them against the impacts of climate change and reduce greenhouse gas (GHG) emissions where possible.
iv.  Strengthen communication systems on CSA extension and agro-weather issues.
v.  Strengthen linkages with Extension and Advisory Service Providers to develop Extension and Outreach materials that enable scaling out of climate-relevant Technologies and Innovations through the involvement of NSAs.

ASARECA shall ensure that the framework is strengthened through; institutional coordination, integration of the value chain approach, building resilience and appropriate mitigation actions and enhancing communication systems on CSA extension and agro-weather issues.

The focus on agricultural value chains is strategic because the aim of the out scaling initiative shall be to build the resilience of agricultural value chain players through the use of adaptive technologies and enhanced market linkages. This component can also be used to promote commercialization, food safety and quality control standards along the value chains. Based on the specific priority value chains, the following technologies and practices shall be upscaled for adoption;

i.  Diversified and improved crop varieties (high yielding, short duration and early maturing, disease and pest tolerant, high nutritive value, flood-tolerant), including indigenous varieties.
ii.  Integrated soil fertility management practices, including soil testing and soil nutrient management.
iii.  Integrated management of crop and animal pests and diseases.
iv.  Surveillance of agricultural inputs trade.
v.  Agricultural mechanization by promotion of appropriate machinery and equipment.
vi.  Low greenhouse gas emitting crop and animal production technologies and practices.
vii.  Awareness creation and capacity building women, youth and vulnerable groups on CSA.
viii.  CSA related income-generating activities targeted for women, youth and vulnerable groups
ix.  Value addition of farm produces through cottage industries.
x.  Timely provision of climate forecasts.

Scaling up of the above technologies shall not be an end in itself but ASARECA and her partners shall ensure that the resultant climate-smart products access markets.

ASARECA shall also work with partners to develop mechanisms of risk transfer and management and capacity building of value chain actors on the importance of insurance and safety nets.

ASARECA and her partners shall use the following strategies to out-scale climate-relevant technologies;
i.  Enhancing the capacities of private sector service providers and farmer-based organizations to support farmers' adoption of existing/new/improved climate-relevant technologies and practices.
ii.  Supporting undertaking of genetic characterization and conservation of indigenous livestock breeds, crops, fisheries and forestry.
iii.  Promoting the genetic improvement of key crops, livestock, fisheries and forestry to enhance adaptability.

iv.  Supporting development and adoption of climate-smart innovative agricultural products.
v.  Mobilizing resources and instituting a competitive grant scheme for CSA research.
vi.  Undertaking a CSA knowledge mapping, audit and analysis.
vii.  Filtering and validating the existing ASARECA TIMPs database for CSA options.
viii.  Establishing and developing gender-sensitive CSA knowledge at the community and national levels.
ix.  Supporting the capacity building of different stakeholders in CSA along the agricultural value chain at the national and local levels.
x.  Establishing robust CSA knowledge platforms.
xi.  Identifying, documenting and integrating indigenous and conventional CSA knowledge.
xii.  Supporting the dissemination of improved CSA technologies and practices.
xiii.  Disseminating and updating CSA information materials to support and inform policies, planning and agricultural advisory services.
xiv.  Strengthening CSA knowledge and information sharing partnerships/networks/forums.
xv.  Establishing a surveillance system for crops, livestock and fisheries transboundary pests and diseases arising from climate change effects.
xvi.  Building the capacity of extension, producers and other stakeholders in the use of existing/new/improved CSA technologies and practices.
xvii.  Intensifying field demonstration/field days/study tours to enhance adoption of existing/new/improved CSA technologies and practices.
xviii.  Undertaking training needs assessment for CSA.
xix.  Developing information that promotes the production of emerging climate-smart crops, livestock, and fish and forestry enterprises.
xx.  Conducting on-farm research into low-cost appropriate technologies and practices.

All the scaling up activities shall be coordinated and implemented through team consultation and joint cooperation mechanisms. The Innovation Platform (IP) (Figure 4) shall be adopted as the main institutional model to implement the ASARECA interventions complemented by holistic capacity development approaches to develop technical, institutional and systemic capacities that are effectively networked to sustainably scale proven technologies to millions of beneficiaries. The effectiveness of the Innovation Platform in the scaling of technologies to millions of beneficiaries is proven (see annexure 2 for success stories of IPs in the ECA region and beyond). The IP shall be the model of choice for ASARECAs agricultural innovation and outreach initiatives. In the institutional arrangement, ASARECA shall facilitate country-level activities by supporting the exchange of research/improved planting materials and coordination of training that cut across the countries (Figure 5).

At the country level, the NARs in the target countries shall facilitate the development of different IPs, provide technical and advisory services. The NARs and other AR4D institutions such as the CGIAR Centre's shall also serve as technology custodians and shall train Trainers of Trainers (ToTs) who in turn shall train other secondary deliverers of technologies. The AFAAS country fora in the ASARECA region shall be used to facilitate easy engagement and coordination of the extension and advisory services at the country level.

The AFAAS country fora shall also be used in liaison with NFPs in the respective NARs to coordinate country-level activities. The other important NSAs along the input and output market chains such as processors, financial services, aggregation services, mechanization services, transportation services etc. shall also be engaged. The youth and women shall be important partners in business development alongside other private sector actors with the technical capacity to support country implementation. Some Internet Service Providers shall be identified to provide data services. A knowledge and extension specialist shall be engaged

to package knowledge, information and policy briefs. Potential social enterprises shall also be engaged on a case by case basis with the value chains, although farmers' organizations shall play a major role in facilitating production to marketing.

