

**FORUM FOR AGRICULTURAL  
RESOURCE HUSBANDRY:  
OVERVIEW AND PROPOSAL  
FOR FUTURE DIRECTION**

**JULY – NOVEMBER, 2002**

**PRODUCED FOR THE  
ROCKEFELLER FOUNDATION**

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# **EXECUTIVE SUMMARY**

## **INTRODUCTION**

The assignment relating to the Forum for Agricultural Resource Husbandry was conducted during the period of July to November, 2002, by three consultants (Harris Mule, David Ngugi, and David Norman). The primary objectives of the assignment were to define options and make recommendations concerning a second phase of the Forum Programme particularly relating to:

- Transferring programme management to an African institution.
- Adapting the Forum strategy to changing needs and opportunities.
- Broadening and sustaining donor support.

The report was based on information and opinions derived from a number of sources including information and papers provided by Forum and the Rockefeller Foundation (RF), the results of three surveys that were administered, visits to all the Forum universities, and in-depth discussions with a large number of people including, RF staff, Forum Advisory Committee members, prospective donors, senior university administrators, university faculty including PIs, former and current Forum supported students, and employers and potential employers of Forum graduates.

This executive summary provides a brief overview of the findings relating to the assignment. A brief overview of progress under Forum is presented followed by a brief discussion on suggestions and recommendations that are deemed necessary to address the central objectives relating to the assignment. Recommendations are those we feel strongly and are convinced should be adopted, while suggestions are those we believe deserve serious consideration but we feel deserve further thought before possibly becoming recommendations.

## **PROGRESS OF FORUM TO DATE**

Forum has been operating since 1992. Annual disbursement under Forum has amounted to an annual average of about \$1.4 million peaking at about \$2.85 million in the year 2000. About 74% of the funds have been used for research activities (i.e., including sponsorship of students). A total of 314 research related grants have been given with full research and continuation grants constituting 139 of the grants and about 96% (i.e., \$9.93 million) of the total funds allocated to research. Principal Investigators (PIs) benefiting from such grants have been 79 located in a total of five countries and 10 universities. The average amount received per grantee has been about \$129,000 with grantees receiving an average of 1.8 grants. The greatest beneficiary by far has been Makerere University followed by the University of Zimbabwe, Bunda College and the University of Nairobi.

About 26% of the total Forum funds have been used for general Forum support and for non-research activities such as holding programme meetings, addressing information needs, publication support, support of the African Crop Science Society Journal, curriculum development, and external reviews and consultancies.

A total of 188 students have benefited from support under Forum with 51% being supported to do crop improvement and crop related type work and another 32% working on soil related topics. Only 17% have worked on social science related topics and even less in the area of animal science.

The research proposal initiation and approval process has in general been greatly appreciated and recognised as fair and unbiased. About 120 research publications have been produced with about 15% of them in international journals and another 53% in regional journals. Although there is still

room for improvement, collaboration with other agricultural development stakeholders has improved and some technologies resulting from the research have been, or are about to be, disseminated.

In terms of assessing impact of the Forum on participants, departments and faculty associated with Forum have undoubtedly benefited in terms of more graduate students and better equipment and hence better quality research resulting in better morale and retention of staff, better networking, and improved self esteem. Grantees have on occasion been promoted, partly as a result of publications arising out of their Forum sponsored research, while Forum graduates in general appear very satisfied with their Forum sponsored experience. Job opportunities appear to be readily available for such individuals and employers of Forum graduates in general were very happy with their competence and attitudes.

Thus we believe Forum has had a major positive impact on the grant beneficiaries (i.e., both staff and students) and has created a culture engendering cooperation and collaboration within and outside the universities. It has helped address in a small way the weak link of training in the training, research and extension agricultural development triangle. Finally virtually all the money distributed under Forum has gone to African institutions and to Africans thus building the capacity of institutions and individuals indigenous to the continent – a strategy we believe is critically important if the continent is to develop.

## **THE FUTURE**

In looking to the future we have divided the discussion into four major subject areas – the Forum Coordinator and Secretariat, training, research and fund raising. The suggestions and recommendations referring to each subject area are listed in their entirety at the end of this Executive Summary. To aid in determining where, in the report, specific recommendations and suggestions are justified, each recommendation or suggestion is accompanied by a number, indicating the section where the main justification for the recommendation or suggestion, is given. The suggestions and recommendations, as well as proposing the way to address the primary objectives listed at the beginning of the Executive Summary, also give ideas on how to address weaknesses perceived in the Forum Programme as it is currently constituted.

### **FORUM COORDINATOR AND SECRETARIAT**

There is virtually unanimous opinion among those associated with Forum that the RF Coordinator of Forum has done an outstanding job and will be difficult to replace. Her hallmarks have been her lack of bias, and her empathy, fairness, transparency and integrity. Because of the concerns expressed by many that maintaining these traits may be a challenge when the management of Forum is handed over to a non-RF person, it is important the appointment of the Forum Coordinator be transparent and results from a formal and open application procedure (Recommendation 3.2.3A). The job responsibilities of the new Coordinator will be greater than the current Coordinator involving, in addition, responsibility for fund raising and managing an independent Forum Secretariat (Recommendation 3.2.3B).

Therefore we recommend that both a Finance Officer and Programme Associate are hired for the devolved Forum Secretariat (Recommendation 4.4.3A) to handle financial and general logistical and administration matters. Also because of his/her other work responsibilities and the likelihood he/she is unlikely to have much expertise in raising money from donors other than the RF, a consultant, with a proven track record in soliciting funds, should be employed on a repeat part time basis for at least two years to help/advise him/her in this area (Recommendation 4.4.3A).

However, since it will take time to appoint the new Coordinator and to arrange for the transfer of the Forum Secretariat, we recommend a part time Interim Coordinator is appointed to overlap with the current and new Coordinator and look after Forum related matters in the interim (Recommendation 4.4.4A). He/she would continue operating out of the Nairobi RF office.



After considering three different models for hosting the Forum Secretariat we have concluded that the Forum Secretariat should be located on a university campus but should operate as an independent/autonomous unit (Recommendation 4.2.2). After consultation and taking into consideration a number of evaluation criteria the best location for the Forum Secretariat is considered to be Makerere University (Recommendation 4.3.1). It is suggested, however, that RF employ the services of a lawyer at the beginning of 2003 to resolve any complications relating to its establishment on the Makerere University campus (Suggestion 4.3.2).

Setting up an independent/autonomous Forum Secretariat will not be cheap but we believe it will be important in helping to reassure Forum associated personnel at universities, other than Makerere, that opportunities for bias or favouritism are minimised. With reference to costs we suggest that, although given the current financial situation in the Forum universities, allowances and incentives paid under the Forum are justifiable, there would be merit in reexamining these and possibly making adjustments prior to the devolved Forum Secretariat commencing operations (Suggestion 4.4.3B). There would also be merit in examining if the maximum size of the full research grants could be reduced in order to address the concerns of some that training of Forum students is expensive compared with other training programmes in the region (Recommendation 4.4.3B).

Returning to the issue of potential perceived biases and favouritism on the part of the Forum Coordinator and Secretariat we have proposed a number of checks and balances including the establishment of an Executive Board and a Steering Committee (Recommendations 4.4.3A, 4.4.1A and 4.4.1B).

Finally it will be important for both the Forum Coordinator and the Secretariat to ensure that strong and interactive linkages are maintained with:

- ***The Rockefeller Foundation.*** The newly devolved Forum Secretariat will require a ‘champion’ in RF to help provide oversight, advice and a point of contact for the Forum Coordinator (Recommendation 4.4.4B). For a number of reasons Dr. John Lynam, Associate Director of Food Security in the Nairobi office, would be eminently suitable. It is also important that the new Forum Coordinator and the Programme Officers in charge of the three strategic research thrusts of the Food Security Programme make an effort to keep channels of communication open, encourage cooperation with each other and share information and, whenever possible, extend such cooperation/collaboration to activities (Recommendation 5.6.2A).
- ***The Forum Universities.*** Forum National Coordinators should be an initial point of contact for the Forum Coordinator and Secretariat on matters of a general nature (i.e., not specific to an individual PI). Such Forum National Coordinators, who could receive a small annual stipend from Forum, could also provide a number of other useful functions (Recommendation 3.3.3B).

## TRAINING

We have three curricula related suggestions:

- The recent curriculum review initiative should be completed with the aim of developing ways to overcome perceived gaps and defects in training and to address the new realities in agriculture in the Forum countries as a result of the globalisation of trade and commercialisation of agriculture (Suggestion 3.3.3B).
- A service type course should be mounted to be taken by all graduate students that could address topics such as management and understanding of issues such as marketing, developing budgets and business plans and simple economic data analysis would be highly desirable since many of the students are employed outside academia (Suggestion 3.3.3A).
- Some universities are developing centres of excellence in specific fields and therefore ways need to be sought to maximise the benefits of such expertise for the benefit of the region as a whole (Suggestion 3.3.3C)

We have made three other unrelated points with reference to training, namely that:

- We are reluctant to make a recommendation supporting Ph.D under Forum auspices although many would like us to do so (Suggestion 3.2.3C).
- Continued Forum support for subscriptions to The Essential Electronic Agricultural Library (TEEAL) is critically important in helping create favourable conditions for relevant and quality research (Recommendation 3.3.3A).
- It is important that Forum students know their rights as recipients of Forum scholarships. This could be done by the Forum Secretariat sending each new Forum student a standard letter, in addition to any letters provided by the university (Suggestion 3.3.3D).

## RESEARCH

In terms of the approach to research we believe there would be merit in encouraging the formation of Forum Research Committees in Faculties of Agriculture, one of the functions of which would be to institutionalise the internal peer review of research proposals (Suggestion 3.2.3A). In developing research proposals, emphasis should continue to be placed on participatory adaptive/applied research involving farmers and also on developing collaborative working relationships with other agricultural development stakeholders. Multi- or preferably interdisciplinary type projects should also continue to be encouraged. We believe to help encourage a more holistic approach to problem solving and to facilitate demonstration of impact, ‘umbrella’ type projects in which teams of scientists work together in generating integrated solution(s) to a specific problem or problems or to dealing with issues relating to a specific location, should be considered (Recommendation 3.4.3A).

In terms of accessing research funds we propose Forum should continue adhering to the competitive grant systems for funding research proposals. However, we believe there is justification for reserving a small proportion of the funds (e.g., up to 20% in any funding cycle) for the more disadvantaged universities to help develop capacity providing they produce satisfactory peer-reviewed proposals. Also for equitability purposes an upper limit should be placed on funding proposals from any one institution in any funding cycle, for example, not more than 30% of the remaining 80% (i.e., 27%) (Recommendation 3.2.3D).

We propose thought be given to adjusting the Forum research mandate so that its main emphasis is simply on supporting research aimed at developing technologies and strategies for enhancing food security and sustainable livelihoods in smallholder farming systems rather than specifically emphasising maize and banana based farming systems (Recommendation 3.5A). However, we remain convinced that Forum should continue not supporting basic/strategic type research. Nevertheless Forum should be prepared to support work in the plant breeding area (Suggestion 3.4.3). Finally we suggest that the Forum flier/brochure should clarify that, although Forum grants are principally targeted at Faculties of Agriculture, relevant proposals from other faculties in universities (e.g., Science and Social Sciences) can also be considered as long as they are compatible with the Forum research mandate (Suggestion 3.5).

Demonstrating impact (i.e., articulated in terms of improvement of farmers’ welfare), resulting from Forum sponsored research activities, is important in attracting additional donor funds. Therefore, we believe, greater emphasis needs to be placed, when appropriate, on using Forum resources to nurture the research/dissemination linkage to facilitate attainment of impact. We recommend that requests for such resources are appropriate in the grant requests submitted to Forum. This includes requests for funds for producing extension-oriented materials (Recommendation 3.4.3B).

A particular challenge is the issue of linking together the development of relevant research topics and the dissemination/impact end of the agricultural development spectrum. Therefore, because of the rapidly increasing size and expense of the regional biannual meetings, we believe consideration should be given to deemphasising them and placing greater emphasis on thematic regional meetings and in-country meetings where collaborators and stakeholders have greater visibility and involvement (Suggestion 3.2.3B). Also, given this suggestion about holding regional thematic meetings, there would be merit in using them to synthesise findings, identify research gaps and to ‘institutionalise’ working groups that could develop regional research proposals which could be submitted for donor

funding via the Forum Secretariat (Suggestion 3.4.3). The RF Programme Officers in the Food Security Programme should be encouraged to attend the thematic meetings and the in-country meetings, particularly in the RF focus countries, once they have been selected.

## **FUTURE FUNDING**

Sokoine University in Tanzania would very much like to be admitted into the Forum. Although we believe compelling arguments can be made for its admission we believe a decision should not be made on this until there is a good prospect that its inclusion will not impact negatively in terms of Forum resources available to the other Forum universities. Its possible inclusion should also be reconsidered if Tanzania becomes one of the focus countries of the RF (Suggestion 3.6).

To attract funding from other donors Forum will need to maintain and enhance the strengths it already possesses. It will also need to fine-tune its research topic selection process, to monitor and evaluate research output to a greater extent, and pay greater attention to publicising its achievements (Suggestion 4.4.1), to dissemination/outreach and impact, to publicising the achievements of Forum, and to accounting, financial management and reporting (Recommendation 5.4).

We believe that there would be merit in developing a Forum Action Plan (FAP) for attracting funding from other donors. In terms of funding, totally unrestricted funding, core unrestricted and core restricted funding should be sought in that order of preference. Also funds should be sought from international donors (i.e., through head offices, regional offices and bilateral programmes) and from non-traditional donors (i.e., national governments, NGOs, and the private sector). National government or university financial contributions are potentially particularly important, even if of token amounts, since this implies ownership and support for Forum (Recommendation 5.6.1).

A final issue that needs to be addressed in thinking about the future is the desire for the RF Food Security Programme to achieve coherence and impact in its research programme as far as its three strategic research thrusts are concerned, and the need for the devolved Forum to demonstrate continued research quality and financial management as an independent entity, for the purpose of attracting funding from other donors. We believe there should be a split between the allocation of the research funds made available for Forum over the next two but preferably three years (i.e., \$2 million minus the funds required for running the Forum Secretariat, estimated at \$350,000 year). From the viewpoint of Forum, the preferred split would be \$1 million/year as core unrestricted and the remainder as core restricted (i.e., research proposals approved for funding out of the three strategic areas being promoted by the RF) (Recommendation 5.6.2B). After three years the ratio of core restricted funds to core unrestricted funds would be expected to increase with the latter from RF being phased out at the end of five years.

In conclusion we cannot over emphasise how important the support of RF has been in initiating and funding the Forum to date. It would be tragic to see Forum collapse and we are very pleased that the RF is committed in principle to continue supporting the Forum as it devolves and explicitly commences to initiate a strategy to broaden donor support. We appreciate that nurturing Forum to a position of sustainable independence in such a way that it continues to operate as a respected regional 'institution' will involve patience and resources on the part of the RF. We sincerely hope that the RF will be prepared to accept this commitment and challenge so that conditions are created that will ensure Forum has a realistic, bright and sustainable future.