The Farmers organisations and other civil society organizations with capacity building functions shall also be engaged to contribute effectively to the process. ASARECA will establish and implement a Capacity Audit System that will enable it to regularly scan the environment to identify the evolving capacity needs of its partners. Together with the regular self-assessments of capacity by the stakeholders or individual Innovation Platforms and the Capacity Audit System, ASARECA shall be able to implement holistic, demand-driven and targeted Capacity development initiatives. The Capacity development and all outreach actions shall be expected to extend beyond technology adoption to include commercialization of technology through business development. The strategic partnerships established shall strengthen the capacities of all actors along the priority commodity value chains to be identified by:

i.      Strengthening the regional and national level actors within the National Agricultural Research and Extension System (NARES) in order to scale proven climate-relevant technologies.
ii.     Facilitating strengthening of input systems (seed, fertilizer, etc.) and increase farmers' capacity to access input and output markets.
iii.    Supporting enterprise development, business, marketing and entrepreneurial skills (especially for youth and women).
iv.     Stimulating and strengthening demand articulation mechanisms and processes to enhance the appropriate deployment of climate-relevant technologies and associated innovations.
v.      Capacity building the actors to scale the climate-relevant technologies by initially Training of Trainers (TOTs) who shall in turn train frontline national and subnational actors (referred to as secondary deliverers) including extension workers, innovation platform facilitators, business agents, farmer-based organisations, youths, input suppliers and others. The secondary deliverers shall be facilitated to reach and train individual value chain end-users and beneficiaries (farmers, processors, businesses) with climate-relevant technologies and skills. With the help of an expert, stakeholders shall collaborate to design, package and use the outreach materials. A modular approach shall be adopted to develop the outreach materials based on sound facilitated learning principles to support achieving the scaling of technologies. The developed outreach materials shall be adaptable and usable at the level of the Innovation Platforms by the trained facilitators and shall even be tried out as online learning materials in the data-sharing platforms to be established.

The proposed ASARECA partnership model (Figure 5) shall promote collaboration with other sub-regional, regional and global AR4D organisations such as the SROs, RECs, sub-regional and regional producer organisations, the AUC, GFAR and GFRAS.
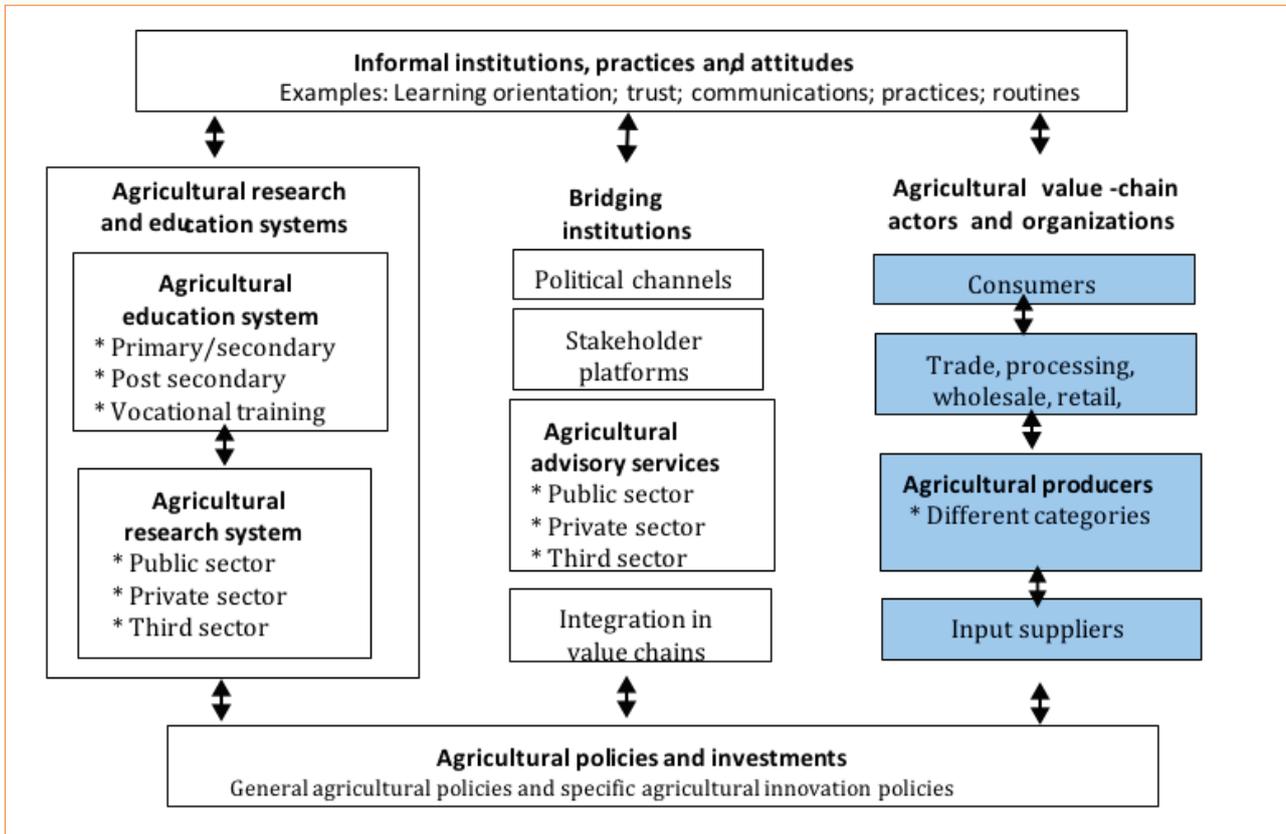
**Figure 4: The Innovation Platform approach** (After The World Bank, 2007)
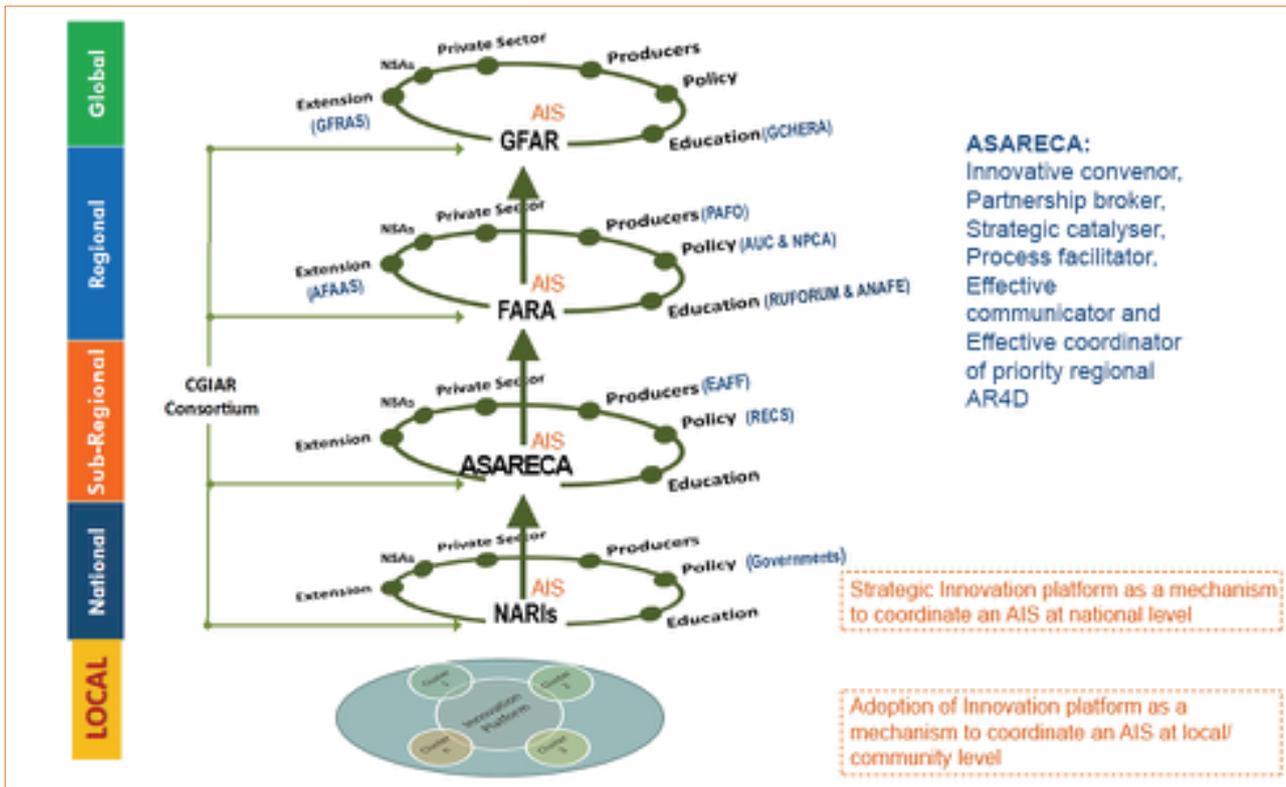