# THE RECOMMENDATIONS AND SUGGESTIONS

## FORUM COORDINATOR AND SECRETARIAT

### *Forum Coordinator*

#### **Recommendation 3.2.3A:**

*The appointment of the Forum Coordinator should be transparent and as a result of a formal and open application procedure. The appointment will be the responsibility of the Executive Board of Forum, be full time, and on a renewable contract basis. Desirable credentials of the Coordinator are: proven track record of association with Forum; having demonstrated professional and leadership qualities; and characteristics such as being personable, honest, diplomatic and transparent.*

#### **Recommendation 3.2.3B:**

*The Forum Coordinator who will both manage the Forum and be instrumental in identifying and raising funds from other donors, will liaise with individual universities via Forum National Coordinators on matters other than those dealing with individual PIs. To protect the Forum Coordinator and the interests of the beneficiaries, the Forum Coordinator will be answerable to a Steering Committee which will provide guidance and supervision, particularly in the research area, and an Executive Board which will provide a fiduciary/monitoring function.*

### *Forum Secretariat*

#### **Recommendation 4.2.2:**

*The Forum Secretariat should be located in a university but should operate as an independent/autonomous unit.*

#### **Recommendation 4.3.1:**

*As a result of considering a number of evaluation criteria the best location for the Forum Secretariat is Makerere University.*

#### **Suggestion 4.3.2:**

*The Rockefeller Foundation should employ the services of a lawyer at the beginning of 2003 to resolve any possible legal complications pertaining to setting up the Forum Secretariat as an autonomous/ independent unit on the campus of Makerere University.*

#### **Suggestion 4.4.3A:**

*In addition to the Forum Coordinator, the Forum Secretariat should be staffed by a Finance Officer who will be in charge of matters relating to finance and an experienced Programme Associate who will be responsible for general logistical and administration matters.*

#### **Recommendation 4.4.3A:**

*Because the newly appointed Forum Coordinator will be very fully occupied, and is unlikely to have much expertise in raising money from donors other than the Rockefeller Foundation, a consultant, with a proven track record in soliciting funds, should be employed on a repeat part time basis for at least two years to help/advise the Forum Coordinator in identifying suitable promising potential donors, in making contacts and establishing relationships with potential donors, and in helping to develop proposals for funding for submission to potential donors.*

**Suggestion 4.4.3B:**

*Although the allowances and incentives paid under the Forum are important, given low salaries and poor funding of the universities in the region, it would be desirable if these are re-examined and adjustments made if possible prior to the devolved Forum Secretariat commencing operations.*

**Recommendation 4.4.3B:**

*The maximum size of the full research grants should be examined to see if they could be reduced thereby reducing the cost of training each Forum student and making the Forum programme more attractive for potential donors. This could be done perhaps by the Interim Coordinator, and a recommendation prepared for consideration by the newly appointed Forum Coordinator and the Steering Committee, when it is formed.*

**Recommendation 4.4.4A:**

*To facilitate the orderly transfer of the Forum Secretariat, a consultant should act as an Interim Coordinator, who will keep the Forum running until the new Forum Coordinator is appointed. The person hired would be expected to work about eight days per month, and overlap one month with the outgoing Forum Coordinator and one month with the incoming Forum Coordinator.*

**Recommendation 4.4.4B:**

*The newly devolved Forum Secretariat will require a 'champion' in the Rockefeller Foundation to help provide oversight, advice and a point of contact for the Forum Coordinator. For a number of reasons Dr. John Lynam, Associate Director of Food Security in the Nairobi office would be eminently suitable.*

**Recommendation 5.6.2A:**

*It is important that the new Forum Coordinator and the Rockefeller Foundation Programme Officers in charge of the three strategic research thrusts of the Food Security Programme work on keeping channels of communication open, on encouraging cooperation with each other, and on sharing information, and whenever possible, activities. The Programme Officers, as part of this initiative should be expected to present their research priorities to the Forum Steering Committee and to attend and participate in the thematic and in-country meetings (see Suggestion 3.2.3B) organised by Forum.*

**Checks and Balances****Recommendation 3.3.3B:**

*Forum Faculty Coordinators (FFCs), with a small annual stipend, should be elected for three-year terms for each Forum university. They will also de facto become the Forum National Coordinators (FNCs) if there is only one Forum associated university in the country. If there is more one university in the country then one of the FFCs should be elected the FNC for that country. The functions of the FFCs would be to act as an Ombudsman for the students, to ensure equitable treatment of students within the university, to encourage optimal PI/student (e.g., facilitating student seminars and encouraging faculty attendance), PI/stakeholder and PI/PI (e.g., organising joint field days, in-country meetings (see Suggestion 3.2.3B)) interactions, to coordinate the purchase of equipment to avoid duplication, and to ensure equitability of access to such equipment. In addition FNCs would act as the point of contact for the Forum Coordinator for matters that are not specific to individual PIs or students.*

**Recommendation 4.4.1A:**

*A Steering Committee to formulate and oversee Forum's research agenda should be established. The Steering Committee will consist of 10 members (i.e., representing academia and other agricultural stakeholders) and will meet twice a year. It will be responsible for*

*setting the broad research and training agenda, for evaluating and approving research proposals, for monitoring research progress, and for evaluating the quality of research output. The Steering Committee will nominate one of its members to chair the meetings.*

**Recommendation 4.4.1B:**

*The Executive Board will consist of donors who make an annual contribution to Forum of at least \$100,000, plus the Vice Chancellor of Makerere University, and will meet once per year. It will be responsible for setting the overall policy framework for the Forum, providing fiduciary oversight and for ensuring Forum is properly managed. The Board will nominate one of its members to chair the meetings.*

**Recommendation 4.4.3C:**

*It is critically important that the operation of the Forum Secretariat is seen to be transparent and unbiased. Therefore checks and balances, and oversight by the Executive Board and Steering Committee will be required to ensure that this in fact is the case.*

## **TRAINING**

### ***Curriculum Related***

**Suggestion 3.3.3A:**

*Because many of the Forum graduates are employed outside academia, consideration should be given to mounting a service type course to be taken by all graduate students. Such a course could address topics such as management and understanding of issues such as marketing, developing budgets and business plans, and simple economic analysis.*

**Suggestion 3.3.3B:**

*The recent curriculum review initiative should be completed with the aim of developing ways to overcome perceived gaps and defects in training and to address the new realities in agriculture in the Forum countries as a result of the globalisation of trade.*

**Suggestion 3.3.3C:**

*As universities develop centres of excellence in specific fields, it would be very desirable for the Forum community to explore ways to exploit them by 'seconding' students and possibly even Principal Investigators to them for short periods to learn about the techniques being used, take advantage of courses in the subject area of excellence, etc.*

### ***Miscellaneous***

**Recommendation 3.2.3C:**

*To avoid dilution of the Forum target clientele (i.e., Forum trained M.Sc students) requests for funding Ph.Ds with RF supplied Forum funds should continue to be resisted. Instead other funding sources should be sought. It is important for Forum to remain focussed on its basic objectives and mandate, if impact is to be demonstrated.*

**Recommendation 3.3.3A:**

*Because access to current professional literature is critically important in facilitating quality research on the part of students and their supervisors, Forum should continue subscribing to TEEAL on behalf of the universities, if the universities are unable to meet the costs.*

**Suggestion 3.3.3D:**

*To help ensure transparency as far as students are concerned the Forum Secretariat should give every newly appointed Forum student a letter indicating his/her rights as a recipient of a Forum scholarship. This would be in addition to letters produced by the university.*

**RESEARCH****Research Approach****Suggestion 3.2.3A:**

*There would be merit in encouraging formation of Forum Research Committees in Faculties of Agriculture, one of the functions of which would be to institutionalise the internal peer review of research proposals before they are forwarded to the Forum Secretariat to be evaluated for possible funding.*

**Recommendation 3.2.3D:**

*Forum should continue adhering to the competitive grant system for funding research proposals. However, a small proportion of the funds (e.g., up to 20% in any funding cycle) should be reserved for the more disadvantaged universities to help develop capacity providing they produce satisfactory peer-reviewed proposals. Also for equitability purposes an upper limit should be placed on funding proposals from any one institution in any funding cycle (e.g., not more than 30% of the remaining 80% of the funds).*

**Recommendation 3.4.3A:**

*The current focus of Forum on participatory adaptive/applied research involving farmers and emphasis on developing collaborative working relationships with other agricultural development stakeholders should continue. Multi- or preferably interdisciplinary type projects should also continue to be encouraged. To help facilitate a more holistic approach to problem solving and to facilitate demonstration of impact, 'umbrella' type projects in which teams of scientists work together in generating integrated solution(s) to a specific problem or problems or to dealing with issues relating to a specific location, should be considered.*

**Mandate****Recommendation 3.5A:**

*Thought should be given to adjusting the Forum research mandate so that its main emphasis is simply on supporting research aimed at developing technologies and strategies for enhancing food security and sustainable livelihoods in smallholder farming systems, rather than placing specific emphasis on maize and banana based systems.*

**Recommendation 3.5B:**

*To avoid dilution of the Forum research mandate (see Recommendation 3.5A) Forum should continue not supporting basic/strategic type research but should be prepared to support work in the plant breeding area. It is important for Forum to remain focussed on its basic objectives and mandate if impact is to be demonstrated.*

**Suggestion 3.5:**

*The Forum flier/brochure should clarify that, although Forum grants are principally targeted at Faculties of Agriculture, relevant proposals from other faculties in universities (e.g., Science and Social Sciences) can also be considered as long as they are compatible with the Forum research mandate.*

## ***Impact Related***

### **Suggestion 3.2.3B:**

*Because of the rapidly increasing size and expense of the regional biannual meetings, consideration should be given to de-emphasising them and placing greater emphasis on thematic regional meetings and in-country meetings where collaborators and stakeholders have greater visibility and involvement.*

### **Recommendation 3.4.3B:**

*Demonstrating impact (i.e., articulated in terms of improvement of farmers' welfare), resulting from Forum sponsored research activities, is important in attracting additional donor funds. Therefore greater emphasis needs to be placed, when appropriate, on using Forum resources to nurture the research/dissemination linkage to facilitate attainment of impact. Therefore it is reasonable in the grant requests submitted to Forum to include requests for funds, when relevant, for producing extension oriented materials, holding farmer and extension training workshops, etc.*

### **Suggestion 3.4.3:**

*Given the suggestion about holding regional thematic meetings (Suggestion 3.2.3B) there would be merit in using them to synthesise findings, identify research gaps and to 'institutionalise' working groups that could develop regional research proposals which could be submitted for donor funding via the Forum Secretariat.*

## **FUTURE FUNDING**

### **Suggestion 3.6:**

*Although undoubtedly compelling arguments can be made for admitting Sokoine University, Tanzania into the Forum, a decision should not be made on this until there is a good prospect that its inclusion will not impact negatively in terms of Forum resources available to the other Forum universities. Its possible inclusion should also be reconsidered if Tanzania becomes one of the focus countries of the Rockefeller Foundation.*

### **Suggestion 4.4.1:**

*The Forum should be encouraged to continue supporting the Forum web page (<http://www.rockforum.org>). It provides an admirable medium for advertising the activities and achievements of Forum.*

### **Recommendation 5.4:**

*To attract funding from other donors Forum will need to maintain and enhance the strengths it already possesses. It will also need to fine-tune its research topic selection process, monitor and evaluate research output to a greater extent, and pay greater attention to dissemination/outreach and impact, to publicising the achievements of Forum, and to accounting, financial management and reporting.*

### **Recommendation 5.6.1:**

*A Forum Action Plan (FAP) for attracting funding from other donors should be developed and put into operation. Totally unrestricted funding, core unrestricted and core restricted funding should be sought in that order of preference. Funds should be sought from international donors (i.e., through head offices, regional offices and bilateral programmes) and from non-traditional donors (i.e., national governments, NGOs, and the private sector). National government or Forum university contributions are particularly important, even if in token amounts, since this implies ownership and support for Forum.*



**Recommendation 5.6.2B:**

*Given the desire for the Rockefeller Foundation Food Security Programme to achieve coherence and impact in its research programme as far as the three strategic research thrusts are concerned and the need for the devolved Forum to demonstrate continued research quality and financial management as an independent entity for the purpose of attracting funding from other donors, there should be a split between the allocation of the research funds made available for Forum over the next three years (i.e., \$2 million minus the funds required for running the Forum Secretariat, estimated at \$350,000). From the viewpoint of Forum, the preferred split would be \$1million/year as core unrestricted and the remainder as core restricted (i.e., research proposals approved for funding out of the three research strategic areas being promoted by the Rockefeller Foundation).*

# 1. INTRODUCTION

## 1.1 OVERVIEW OF FORUM

The Rockefeller Foundation (RF) began supporting agricultural programmes in the 1940s, and in doing so eventually contributed to the Green Revolution in the late 1960s. During the 1970s the RF reduced initiatives in individual countries and support to agriculturally related initiatives. However, following increasing concerns about the poor performance of the Sub-Saharan economies in the late 1970s and early 1980s, and a 1982 External Review Team report, the Agricultural Sciences Division in the RF recommended a major shift in programme activities. As a result, it proposed greater emphasis on Africa and support of basic biological research. Therefore, in 1986, the Agricultural Sciences Division of RF implemented a programme called African Food Systems with the objective of improving the food production systems of resource-poor farming families in Sub-Saharan Africa”.

In 1998, Moock [1998, Appendix 1] provided a general summary of the agricultural sciences initiatives, in addition to those relating specifically to Africa, population, and health. According to the RF’s web page at that time (i.e., March 1998) the goal for the Agricultural Sciences Division [<http://www.rockfound.org/agsci2.html>] was stated as follows:

“In African countries rainfall limits the [productivity of] arable land and the lack of fertiliser use depletes precious nutrients from cultivated soil [and therefore] the key in Africa is to devise and implement improved management practices that increase nutrients to crops and sustain soil productivity.... In the African countries of Kenya, Uganda, Malawi and Zimbabwe, the goal is to double yields of smallholder farmers’ primary food crops by 2015 while sustaining farm incomes and without degrading the resource base.”

The RF’s strategy associated with this goal was “to build national and local capacity in crop management research with capability to develop alternative management-variety-resource combinations, soil fertility and biological practices, agroforestry technologies, pest management approaches and related crop management techniques; and evaluate the biological, economic and ecological effects” [Buddenhagen et al, 1995]. To achieve the overall goal, important elements in the strategy involve interaction with a broad range of farmers to ensure a broad range of technological options is evaluated, determining the policies relevant to facilitating adoption of the most appropriate technological combinations, and targeting and disseminating the results over the range of production conditions [Buddenhagen et al, 1995 citing Herdt, 1993].

One of the major RF initiatives designed to fulfil the above goal was the 1993 launching of the Forum for Agricultural Resource Husbandry (Forum). Lynam and Blackie [1994] have observed that African public universities and their faculties of agriculture offer unrealised potential to serve as catalysts for rural transformation. Thus, the purpose of Forum “is to stabilise faculties of agriculture in Kenya, Malawi, Mozambique, Uganda, and Zimbabwe by providing resources, mission and peer support, leading to knowledge contributing to improved lives of smallholder farmers [Patel and Woomer, 2000]. This is accomplished with the help of a competitive grants programme to strengthen, encourage and support training of students in agriculture at the M.Sc level. As a result the intention is to create high quality graduate training programmes (i.e., institutional development) directly associated with research designed to address agricultural problems concerned with improving the productivity, profitability and sustainability of the resources available to the farmers.

The main components of the Forum Programme to date can be summarised as follows [Patel, Kiragu and Woomer, 2002; Ekwamu, Kanyama-Phiri, Karanja, Mpeperek, and Norman, 1998]:

- An Advisory Committee consisting of distinguished agricultural scientists from the region provides overall guidance on Forum Programme policies and operations, technical experts from both inside and outside the region constitute an informal Technical Panel for reviewing research

proposals, and a Forum Secretariat is located in Nairobi, Kenya (i.e., formerly in Lilongwe, Malawi) to support day-to-day operations of the Forum Programme.

- The award of research grants for supporting the training of M.Sc/M.Phil students, under certain specific conditions. For example:
  - The grants are competitive (i.e., in the range of \$35,000<sup>1</sup> to \$65,000 spread over two but sometimes three years), and are peer reviewed before being granted.
  - The Principal Investigators (PIs) must be academics with Ph.Ds on the staff of universities in Kenya, Malawi, Mozambique, Uganda or Zimbabwe.
  - A functional collaborative relationship must be planned with, at least, one agency outside the university (e.g., an agricultural research institute within the country or at the regional/international level, a non-governmental organisation (NGO), another institution in the private sector, etc.).
  - The proposal should preferably plan to involve some interaction with farmers and utilise interdisciplinary, participatory and systems-level approaches.
  - The proposal should also preferably relate to banana or maize-based systems and in doing so demonstrate a close link to husbandry resource issues relating to crop productivity and sustainability.

Some research topics are specifically excluded from support under the Forum such as germplasm enhancement or components of plant breeding, animal breeding and veterinary or animal disease studies. Types of disciplines supported are agricultural economics, agronomy, crop improvement, crop management, integrated nutrient management (INM), pest and disease management, socioeconomics, soil and water conservation, and weed management.