**Figure 5: ASARECA Partnership model to promote Agricultural Innovation in ECA** (informed by the FARA Partnership model)

## 3.3 Opportunities and modalities for the development of climate-relevant agriprenuership capacities

This section highlights opportunities and modalities for the development of climate-relevant agriprenuership capacities, mainly among youth, women and other vulnerable groups to reduce unemployment and regional and intercontinental migration. Smallholder farmers including youth and women possess technical and managerial skills but most lack the necessary entrepreneurial drive to take calculated risks to overcome agribusiness challenges related to accessing remunerative markets, timely finance, low bargaining power, regulations, appropriate technologies and information, and access to service providers.

ASARECA and its partners shall develop programmes that organize target farmers into some form of producer business groups or organizations with the potential to evolve into agribusiness enterprises in any of the following businesses: trading agri tools and equipment; agri-services including ICT based services; seed production, certification and marketing; agri- inputs and trade, and value-added agricultural products.

Based on self-assessment of capacities and also a capacity audit, ASARECA shall implement interventions to build the capacity of the producer groups to be able to jointly access inputs, aggregate their production, value add their produce and access markets collectively and thus benefit from the accruing economies of scale. The producer groups shall be supported to develop their ideas into viable proposals and business plans and establish alliances with large buyers or agro-processors of their produce through contracts for the sustainability of their businesses. The group leaders shall also be trained on the following general issues; group dynamics, Leadership and management, gender mainstreaming, environmental safeguards, requirements for group registration etc. Once formally registered, the groups shall be recognized and trusted to utilize social guarantees to access negotiated credits from agricultural related development agencies, credit from financial institutions as well as grants from development partners.

The producer groups shall also be capacitated to have authority over their product, determining at what price and what market to sell to. It will be easier to contract the empowered groups for organized production targeting specific markets that offer remunerative prices.

Through the producer organizations and their alliances, the knowledge of value chains, new technologies and climate-relevant practices shall be integrated into farmers' learning cycles and therefore shall become more likely to be adopted and up-scaled across the groups translating to enhanced agricultural development and wealth creation outcomes for smallholder farmers as well as other related actors in the agricultural product value chains

Because the transformation of smallholder farmers and farmer groups/organizations into viable businesses requires a suitable and enabling policy environment, ASARECA and its partners shall carry out a scan of the business environment in target programme sites and prepare appropriate policy interventions to be shared with the relevant authorities.

ASARECA shall strengthen its linkages with regional initiatives that target the same groups to synergise them.

Examples of successful agriprenuership initiatives achieved through frameworks similar to the one presented here are presented in Annex 2.

## 3.4 Partnership arrangements that ASARECA can adopt

ASARECA shall adopt any one or more of the following partnership arrangements or their variations to manage its partnerships. It shall however favour more enduring partnerships as a model for a programmatic approach that is adapted to its Strategic Plan.

i.    ASARECA shall establish long term institutional partnerships consistent with its broader role as a broker for AR4D partnerships. These types of partnerships shall be motivated by the overall mandate of ASARECA. These partnerships shall be formalized through mutually negotiated MoUs and shall be managed by a joint committee of the partners. These types of partnerships are expected to be more enduring. These partnerships are expected to be explicitly or implicitly mentioned in ASARECAs strategy documents such as the A-SRF and MTOP 1. Potential partners for such partnerships include research coordinating bodies such as FARA, regional and international organizations and authorities such as RECs, the AU-NEPAD, international development agencies such as the FAO, CGIAR centres and Development Partners.

ii.   ASARECA shall also seek to establish longer-term strategic relationships with partners who have the complementary capacity and who share similar interests in AR4D. These types of partners are those that may be able to contribute to ASARECAs initiatives at the theme level. These partners may include NARIs, RECs, FARA, SROs, CGIAR centres, Regional Farmers Organizations, NFOs etc. The role of such partners can be described in the Theme Implementation Plan. This type of partnership needs to be formalised with a Memorandum of Understanding (MoU). This type of partnership shall be able to generate proposals for specific donor-funded joint activities within the framework of the agreed research and development agenda and could include sharing of personnel.

iii.  At the most basic level is the project-based partnership, through which ASARECA can work with another organization to implement a specific piece of research or AR4D project. The roles and responsibilities of each partner in this partnership arrangement shall be clearly defined by the individual partners in the partnership and shall be outlined in the project proposal document which is approved by the parties in the partnership. Where the responsibilities of the partners involve significant administrative and financial requirements, the partnership arrangement may be formalized through a mutually negotiated Collaborative Research Agreement (CRA). This type of partnership shall be time-bound and limited to the duration of the project being implemented.

## 3.5 Risk assessment and management

ASARECA has a Risk Management Policy which provides a general framework of how risks will be dealt with. The policy however requires reviewing, updating and aligning with the realities of a repositioned ASARECA. Going forward, ASARECA shall be intelligent about the risks it must take to gain and sustain competitive advantage, as well as the risks that must be avoided to protect its niche. Some of the risks that ASARECA may be potentially exposed to include weak political goodwill from the member States; organizational inefficiency and ineffectiveness; uncertainty occasioned by the transitional changes that ASARECA has gone through which may cause resistance to change even among its stakeholders; insufficient funding and financial integrity; uncertain development partner support; instability and safety within the ECA sub-region; and poor and untargeted information flow among others.