- In-country and biannual meetings are held at which researchers and students present results. The in-country meetings, in particular, often have had some non-Forum associated invitees.
- When deemed desirable, specific initiatives are implemented to improve the quality of M.Sc/M.Phil level training (e.g., providing awards to students giving the best presentations at meetings, providing necessary computers, software and equipment, facilitating information access, biometrics training, etc.).
- Peer-reviewed scientific publication of papers is explicitly expected and supported under the Forum Programme and, in connection with this and the desirability of making regionally relevant results more accessible elsewhere in Africa, the Forum has provided some support for the African Crop Science Journal and its associated annual conferences.

A schematic diagram of the activities of Forum is given in Figure 1.1. Some idea of the uniqueness of the Forum, in relation to other grants programmes operating in Sub-Saharan Africa, can be gleaned from information assembled by Patel and Woomer [2000] which is shown in Table 1.1.

## 1.2 THE ASSIGNMENT (TORS)

According to the Terms of Reference (see Appendix A), since the RF launched the Forum Programme in 1992, it has helped restore and enhance the science and research culture within university faculties of agriculture in several East and Southern African countries. The RF believes the time has now come to consider the size and nature of support for a second phase. In connection with this, we were asked to determine whether fundamental changes in the Forum Programme would be desirable, and to identify future directions that build on the experience to date.

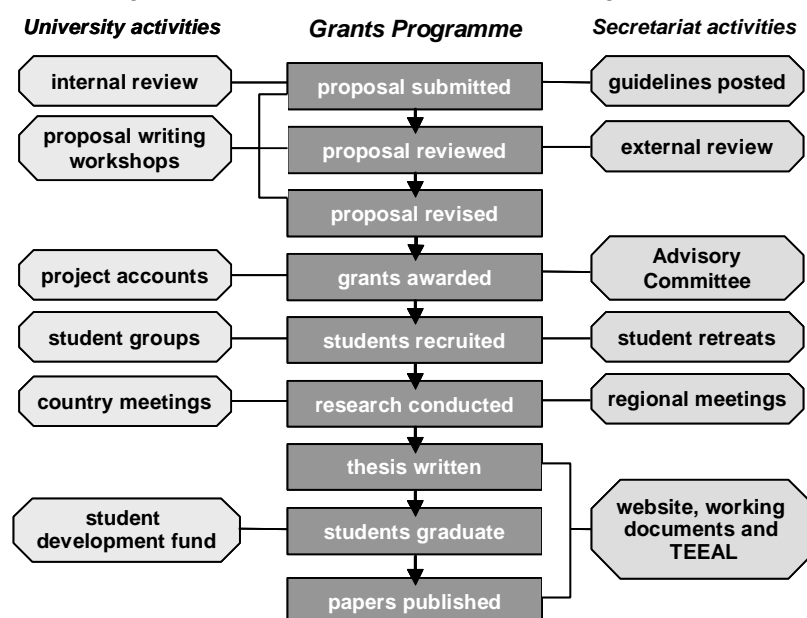
The broad general objectives of the review, which were not technical in nature, were primarily to define options and make recommendations to be implemented during a Forum phase two that will:

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<sup>1</sup> All \$ figures in the report refer to US \$s.

- Transfer programme management to an African institution.
- Adapt the Forum strategy and approach (i.e., both management and professional direction) to changing needs and opportunities.
- Broaden and sustain donor support.

Figure 1.1: The Schema for the Forum Programme



*The Forum operates a competitive research grants programme that supports Masters-level training (above, centre) that has resulted in additional supporting activities by both partner universities (left) and its Secretariat (right).*

Source: Rockefeller Foundation [2002].

Details concerning each of these general objectives are given in Appendix A. Fulfilling these objectives required a number of different initiatives, which are summarised in the next section. One point to note is that we have spent more time looking at the impact of Forum that was perhaps originally envisioned because of the need to demonstrate impact as an inducement for attracting the support of other donors.

Table 1.1: Comparison of the Forum to Other Grant Type Programmes Operating in Sub-Saharan Africa <sup>a</sup>

Feature	Forum	Other Programmes (%)
Programme headquarters located in Sub-Saharan Africa	Yes	5
Grant programme exclusive to Sub-Saharan Africa	Yes	33
Grants awarded to specified African countries	Yes	12
Objectives focussed upon agriculture and the environment	Yes	26
Universities eligible for grant awards	Yes	51
Grants include post-doctoral fellowships	No	42
Grants include Ph.D scholarships	No	37
Grants restricted to M.Sc scholarships	Yes	0

Source: Patel and Woomer [2000].

- a. The other programmes comparison is based on a sample of 39, details of which were obtained through instructions for submission and through internet services.

### 1.3 APPROACH TO THE ASSIGNMENT

The review was undertaken during the period of July to November 2002. It relied on information and opinions derived from four main sources:

- Discussions with, papers provided by, and information supplied by the Forum Secretariat and RF staff based in New York and Nairobi.
- Papers produced by Forum associated universities and personnel (i.e., written by Forum PIs and students).
- Three surveys, details of which are given in Appendix C, designed to elicit information on the following:
  - Obtain an idea of the current staffing situation, degrees offered, numbers of students involved and scholarship support in the Forum supported institutions.
  - An assessment of the impact of Forum on departments, faculty and students associated with the programme.
  - An anonymous means of assessing the attitudes of those currently associated with Forum about the future of Forum.
- Four trips to: Nairobi, Kenya (July 15<sup>th</sup> – July 19<sup>th</sup>); Uganda, Malawi and Zimbabwe finishing at the Fifth Regional Meeting of Forum at Entebbe (July 31<sup>st</sup> -- August 17<sup>th</sup>); Mozambique, Kenya and Uganda (October 6<sup>th</sup> – 18<sup>th</sup>); and Uganda (November 13<sup>th</sup>) to present our findings to a meeting of the RF staff.<sup>2</sup> During these trips in-depth discussions were held with:
  - RF staff.
  - Forum Advisory Committee members.
  - Prospective donors.
  - Senior university administrators.
  - University faculty including PIs.
  - Current Forum supported students.
  - Former Forum supported students (i.e., Forum graduates).
  - Employers of Forum graduates including those in research systems (i.e., universities, national agricultural research systems (NARSs), and international research systems (e.g., CGIAR, research networks), other government institutions, NGOs, private sector institutions, Foundations).

Our review team consisted of three individuals. These were as follows:

- Harris Mule, former Permanent Secretary of the Ministry of Finance and Planning, Kenya and also former Regional Consultant for Eastern/Southern Africa and Assistant President, International Fund for Agricultural Development (IFAD).
- David Ngugi, former Dean of Agriculture, University of Nairobi, Kenya, former Regional Coordinator of the SADC/ICRAF (Southern Africa Development Community/International Centre for Agroforestry) Regional Agroforestry Project, and long term member of the Forum Advisory Committee.
- David Norman, currently Professor of Agricultural Economics, Department of Agricultural Economics, Kansas State University, USA – Team Leader of the review.

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<sup>2</sup> In addition two of us (i.e., David Ngugi and Harris Mule) spent a number of other individual days visiting donors and universities in Kenya (see Appendix G).

## 1.4 REVAMPING OF THE ROCKEFELLER FOUNDATION FOOD SECURITY STRATEGY

Currently the RF is revamping its food security strategy. Since a major part of our assignment has involved drawing up proposals for the future of the Forum programme it is important that those proposals are congruent with the RF's plans for the future of the Food Security Programme.

As we understand it the goal of the Food Security Programme is to be as follows (<http://www.rockfound.org>, August 26<sup>th</sup> 2002):

“To improve the food security of the rural poor through the generation of agricultural policies, institutions and innovations that will provide sustainable livelihoods in areas of Sub-Saharan Africa, Asia and Latin America by-passed by the Green Revolution.”<sup>3</sup>

In terms of Eastern/Southern Africa, the region within which the Forum operates, the RF has now decided to allocate the bulk of their funds to initiatives in three areas, for which strategy papers have been prepared [Rockefeller Foundation 2002A, 2002B and 2002C]:

- Reintroduction of a programme long associated with RF, namely crop improvement, that is, improved crop varieties with the help of marker-aided selection and some selective biotechnology.
- Continuing emphasis in the region on initiatives aimed at enhancing soil productivity.
- In recognition of issues relating to market failure a new area of emphasis relating to improving the access of smallholder farmers to better functioning agricultural input and output markets.

Special efforts will be made to support initiatives that relate to one or more of the above, while emphasis will be placed on involving stakeholders, especially farmers, and in incorporating a systems perspective. This change, it is hoped, will eventually result in a tangible favourable impact on the welfare of smallholder farmers in the region as a result of:

- Encouraging greater coherence/collaboration between three Programme Officers in charge of each strategic thrust.
- Focussing the limited resources at the disposal of RF in a limited number of subject areas.

Resources will be further concentrated by limiting the bulk of the resources (i.e., 80%) available for agriculture in the region to two to four countries. These countries are still to be selected and, in fact, are unlikely to be chosen until early 2003 after the completion of six country studies that are currently underway or are soon to be done. The countries being considered are the five Forum countries plus Tanzania.

The above changes are likely to have a profound impact on the way in which Forum operates in the future; both in terms of the type of research initiatives that RF funds for Forum are likely to support, and the countries where such funds can be used. We examine issues relating to these changes at various points in this report but at this point simply wish to note that 20% of the resources under the Food Security Programme in the region can be spent outside the areas focussed on in the three strategy papers and outside the countries that will be chosen to be the focus of the Food Security Programme.

Although these changes may initially be seen as a major constraint for Forum in the future, the fact that an explicit strategy is to be drawn up to attract other donors and that the funds to be allocated to implementing the three strategic subject areas are likely to be much greater than have ever been made available directly to Forum from RF sources, in itself provides an opportunity for Forum to access additional resources. There are elements in all three-strategy papers, referred to above, that are compatible with the research mandate currently defined for Forum.

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<sup>3</sup>. Food security is defined as all people having enough food to carry on normal activities at all times. This food could be consumed from home production or purchased through selling of products produced on the farm or or earned through providing services (e.g., labour).

## 1.5 LAYOUT OF THE REPORT

The report is presented in a number of chapters and appendices. Chapter 2 provides a brief review of progress under Forum in terms of management and funding, staffing of faculties of agriculture, the training done at the postgraduate level, research productivity, and assessment of impact. Chapter 3 focuses on issues relating to the strengths and weaknesses of administration and professional activities relating to Forum as it currently operates and develops some implications or adjustments required for the future. Chapter 4 is devoted initially to consideration of possible models for hosting the Forum Secretariat. This is followed by recommendations for the location and hosting of the Forum Secretariat. Finally the chapter concludes with a consideration of issues relating to the management of the Forum Secretariat. Chapter 5 is devoted to exploring and presentation of a strategy for broadening donor support, while Chapter 6, with a few concluding comments, constitutes the end of the main part of the report. Because there are a fairly large number of tables and figures in the report we have, apart from those in this chapter, placed them at the end of the chapter to which they apply. This is to avoid interrupting the flow of the discussion.

Recommendations and suggestions emphasising the central issues we were asked to address are given at the appropriate parts of the report where they are discussed in detail. Recommendations are those we feel strongly and are convinced should be adopted, while suggestions are those we believe deserve serious consideration but we feel deserve further thought before possibly becoming recommendations. Both the recommendations and suggestions are listed in their entirety in the Executive Summary. To aid in determining where, in the report, specific recommendations and suggestions are justified, each recommendation or suggestion is accompanied by a number, indicating the section number where the main justification for the recommendation or suggestion, is given.

Appendices are devoted to the terms of reference (TOR) (Appendix A), actions taken on the suggestions made in the 1998 Forum Review [Ekwamu, Kanyama-Phiri, Karanja, Mpepereki, and Norman, 1998] (Appendix B), details on the surveys administered plus staffing (Appendix C), notes on meetings we had with prospective donors (Appendix D), a list of the papers consulted (Appendix E), acronyms and abbreviation definitions (Appendix F),<sup>4</sup> an itinerary of the review process (Appendix G), and a list of people seen (Appendix H).

In the report we have presented some quantitative information gleaned during the review process. Unfortunately these data were often much more difficult to collect than originally envisioned and no guarantee can be given as to their accuracy. Therefore they should be viewed as indicative rather than necessarily definitive.

One further point: in the text instead of always adding the term university when talking about specific universities, we have used a shortened form (e.g., Makerere, Moi, Nairobi) except for two universities where some confusion could arise (i.e., University of Zimbabwe which we term UZ and Africa University which we name in its entirety).

## 1.6 ACKNOWLEDGEMENTS

An evaluation covering 10 universities and five different countries cannot be successfully completed without the cooperation and collaboration of many individuals. Undoubtedly our biggest debt of gratitude must go to Dr. Bharati Patel, Mrs Wanjiku Kiragu and Mrs Caroline Adala who provided us with extensive materials including a database of Forum grants. They also helped in disseminating and collecting the three different survey instruments and in organising the complex travel schedule. We also appreciate the help of Dr. Peter Matlon and Ms Kate Grantz at the RF New York office who provided reading materials, answered many questions, and helped in arranging for the contracts and visas.

In addition we appreciate the help of support staff and Forum grantees who arranged the programmes and hospitality in the different countries. Thank you very much! We also particularly wish to express

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<sup>4</sup> Although in the text, an attempt has always been made to define the acronyms in full the first time they are used, the reader should refer to the appendix for the complete definition.

our appreciation and gratitude to all those we met on our field trips -- administrators, including the Vice Chancellors, Principals and Deans, donor representatives, employers of Forum graduates, researchers, collaborators, and current and former Forum students -- who took time to answer our endless questions. Finally we would like to express our gratitude to the RF for giving us the unique opportunity of reviewing the Forum Programme.



## 2. BRIEF REVIEW OF PROGRESS UNDER FORUM

### 2.1 INTRODUCTION

In this chapter we first examine the management and funding under Forum. This is followed by a look at training at the postgraduate level in the Forum institutions after which research productivity and impact are examined. The chapter concludes with an assessment of the impact of Forum on both departments and Forum graduates.

### 2.2 MANAGEMENT AND FUNDING

Management of the Forum Programme has benefited greatly from the continuity of having only one Coordinator since its inception in 1993. This Coordinator, who initially was located in the RF office in Lilongwe, Malawi, was moved to the RF Nairobi office following the closure of the former office. She has, according to the almost unanimous opinion of those most closely associated with Forum (i.e., the grantees and Forum supported students) provided outstanding leadership and has been greatly appreciated. This was made abundantly clear at the closing ceremony of the Fifth Biannual Meeting of Forum, held at Entebbe, Uganda, 12<sup>th</sup>-16<sup>th</sup> August 2002, when she received four standing ovations. Unquestionably the 170 attendees at the meeting felt her pending retirement was regrettable. The qualities, some of which were mentioned at the closing ceremony, and that were often expressed to us in meetings with the beneficiaries, as being important in her success as Coordinator of Forum, included the following:

- Her commitment to Africa and empowerment of Africans.
- Her transparency, straight forward approach, and integrity.
- Her impartiality and lack of bias.<sup>5</sup>
- Her compassion and concern for the welfare of others.
- Her high expectations and commitment to excellence and hard work on the part of all those associated with Forum.
- Her joy in the successes achieved by those associated with Forum.
- Her trust and relatively relaxed approach to monitoring and detailed accountability unless the intended beneficiaries have been proven to abuse that trust.

The overwhelming opinion was that with the retirement of the Coordinator, an important era in the evolution of Forum was coming to an end and, as a result a feeling of regret was commonly expressed. At the same time there is a general feeling that Forum needs to continue to evolve but that, as it does so, the good points about the way it has been managed to date should not be lost as Forum management is devolved to a new management entity in the region. This is an issue that we will return to in a later section (see Section 3.2).

The Advisory Committee (AC) has played a relatively minor role, especially in recent years, in the management of Forum. However, it has been much more significant in nurturing and maintaining professional and academic excellence through screening and evaluating research proposals. Nevertheless, the fact is, that the generally recognised impartiality of the Coordinator, has allowed the AC to operate in a relatively ‘hands-off’ advisory mode without a deleterious impact on the progress of Forum. However, it is unreasonable to expect that an analogous operational mode will be generally

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<sup>5</sup> A few individuals expressed concern about the ‘disproportionate’ number of grants going to specific institutions and/or individuals. However, the vast majority were not concerned about this, reasoning that this was more a function of initiatives and ‘proven track records’ of such institutions and the individuals in them.

accepted with the appointment of a non-RF Coordinator -- once again an issue we will return to in a later section (see Section 3.2).