To mitigate the above risks, ASARECA shall:

i.    Early in the implementation of MTOP1, prepare an appropriate risk management plan to facilitate proactive monitoring of the risks and implementation of appropriate and effective mitigation measures.

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ii.    Review its Fund-Raising Strategy to incorporate innovative resource mapping and mobilization mechanisms: sustaining current funding sources and acquiring new ones; enhanced resource planning and financial forecasting; enhancing mutual accountability; implementing full cost budgeting and credible integrated financial management systems; coordinated resource mobilization with other AR4D organisations such as FARA, SROs and CGIAR; assuring results delivery etc.

iii.   Develop and implement a holistic strategy for engagement and lobbying with the Governments of the entire 12 member NARIs that constitute the founder members of the Association. The 12 countries need to recognize ASARECA as their inter-Governmental agency for which they should commit political goodwill and support as well as sustainable funding support.

iv.    Continue to mobilize regional political support from COMESA, EAC and IGAD.

v.     Implement a change management process. During the transition period, ASARECA has gone through a very drastic change process characterized by a change in structure, strategy, policies, procedures and technology. The operating environment of ASARECA has also changed. The change management process shall also loop in key stakeholders of ASARECA who need to acquaint themselves with the repositioned ASARECA, its realigned business goals, processes and procedures and its expectations.

vi.    Enhance its organizational efficiency and effectiveness by implementing progressive human resource policies and strategies. To provide effective regional leadership in AR4D, ASARECA will require highly competent and motivated Secretariat staff. ASARECA shall therefore focus on building the capacity of its Secretariat staff through: Training; provision of career growth opportunities; re-orientation of staff to focus on customer/stakeholder needs, provision of quality services and adoption of technology.

vii.   Review its operational processes and procedures to ensure that they are aligned to the new business goal of the Association as articulated in the A-SRF and MTOP 1.

viii.  Strengthen its brand image in the ECA region by fully implementing its recently developed Branding Strategy and Implementation Plan (2018).

ix.    Develop and implement a marketing and communication strategy.

## 3.6 Performance and Quality Control

ASARECA shall monitor, evaluate and report on returns on AR4D investment and also repackage lessons and best practices to inform decision making processes and action.

Monitoring, Evaluation and Reporting (M&E) shall be used to guide the coordinated and efficient data collection, analysis, use and provision of information that will provide indications of impact, outcomes and outputs. The monitoring shall measure programme/project achievements at the activity and output levels while the evaluation will measure achievements at the outcomes and impact levels. The M&E shall be based on the Logical Framework Approach (LFA) and shall be aligned to the ASARECA M&E framework.

Wherever possible, data shall be disaggregated by gender to allow for the determination of the social inclusivity principle in the upscaling of climate-relevant technologies and innovations. Monitoring and evaluation shall be done quarterly and the M&E team shall coordinate data analysis and consolidation of reports.

Evaluation in the framework shall be done at various levels as follows:

i.     Baseline surveys to collect baseline data on vulnerability levels. This survey shall provide the information base against which upscaling activities will be monitored and assessed for effectiveness during implementation and after the activities. The analysis of baseline data shall be disaggregated for assessing the effects and impacts across gender and other social-economic profiles.

ii. Mid-term (three years) review aimed at evaluating the relevance, effectiveness, efficiency and sustainability of the implementation of the framework against key performance indicators. The review shall assess the implementation approaches, strategies, organizational setup and partnership arrangements. The review shall make recommendations for the remaining period largely to help enhance implementation and improve performance. The review shall also consider technical aspects of resilience and low carbon development.

iii. Terminal (five years) evaluation at the end of the Framework period to analyse outcomes and impacts and learning experiences.

Appropriate reports shall be prepared from the above reviews. The reports shall include assessment of processes, results and outcomes and analysis of factors affecting progress during the reporting period. The ASARECA Secretariat shall facilitate the reviews.

An outline of what may be included in ASARECA's Dashboard to aid the Secretariat in tracking its performance is presented in Schedule1.

## 3.7 Management of regional AR4D resources

To sustain and continue replicating its positive programmes and initiatives ASARECA needs to be financially stable. ASARECA shall therefore mobilize, allocate and prudently manage regional AR4D investments to support the generation of regional agricultural research public goods and services. It shall seek to diversify its funding sources to be able to tap into new and innovative income streams. It shall explore and adopt innovative resource mobilization mechanisms such as the establishment of Endowments, Franchising, licensing, sponsorship, outsourcing, and consultancy. ASARECA shall also join regional AR4D consortia for resource mobilisation as a strategy to gain from the lobbying capacity of the collective at the regional level.

## 3.8 The Implementation Plan

ASARECA should develop an implementation plan which will describe and communicate the activities to be implemented and the timelines. The plan shall ensure that stakeholders have a common understanding of the activities and how they will be implemented. The implementation plan shall also describe processes, procedures, resources and equipment, and documents required for the successful implementation of the activities. The implementation plan shall also identify who will be responsible for the implementation of key activities and the timelines within which implementation must be completed. The plan shall also determine how the implementation will be measured and deemed successful. Development of a detailed implementation plan shall be completed once ASARECA has identified the key programme/project priority activities. ASARECA shall thereafter develop an action plan/annual work plan with detailed activities once the regional priority setting has been completed.

### 3.8.1 Priority setting

The repositioned ASARECA has embarked on identifying regional research priorities and opportunities through credible, authentic and participatory on-going strategic visioning processes. ASARECA has already identified priority thematic areas in MTOP1 to address the goal of transformation of agriculture in the ECA sub-region. Broad specific strategies have been identified. Although section 3.2.3 of this report has presented a list of technologies that ASARECA can select for up-scaling and also provided intervention strategies, ASARECA shall engage its stakeholders to identify and validate key priority value chains and technologies for up-scaling. Joint priority setting shall ensure ownership of the process and its output by the partners.

To ensure that proposed interventions and investments are demand-led and targeted and that outreach actions extend beyond technology adoption to include commercialization of technology through enterprise development and agribusiness incubation, ASARECA shall consider forming small, focused technical teams to do priority setting. It is recommended that ASARECA through its member NARIs and the National Focal Persons (NFPs), convene country focal teams to identify specific implementable actions in select value chains. The convening of the country focal teams by the NFPs should be facilitated by the respective NARIs and coordinated by ASARECA. The membership of the country focal teams should include representatives of the NARI (technology custodian), private sector organizations (representing processors, financial services, aggregation services, mechanization services, transporters), and other NSAs (farmer organizations, extension/advisory service providers and grassroots organizations). Engaging these key partners at this planning stage will help in maintaining their commitment and involvement over the long haul during the implementation of the programme.

The country teams shall use secondary data and also collect primary data from stakeholders to identify priorities. Gathering new data directly from the stakeholders or partners shall also be a key part of stakeholder's needs assessment. The primary data will complement or augment the secondary data. The collection of local data will also help to fill gaps in the secondary data sources. In addition to filling identified data gaps, the primary data may highlight critical themes or issues that the secondary data did not. The NFPs shall be expected to guide this country process paying particular attention to groups with unique needs or social issues who are often underrepresented in joint planning efforts. It is recommended that the country teams use the following methods to collect primary data to inform the priority setting process; key informant interviews, focus group interviews and discussions, community surveys and forums, and direct observations.

ASARECA shall then convene a Regional Focus Team (RFT) comprised of ASARECA programme staff and the NFPs from each member country to rationalize the list of priority actions proposed at the country team fora and develop a harmonized regional list of priority actions for implementation by ASARECA and her partners. The ASARECA convened RFT shall also serve as a technology clearing house and shall identify and rationalize the technologies to be upscaled in the selected priority value chains in the ECA sub-region.

It is recommended that the above-proposed methodology for priority setting be harmonised across all the CAADP XP4 institutions to ensure linkage with CAADP priorities.

Value chain based Innovation Platforms (IPs) shall be established and used as the special purpose vehicles for upscaling climate-relevant technologies. Their formation shall be preceded by a process of identifying the right partners. A functional partnership working protocol shall be established. The steps to establish effective and functional partnerships in IPs are presented in Table 2.

**Table 2: Challenges faced by stakeholders in forming effective AR4D partnerships and recommended actions to facilitate the establishment of viable multi-stakeholder platforms for upscaling climate-relevant technologies**

| Challenge | Recommendations | Actions | Responsibility | Indicator |
|---|---|---|---|---|
| **1. Priority setting** | | | | |
| Lack of clarity on priority interventions for implementation. | Build a mechanism to identify key investment priorities. | 1. Determine the priority needs of stakeholders at Country level. | NARIs/NFPs | Stakeholder needs determined at Country level. |
| | | 2. Determine the target priority value chains at Country level. | NARIs/NFPs | Priority value chains for investment determined at Country level. |
| | | 3. Determine relevant climate relevant technologies and innovations for up-scaling at Country level. | NARIs/NFPs | Climate relevant technologies for upscaling determined. |
| | Carry out a regional validation of priorities. | 1. Develop a validated list of regional investment priorities. | ASARECA | A validated list of investment priorities (target value chains) developed and cleared. |
| | Clear appropriate relevant technologies for up-scaling in ECA. | 1. Develop and clear a validated list of climate relevant technologies for up-scaling in ECA | ASARECA | A validated list of climate relevant technologies for upscaling developed and cleared. |
| **2. Identifying or finding the right partners** | | | | |
| 1. Fragmented and diverse representatives of key stakeholder constituencies which may result in lack of legitimate and accountable partner representatives. ASARECA has representatives of NSAs in its governance structures but these are inadequate. | 1. Built-in transparent selection process: Broader Non State Actor community in each country selects organizations to serve as the focal points for each constituency particularly in programmes. Have a defined/ fixed duration of service. Support selected NSAs with resources and capacity development. | 1. Develop a comprehensive inventory of key NSA and private sector organizations in ECA with a stake in policy/programme processes that meet a defined minimal criteria. | NARIs/NFPs | Inventory of NSAs. Inventory of private sector businesses. |
| | | 2. Define or determine the seats on the partnerships available to NSAs& private sector. | ASARECA | No. of seats for partners in the partnership determined. |
| | | 3. Each constituency chooses a representation in the partnership. | NSAs | Representatives determined. |
| | | 4. Ensure gender equity in the representation. | NSAs | Gender equity in partnership. |
| | | 5. Repeat process as per the defined representation cycle e.g. 3 years. | ASARECA | As above. |
| **3. Establishing value chain based Innovation Platforms (IPs)** | | | | |
| Lack of appropriate partnership model to facilitate upscaling of climate relevant technologies and catalyse innovation. | Establish value chain based Innovation Platforms. | 1. Engage relevant value chain actors at the Country level including NSAs and private sector. | NARIs/NFPs | Value Chain based Innovation Platforms established. |

## 4. Establishing functional working protocol in partnerships - co-creation and implementation of policy/programmes

| Challenge | Recommendations | Actions | Responsibility | Indicator |
|---|---|---|---|---|
| 1.Partnerships relationships can be characterized by lack of mutual trust among all partners due to a lack of adequate information on expectations. | 1. Establish a culture of partnership, agree on practices for working together, and define common goals. | 1. Develop an overarching partnership strategy document. | ASARECA | Partnership strategy developed. |
| | | 2. Create an annual plan for implementation of all partnership processes with clear priorities, timeline, and roles and responsibilities for each member. | ASARECA | Annual Plan for Implementation of partnership processes developed. |
| | | 3. Ensure the plan (and its delivery) allows adequate time for representative organizations to inform and consult with their constituencies throughout the process. | Partners | Partner consultation with their constituents completed |
| | | 4. Organizations in the partnership create and share their own action plans for delivery of their responsibilities. | Partners | Partner action plans developed. |
| | | 5. Meet regularly to review progress and address emerging issues. | ASARECA | Minutes of meetings taken. |
| | | 6. Ensure equal and equitable participation by women and men in all partnership issues. | Partners | Partnership documents show Women participation. |

## 5. Financing key members of the partnership structure

| Challenge | Recommendations | Actions | Responsibility | Indicator |
|---|---|---|---|---|
| 1. Many partners particularly NSAs lack the financial resources to participate effectively in partnership engagements, especially those who serve the interests of the poor or less powerful constituencies | 1. Establish a fund for grants to key NSAs chosen to serve their constituencies in specific projects/programmes to enable them undertaken some clearly defined roles and activities. | 1. Establish a programme/project budget factoring support to NSAs. | ASARECA | Budget completed. |
| | | 2. Define eligibility criteria based on the need for engagement of specific NSAs . | ASARECA | Eligibility Criteria developed. |
| | | 3. Each organization prepares budget for delivery of their responsibilities in the partnership. | Partners | Partner budgets completed. |
| | | 4. Allocate available finances across organizations as appropriate. | ASARECA | Budget allocation completed. |
| | | 5. Reporting and due diligence – Delivery pre-condition for further financing. | Partners | Grantee reports completed. |