Turning to the disbursement of funds, according to analysis done on a database kindly provided by the Nairobi office of the RF, a total of \$14,086,972 in the form of 314 grants had been distributed under Forum auspices as of July 2002. Some details are given in Tables 2.1, 2.2 and 2.3, and Figures 2.1, 2.2 and 2.3. Annual disbursement has amounted to an average of about \$1.4 million peaking at about \$2.85 million in the year 2000 (Table 2.1 and Figure 2.1). The total amount disbursed can be divided into two components, namely those associated with:

- **Research**, amounting to \$10,372,016 (i.e., about 73.6% of the total amount of funds). Discussion on the distribution of these funds to universities is deferred to a later section (see Section 2.3.3). Table 2.2 indicates the breakdown by type of research associated grants with the preparation, supplementary and supervision grants constituting a substantial percentage of the research associated grants (i.e., 34.4%). However, because they are much smaller than the other research grants, they constituted a much smaller percentage of the total research-associated funds (i.e., 4.2%). The main research grants (i.e., the full research grants and the continuation grants) on the other hand constituted the bulk of the grants (i.e., 139) and the majority of the funds (i.e., 95.8% or about \$9.93 m (Table 2.3)). The number of grantees (i.e., Principal Investigators (PIs)) benefiting from such awards has been 79, located in a total of 10 universities<sup>6</sup> in the five countries. Distribution of research associated funds by country is given in Figure 2.2.
- **Non-research or other initiatives**, amounting to \$3,714,956 (i.e., about 26.4% of the total funds). These funds were used for supporting a number of other important initiatives, the benefits of which were generally not confined to any specific country or university, although some were dispensed through specific universities. Some of the more important initiatives (i.e., in addition to those relating to the general support of Forum), which have served to advance the scientific and instructional goals of the faculty members and their students [Rockefeller Foundation, 2000], have been as follows (Figure 2.3):<sup>7</sup>
  - ◀ Programme meetings (\$1,060,000). These include the five biennial Forum Regional Meetings, country meetings and student retreats.
  - ◀ Curriculum development (\$637,000). This reflects a recent initiative concerning the general overview of curricula within agriculture faculties in the Forum universities (i.e., see Rockefeller Foundation [2002] and response to Suggestions 3.3A and 5.9A in Appendix B), and the long standing issue of initiatives to address biometric deficiencies in most of the universities (see response to Suggestion 5.7 in Appendix B).
  - ◀ Information needs (\$398,000). This has involved initiatives relating to internet connectivity and overcoming deficiencies in access to literature with the help of The Essential Electronic Agricultural Library (TEEAL).
  - ◀ Support to the African Crop Science Society (\$253,000). This has involved support for publishing the previously moribund African Crop Science Journal, which has been edited by Forum grantees and has provided an important regional journal outlet for papers produced from research supported under Forum auspices.

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<sup>6</sup> Tables 2.2 and 2.3 indicate 11 universities but the grantee from Maseno received his grant while he was at Nairobi prior to the formation of Maseno. Therefore in this report we have usually referred to 10 rather than 11 universities as being recipients of Forum grants.

<sup>7</sup> The figures given are those quoted in the Forum booklet produced by the RF for handing out to prospective donors [Rockefeller Foundation 2002]. We were unable from the database provided by the Nairobi office of the RF to obtain corresponding figures. The major reason for this is likely to be that some of the grants in the database labeled as Forum Administered Projects and Forum Support were likely to be partially or completely allocated to specific activities or initiatives or that the time period of the database we had access to, differed slightly from that used in the booklet. Therefore we have chosen to use the pie chart (Figure 2.3) and the figures given in the booklet as giving a more accurate picture of the non-research funds dispensed under Forum auspices.

- ◀ Publication support (\$192,000). This has involved support for the Forum Working Document series, in which seven papers have been produced.
- ◀ The Student Development Fund (\$143,000). This rewards universities for timely graduation of students.
- ◀ External reviews and consultancies (\$80,000).

## 2.3 TRAINING AT POSTGRADUATE LEVEL

### 2.3.1 Numbers of Students

The figures in Table 2.3 indicate that a total of 188 students to date have benefited from sponsorship under the Forum programme with about 51% being supported to do crop improvement and crop related type work and another 32% working on soil related topics. Only about 17% have worked on social science related topics and most of those have been in agricultural economics (81%). The major beneficiaries in terms of universities have been Makerere in particular followed by UZ, Nairobi and Bunda. Anecdotal evidence and discussion with departments during the field trips indicated that many of the departments associated with Forum would have had very few postgraduate students if Forum sponsorship had not been available. The focus of Forum has meant that some departments have benefited more than others. For example, animal science departments have, in general benefited little, although such departments in some universities have been more successful than others in accessing Forum resources (e.g., Makerere).

### 2.3.2 Teaching

In terms of formal course work, the influence of Forum, to date, has been less apparent, although the Forum Meeting Attendee Survey (Table 2.5)<sup>8</sup> results indicate that most of those associated with Forum believe there has been a positive impact.<sup>9</sup> As we have already indicated, Forum support has primarily emphasised sponsorship of students to do research at the M.Sc/M.Phil level. However, the quality of the research is dependent, to some extent, on the preparation of the students (i.e., usually via course work).<sup>10</sup> Interviews with some employers indicated some concerns about the quality of teaching and in some cases suggested need for adjustments in the curricula.<sup>11</sup> Also some students indicated dissatisfaction with the course work, indicating that some faculty did not take it seriously (e.g., because of being more interested in research) and sometimes scheduled classes were not even held because of faculty being otherwise engaged (e.g., away from the university). Such issues have been raised in other reports on the universities associated with Forum [Ekwamu, Kanyama-Phiri, Karanja, Mpepereki, and Norman, 1998; Obwona and Norman, 2001]. Solutions to such problems obviously are the responsibility of the universities themselves and involve both disciplinary and incentive related measures.

However, the Coordinator of Forum has recognised that well rounded and prepared M.Sc graduates need exposure to quality course work and research. Accordingly, as indicated earlier (Section 2.2) funding has recently been made available under Forum auspices to support initiatives in the Forum

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<sup>8</sup> The total number of respondents was 46.

<sup>9</sup> Discussions indicated that many believed that these benefits were twofold: first, that the research with its emphasis on applied topics and involvement of farmers stimulated lectures to be more closely tied to issues relating to the production environments of farmers; and secondly, that grantees realised that supervising and guiding the research of students was easier if the students were well prepared in terms of course work.

<sup>10</sup> Some students at UZ commented that they felt they were becoming too specialized because they were doing an M.Phil degree that involved no course work. In fact UZ is currently introducing an M.Sc degree in some departments which involves course work plus thesis which will therefore address this problem.

<sup>11</sup> For example, in a meeting with employers/potential employers at Makerere concern was expressed about the poor writing skills of some graduates, and the need in the light of liberalisation and privatisation trends, for graduates to be exposed to something on managerial techniques and marketing. In Mozambique one potential employer also indicated a need for graduates to be able to do budgeting and engage in simple economic analysis.

universities in the area of curriculum reform. At the end of 2001, a three day workshop was held in Bellagio consisting of 27 participants drawn from 17 African universities including seven Deans plus representation from international research institutes and elsewhere to discuss issues relating to curriculum development and “to devise strategies resulting in university graduates better prepared to meet the challenge of rural transformation in Africa” [Rockefeller Foundation, 2002]. As a result a number of universities have submitted funding requests to support curricula review exercises (e.g., Makerere, Bunda, UZ).

### **2.3.3 Research**

Table 2.3 gives a breakdown of research funds by university while Table 2.6 gives the breakdown by research area. The figures confirm those relating to students mentioned above (Section 2.3.1). In terms of breakdown by subject matter, 68% of the funding has been awarded in crop related research with another 21% being allocated to soil related techniques. Social science received only about 10% of the funding while only 1% was devoted to animal science type topics.

The greatest beneficiary by far has been Makerere followed by UZ, Bunda and Nairobi. The average amount received per grantee has been about \$129,000 with grantees receiving on average of 1.8 grants. However, the universities that have received the larger amounts of funding have also had more grantees, a good indication that there has been a genuine attempt in those universities to entice more faculty members to apply for Forum grants.