## 6. Partnership actors capacity development for effective partners participation

| Challenge | Recommendations | Actions | Responsibility | Indicator |
|---|---|---|---|---|
| 1. Partners lack skills for jointly creating and implementing policy and programmes. | 1. Targeted capacity development programme. | 1. Identify capacity development needs. | NARIs/NFPs | Capacity needs identified. |
| | | 2. Review opportunities for capacity development. | ASARECA | Opportunities for capacity development reviewed. |
| | | 3. Create capacity development programme. | ASARECA | Capacity development programme developed. |
| | | 4. Implement capacity development programme. | ASARECA | Capacity development programme implemented. |

| Challenge | Recommendations | Actions | Responsibility | Indicator |
|---|---|---|---|---|
| **7. Effective engagement, communication and consultations with NSAs' and private sector constituencies** | | | | |
| 1. Limited awareness of policy and programme processes and avenues for input and collaboration. | 1. Effective communication and consultation efforts targeting marginalized stakeholders. | 1. Effective strategies for communication and consultation: Leveraging on the networks and outreach work of partners. Press releases on significant decisions, opportunities and progress. Convening regional consultation meetings on key issues. Leveraging on NSAs and private sector to reach out to their local implementing partners for consultation. Working or communicating through traditional fora. | ASARECA | Communication strategies developed and implemented. |
| **8. Promotion of mutual accountability in the partnership** | | | | |
| 1. Limited opportunities to hold partnership actors accountable. | 1. Establish clear architecture for mutual accountability. | 1. Establish evaluation and Mutual Accountability Frameworks: Record partners commitments publicly. Generate evidence based M&E reports. Generate Mutual Accountability reports. Present reports in recognized platforms. | ASARECA | Evaluation and mutual accountability framework developed and implemented. |

## Schedule 1: A proposed outline of the ASARECA dashboard*

| Sub-programme/interventions/activities | Unit of measure | Target | Baseline | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
|---|---|---|---|---|---|---|---|---|
| **Thematic Priority Investment Area 1: Transformative Capacity Strengthening and Integration** | | | | | | | | |
| 1.1 Number of partners/beneficiaries trained on how to identify and develop requisite stakeholder engagement. | Number | | | | | | | |
| 1.2 Number of stakeholders/beneficiaries whose requisite strategic visioning, priority setting and programming capacities and competencies' needs have been addressed. | Number | | | | | | | |
| 1.3 Total number of people trained to generate agricultural transformation knowledge and information. | Number | | | | | | | |
| 1.4 Total number of trainers of trainers (ToTs) trained on climate relevant TIMPs. | Number | | | | | | | |
| 1.5 Total number of secondary deliverers (frontline actors) trained by the ToTs on climate relevant TIMPs. | Number | | | | | | | |
| 1.6 Total number of value chain actors trained on climate relevant TIMPs. | Number | | | | | | | |
| 1.7 Rate of increase in accessing and utilizing agricultural transformation knowledge and information. | Percentage | | | | | | | |
| 1.8 Number of farmers' producer groups established and registered. | Number | | | | | | | |
| 1.9 Number of leaders from producer groups trained on group dynamics. | Number | | | | | | | |
| 1.10 Number of leaders from producer groups trained on leadership and management. | Number | | | | | | | |
| 1.11 Number of leaders from producer groups trained on gender mainstreaming. | Number | | | | | | | |
| 1.12 Number of leaders from producer groups trained on environmental safeguards including food safety standards. | Number | | | | | | | |
| 1.13 Number of groups supported to develop business plans. | Number | | | | | | | |

| Sub-programme/interventions/activities | Unit of measure | Target | Baseline | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
|---|---|---|---|---|---|---|---|---|
| 1.14 Number of countries supported to increase their engagement in SSC and TrC on climate relevant technologies. | Number | | | | | | | |
| 1.15 Number of countries supported to develop and submit project proposals to the Green Climate Fund and the Global Environment Facility. | Number | | | | | | | |
| 1.16 Number of countries supported to document their successes and failures in CSA. | Number | | | | | | | |
| 1.17 Number of ASARECA AR4D programmes that have mainstreamed climate resilience at planning stage. | Number | | | | | | | |
| 1.18 Number of collaborative agreements and partnership governance plans developed. | Number | | | | | | | |
| 1.19 Number of stakeholder inventories developed. | Number | | | | | | | |
| 1.20 Number of partnerships with NFOs established. | Number | | | | | | | |
| 1.21 Number of IPs established. | Number | | | | | | | |
| 1.22 Number of institutions supported to develop management capacities and competencies. | Number | | | | | | | |
| 1.23 Number of staff trained on performance monitoring and evaluation. | Number | | | | | | | |
| 1.24 Number of meetings with members countries to lobby for country political support. | Number | | | | | | | |
| 1.25 Number of meetings with RECs to lobby for regional political support. | Number | | | | | | | |
| Thematic Priority Investment Area 2: Agricultural Transformation Technologies and innovations | | | | | | | | |
| 2.1 Number of gender-responsive and climate relevant TIMPs adopted. | Number | | | | | | | |
| 2.2 Number of identified and packaged scalable gender responsive and climate-relevant technologies, innovations and management practices. | Number | | | | | | | |

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| Sub-programme/interventions/activities | Unit of measure | Target | Baseline | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
|---|---|---|---|---|---|---|---|---|
| 2.3 Total number of farmers/households up taking and utilizing gender responsive and climate-relevant TIMPs packages. | Number | | | | | | | |
| 2.4 Total area under gender responsive and climate-relevant TIMPs packages. | Number | | | | | | | |
| 2.5 Total number of women, youth and vulnerable groups trained on CSA/climate relevant TIMPs. | Number | | | | | | | |
| 2.6 Total number of field days and trade fairs held to showcase climate relevant TIMPS and create linkages (aggregated). | Number | | | | | | | |
| 2.7 Total number of participants in the field days and trade fairs (aggregated). | Number | | | | | | | |
| 2.8 Total number of workshops held as stakeholder forums for collaborations and partnerships. | Number | | | | | | | |
| 2.9 Tons of improved seed varieties of the selected commodities sold by seed companies, farmer organizations, etc. | Number | | | | | | | |
| 2.10 Number of farmers adopting climate relevant soil nutrient management practices. | Number | | | | | | | |
| 2.11 Number of soil samples taken and analyzed. | Number | | | | | | | |
| 2.12 Total number of farmers adopting low greenhouse gas emitting crop production technologies and practices. | Number | | | | | | | |
| 2.13 Total number of farmers adopting low greenhouse gas emitting animal production technologies and practices. | Number | | | | | | | |
| 2.14 Total land area under improved climate resilient fodder. | Number | | | | | | | |
| 2.15 Average increase in yield due to uptake of TIMPs and other capacity building initiatives. | Percent | | | | | | | |
| 2.16 Tons of value added farm produce through cottage industries. | Number | | | | | | | |
| 2.17 Total number of reports/documentaries on success stories based on economic impact of uptake of climate relevant technologies. | Number | | | | | | | |

| Sub-programme/interventions/activities | Unit of measure | Target | Baseline | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
|---|---|---|---|---|---|---|---|---|
| 2.18 Total number of scaled up/ leveraged gender responsive and youth focused regional value chains and agribusiness units. | Number | | | | | | | |
| 2.19 Number of farmers accessing and using down scaled weather forecasts. | Number | | | | | | | |
| 2.10 Percentage increase in farmers accessing timely weather and climate forecasts. | Percentage | | | | | | | |
| **Thematic Priority Investment Area 3: Enabling Policy Environment, Functional Markets and Transformative Institutions** | | | | | | | | |
| 3.1 Total number of policies, laws, regulations, and/or procedures identified and analysed. | Number | | | | | | | |
| 3.2 Number of policies, laws, regulations, and/or procedures formulated. | Number | | | | | | | |
| 3.3 Number of policy advocacy fora convened by ASARECA. | Number | | | | | | | |
| 3.4 Number of policies, laws, regulations, and/or procedures implemented. | Number | | | | | | | |
| 3.5 Total number of data sharing platforms developed and functioning. | Number | | | | | | | |
| 3.6 Total number of farmers linked to input markets. | Number | | | | | | | |
| 3.7 Value of input accessed by the beneficiaries. | USD | | | | | | | |
| 3.8 Total number of farmers linked to regional output markets. | Beneficiaries | | | | | | | |
| 3.9 Value of produce sold through the markets. | USD | | | | | | | |
| 3.10 Surveillance systems for crops, livestock and fisheries trans-boundary pests and diseases developed. | Number | | | | | | | |
| 3.11 Surveillance systems for crops, livestock and fisheries trans-boundary pests and diseases implemented. | Number | | | | | | | |
| Total number of established transformative regional institutions. | Number | | | | | | | |
| 3.12 Increase in target farmer incomes. | Percent | | | | | | | |
| **Thematic Priority Investment Area 4: Knowledge and information Management.** | | | | | | | | |

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| Sub-programme/interventions/activities | Unit of measure | Target | Baseline | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
|---|---|---|---|---|---|---|---|---|
| 4.1 Documents on information that promotes production of emerging climate smart crops, livestock, fish and forestry distributed. | Number | | | | | | | |
| 4.2 Database on regional technology and information clearing house established. | Number | | | | | | | |
| 4.3 Total number of on-farm researches conducted on low-cost climate relevant technologies and practices. | Number | | | | | | | |
| 4.4 Developed and functional data bases on TIMPs, specialized human and infrastructure capacities, institutions and programmes established. | Number | | | | | | | |
| 4.5 Number of data platforms for exchange of knowledge, information and experiences established. | Number | | | | | | | |
| 4.6 Rate of access to tested system models, modeling approaches and decision-support tools. | Percent | | | | | | | |
| 4.7 Number of persons accessing and using the functioning data sharing platforms. | Number | | | | | | | |
| 4.8 Rate of increase of people accessing agricultural data, knowledge and information, feedback and demand articulation mechanisms through the functioning data sharing platforms. | Percent | | | | | | | |
| 4.9 Total number of ASARECA technologies and interventions uploaded onto existing web-based platforms that include SSC and TrC programmes/projects on climate change. | Number | | | | | | | |

*The proposed outline is only indicative and suggests what ASARECA may include in the final Dashboard to aid performance tracking.*

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# Annexes

## Annex 1: Implementation Plan Template

### ASARECA Implementation Plan

Date Created: .................................................... Date Reviewed/Updated: ................................................

| THEMATIC AREA OF FOCUS: |
|---|
| **GOAL:** |

| PERFORMANCE MEASURES<br>How We Will Know We are Making a Difference | | |
|---|---|---|
| **Short Term Indicators** | **Source** | **Frequency** |
| | | |
| | | |
| | | |
| **Long Term Indicators** | **Source** | **Frequency** |
| | | |
| | | |

| STRATEGIC RESULT #1: | | | | | |
|---|---|---|---|---|---|
| **BACKGROUND INFORMATION**<br>**Source: Implementing Partner** | | | | | |
| **ACTION PLAN** | | | | | |
| **Activity** | **Target Date** | **Resources Required** | **Lead Person/ Organization** | **Anticipated Product or Result** | **Progress Notes** |
| | | | | | |
| | | | | | |
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**STRATEGIC RESULT #2:**

**BACKGROUND INFORMATION**
**Source: Implementing Partner**

ACTION PLAN

| Activity | Target Date | Resources Required | Lead Person/ Organization | Anticipated Product or Result | Progress Notes |
|----------|-------------|--------------------|--------------------------|------------------------------|----------------|
|          |             |                    |                          |                              |                |
|          |             |                    |                          |                              |                |
|          |             |                    |                          |                              |                |

**STRATEGIC RESULT #3:**

**BACKGROUND INFORMATION**
**Source: Implementing Partner**

ACTION PLAN

| Activity | Target Date | Resources Required | Lead Person/ Organization | Anticipated Product or Result | Progress Notes |
|----------|-------------|--------------------|--------------------------|------------------------------|----------------|
|          |             |                    |                          |                              |                |
|          |             |                    |                          |                              |                |
|          |             |                    |                          |                              |                |

| ALIGNMENT WITH STATE OR COUNTY/NATIONAL/REGIONAL/CONTINENTAL PRIORITIES | | | | |
|---|---|---|---|---|
| Result# | County/State StrategyPolicy 2020 | National Strategy Plan (NAIP) 2020 | Regional Strategy Plan (RAIP) | Continental Strategy/Plan CAADP |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| 3 |  |  |  |  |

# Annex 2: Examples of successful initiatives for development of climate relevant agriprenuership capacities

## Box 1: Inclusive value chain business models supported by IFAD

**IFAD uses three models to develop value chain partnerships with the private sector:**

- Contractual arrangements, whereby IFAD supports outgrower or contract farming schemes between private sector entities and farmers. This model was applied in the Value Chain Development Programme (VCDP) in Nigeria that worked with Olam International in the rice sector. Under the programme, smallholder farmers' agricultural income increased by at least 25 per cent, 3,795 jobs were created, mainly for youth and women, and some 25,000 people in remote areas were reached.

- Cooperative-led model, which consists of supporting farmers' cooperatives in growing their business activities and capacity to work with private sector partners. This model was used to work with cocoa and coffee cooperatives in Nicaragua (Adapting to Markets and Climate Change Project [NICADAPTA]). The project provided training for 1,239 managers of producers' organizations and helped them sign contracts with international buyers of cocoa and coffee.

- Joint ventures, which involve supporting ventures between private sector entities and farmers where the latter are shareholders in a joint processing entity. In a joint venture in Rwanda (the Project for Rural Income through Exports), two local tea factories were established with two tea cooperatives, with the latter holding 15 per cent of the shares. This initiative has benefited 20,000 people, reduced seasonal outmigration from 40 per cent to zero and raised the proportion of food exported to 97 per cent of overall production. Women accounted for 30 per cent of the beneficiary farmers.

*SOURCE: IFAD Private Sector Engagement Strategy 2019-2024*

## Box 2: FAO MICCA Project in Kenya

Each of MICCA's pilot projects is a collaborative effort carried out in partnership with national and international partners within the framework of larger agricultural development projects. In Kenya, the MICCA pilot project team worked with smallholder dairy producers in the Rift Valley. The pilot project was undertaken within the framework of the East Africa Dairy Development Project (EADD) being implemented in Kenya, Rwanda and Uganda. In this pilot project, the MICCA Programme, in close collaboration with ICRAF and smallholder dairy producers, used a life-cycle analysis and other approaches to propose and test technical alternatives for reducing the climate change 'footprint' of the dairy industry. As part of its work to support farmers in raising climate-smart cattle and to improve the overall greenhouse gas balance of the farming systems, the project looked at ways of enhancing fodder production, improving manure and livestock management systems to produce fertilizer and biogas, and lessening the GHG emissions from the whole farm systems. Dissemination of CSA practices and knowledge in the pilot site applied an innovative farmer-led extension approach that relied on volunteer farmer trainers. Farmer trainers hosted demonstration plots used to train other farmers on CSA practices. The main CSA practices demonstrated included:

- improved fodder production (Napier grass, Rhodes grass, Brachiaria grass, Columbus grass, forage sorghums, desmodium, dolichos lab and lucerne (alfalfa);
- agroforestry and fodder trees (Calliandra, Leucaena trichandra, tree lucerne, Sesbania sesban, Grevillea and Croton);
- tree nursery establishment and management for both fodder shrubs and agroforestry trees;
- better manure management through composting and biogas generation; and
- seed conservation by baling hay and making silage.

During the implementation period of three years, 23 volunteer farmer trainers directly reached about 1 500 farmers belonging to 32 farmer groups. These farmer groups were formed as the main training units while volunteer farmer trainers for each group were selected through the Kapcheno Dairy. In addition, with the technical support of the MICCA pilot project, 32 group tree nurseries were established with 90 000 seedlings and two biogas digesters were constructed.

*Source: FAO Mitigation of Climate Change in Agriculture Project*

*http://www.fao.org/climatechange/micca/87066/en/*

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## Box 3: Case Study: Undertaking an inventory of Non State Actors in the agriculture sector

Agro-Enterprise Learning Alliance (AELA) is an association of international NGOs, research organizations and development agencies that link smallholder farmers to markets. AELA approached ACTESA in order to link in with COMESA's wider programme of integrating small farmers into national, regional and international markets. However AELA discovered that strategically engaging with farmers proved difficult with little or no information on who they were, where they farmed or and what they farmed. In response to this, AELA are undergoing a Minimum Data Set mapping exercise for agro-enterprise farmer groups across southern and eastern Africa. Data includes: GPS co-ordinates of farmers groups, how many men and women in each group, what the group is producing, the volume produced of the commodity, the volume sold and the average profit on each commodity. The data from all of the groups will be inputted into the ACTESA website available for the public, helping to link farmers to producers. It should also be useful to CAADP country teams across Southern and Eastern Africa.

**POSSIBLE LESSONS:**
- Non State Actors can initiate an inventory process themselves.
- Developing the inventory in consultation with state actors and regional frameworks helps promote a culture of partnership.
- A well-designed inventory can provide data for multiple purposes.

*Source: CAADP NSA Participation Guide*

## Box 4:Technologies for African Agricultural Transformation (TAAT) Capacity Development and Technology Outreach (CDTO) Enabler Compact

Technologies for African Agricultural Transformation (TAAT) supports the African Development Bank (AfDB) Feed Africa strategy that aims to transform agriculture and scale up agribusiness opportunity throughout 18 key agricultural commodity value chains in Africa. TAAT seeks to transform agriculture inproviding the needed, proven agricultural and food processing technologies and implementation strategies. The principal implementation units of TAAT are Commodity Technology Delivery Compacts (CTDC), a platform of all actors in the seed, primary production, and primary processing components of agricultural commodity value chains.

The Training of Trainers (TOT) sessions carried out in 2019 trained a total of 365 persons from 17 countries on establishment and management of Innovation Platforms (IPs). Following the ToT sessions, an open call for Expression of Interest for support to IPs and Agribusinesses within priority value chains attracted 202 successful applicants- of which requests from 84 IPs and 68 Agribusinesses were further considered. Out of the 84 IPs, 57 covering 12 countries and directly affecting 5,000 people representing at least 114,000 farmers along 9 value chains are being engaged for capacity audits. Another 165 youths have been engaged on priority value chains. Another 443 champions on IPs from 23 countries have been sensitized on use of IPs to scale TAAT technologies. The above numbers demonstrate the power of the use of IPs along value chains to reach out to large numbers of stakeholders. Demands for capacity development have far exceeded the available resources under TAAT 1. Requests for support on Agri-preneurship development are characterised by commodity value chains, services (such as ICT, Finance, Mechanisation, advisory services and business development services).

*Source: Forum for Agricultural Research in Africa (FARA)*

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