## **2.4 RESEARCH PRODUCTIVITY AND IMPACT**

### **2.4.1 Thrust of the Research**

The research under Forum has always focussed on smallholder farming systems. The overall goal of the research has been food security and income generation for resource-constrained, smallholder farmers. The research effort has also tried to develop and strengthen linkages between the universities and the farming communities with the idea of improving the relevance of university research and the curriculum in terms of dealing with farmers' problems. The research thrusts have concentrated mainly on maize and banana crop-based farming systems. However, several other crops considered relevant to food security are also covered by Forum research. The main thrusts of research have included topics relating to:

- Agronomy.
- Crop improvement and management including weed management.
- Soil and water conservation,
- Integrated nutrient management (INM).
- Pest and disease management.
- Socioeconomics including agricultural economics.

The Forum has not supported research that is focussed specifically on livestock production or pure plant breeding. However, the Forum has supported research that links livestock and crops (e.g., use of crop residues for dairy production and for supplementing draught animals). Research on plant breeding was considered rather long-term in character and was considered to be best done by the National Agricultural Research Systems (NARSs) and International Agricultural Research Centres (IARCs). Several scientists in the universities have made persuasive arguments for including research on livestock, especially small ruminants, and also aquaculture, in the Forum mandate. These areas are clearly relevant to the main goal of Forum research which is food security.

### **2.4.2 Research Planning and Management**

Planning and management of research within the Forum is characterised by the following features:

- Participatory involvement of farmers in the diagnosis of the research problem, the design and the implementation of the research, and in the validation of the technologies developed on-farm. The involvement of farmers in the technology development cycle has ensured the relevance of the research to farmers' problems.
- The research is collaborative, bringing together the NARSs, NGOs, and IARCs including international research institutions from overseas. The collaborative research feature is safeguarded by Forum's policy that encourages collaboration between university scientists and external institutions.
- All the research proposals to the Forum must first pass formal external review before they can qualify for funding. The comments from external reviewers have helped improve the quality of the proposals and the ensuing research. Some faculties (e.g., Makerere, Egerton and UZ) have established internal peer review panels which preview the proposals before they are sent to the Forum Coordinator for external review. The purpose of the internal review process is to refine the proposal, and therefore, improve its chances for speedier approval for funding when it reaches the RF. The internal review system at Makerere is working very well, while it has only recently been established in the other two universities. The success of the internal review process at Makerere has undoubtedly partially contributed to explaining the impressive number of grants it has received (see Section 2.3.3). The presence of a critical mass of Forum grantees at Makerere (i.e., 20 according to Table 2.3) and the collegial working relationships apparent among the faculty are testimony to the success of the internal review process.
- The multidisciplinary<sup>12</sup> philosophy encouraged within the Forum Programme facilitates a holistic approach in developing solutions to farmers' problems. UZ, for example, appears to be having a positive impact on farm productivity in the Chinyika Settlement area under the Integrated Crop Management Research Project in which various disciplines have complemented the work of each other. The two Forum grantees in the Chinyika Project pooled their resources to address soil fertility and weed management problems with considerable success (e.g., several M.Sc. students have been trained in the project and 28 scientific papers have published). The main collaborators with the university have been NGOs and extension. The linkages between the university and extension in general, improve the chances of continuity and the wider dissemination of technologies generated by research.

### 2.4.3 Impact of Research

The impact of research under the Forum Programme can be evaluated in three ways as follows:

- The degree to which it has nurtured/fostered collaborative relationships between the different agricultural development stakeholders.
- The extent to which publications have resulted from the research.
- Most importantly, the degree to which the consumers of the technologies (i.e., the farmers) have benefited from the research.

We now look at each of these briefly.

- ***Collaboration between Agricultural Development Stakeholders.*** Unquestionably there are many examples where relationships between agricultural faculties and other agricultural development stakeholders have improved. Specifically:
  - ◀ The Forum Programme has brought university staff and students closer to farmers and their problems through on-farm research. The interaction has resulted in a much more demand driven research agenda within universities.

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<sup>12</sup> Most research to date has tended to be multidisciplinary (i.e., a number of disciplines working independently on a particular problem) rather than interdisciplinary (i.e., a number of disciplines working together on the same problem) in nature.

- ◀ Collaborative research between university faculty and the NARSs, including joint-supervision of students' research, has enriched the quality of the research. Such types of collaborative research provide a vital springboard for dissemination of research findings to the end users (i.e., the farmers).
- ◀ Several Forum grantees have formed beneficial partnerships with the private sector, both NGOs and agribusiness firms, such as agrichemical and seed companies. Some such partnerships have generated additional research resources and/or facilities for the benefit of the faculty.

However, according to the participants at the Forum meeting in Entebbe in August this year (Table 2.5), there is still room for improvement as far as linkages with non-academic stakeholders are concerned. Nevertheless, the fact that Forum has made developing linkages one of the conditions for receiving such grants, is commendable, and obviously some progress has been made with respect to this.

- **Research Publications.** Table 2.7 provides an indication of the publications and the outlets used by the Forum grantees, while Table 2.5 indicates those associated with Forum are convinced that the Forum has increased research productivity in terms of published papers. It indicates that more than 120 scientific publications have been produced with about 15% published in international journals and another 53% published in regional journals, mainly the African Crop Science Journal, which has been financially supported by the Forum Programme (see Section 2.2). The relatively high percentage of articles published in regional journals is not altogether surprising given the applied nature of most of the research making results difficult to publish in international journals that do not usually have a specific interest in Africa. Another important outlet for publications has been Conference Proceedings (i.e., 27% of the publications) some of which have been sponsored by the Forum (e.g., the biannual regional meetings). Finally the Forum Programme has sponsored a Working Papers Series, which is a vehicle for publicising Forum activities and for accommodating synthesis papers. It is, however, somewhat surprising, despite the fact that quite a few students' theses have been written in related fields in the different countries, little attempt appears to have been made by the PIs to synthesise and publish the findings. Publication productivity has, however, been quite impressive amounting to an average of about 1.6 papers per grantee, although some individuals have published much more.
- **Technologies for Dissemination.** Forum research has generated a number of technologies that show potential for improving crop productivity under smallholder cropping systems. Table 2.5 indicates that those closely associated with Forum believe that research it has sponsored is helping, or has helped, to develop the agricultural sector partly because of its relevancy and associated quality (i.e., both presumably improved). Some technologies are now being disseminated to the farming communities where they are expected to make an impact. Four particularly promising ones include:
  - ◀ The Makerere cowpea research team will soon release an improved cowpea variety (MU93) following an intensive ten-year research effort. The cowpea team is working closely with local extension agents, NGOs, and the National Agricultural Research Organisation (NARO) in the dissemination task.
  - ◀ The bean research team in the same institution has developed a highly effective seed-dressing package for controlling bean fly. The package has been well received by bean growers. Some NGOs have taken up the technology with the intention of disseminating it more widely.
  - ◀ The Forum-funded soybean project at UZ has developed new soybean varieties that do not require inoculation with specific rhizobia bacteria before planting. These are the so called 'promiscuous' soybean varieties. They hold great potential for cultivation by resource-poor farmers in Zimbabwe because they are able to nodulate with naturally occurring rhizobia and to fix nitrogen effectively. Consequently farmers do not need to incur high costs buying artificial inoculants as is the case with existing commercial soybean varieties.

- ◀ At Moi, a Forum-funded project has developed a soil fertility improvement package called 'Prep-Pac'. The Pac combines a slow P-release rock phosphate (i.e., Mijingu rock), a nitrogen source (urea), an inoculant, and a legume crop seed. The slowly released phosphorus combined with residual fixed nitrogen and organic inputs from the legume enhance soil fertility and crop productivity over several seasons. The Prep-Pac has been taken up by entrepreneurs for wider dissemination following successful validation of its profitability by farmers in Western Kenya.

It is encouraging to note that the applied research focus of the Forum Programme is now resulting in technologies that are ready for dissemination or are already being disseminated.

## 2.5 IMPACT ON PARTICIPANTS

### 2.5.1 On Departments

In terms of departments the impact of the Forum Programme has manifested itself in a couple of ways. These are as follows:

- **Departments and Faculty.** Forum research funds have stabilised the staffing situation in many of the faculties. The effect is particularly noticeable in those universities with a large number of Forum grantees (e.g., Makerere, UZ, Bunda and Nairobi). The current staffing situation in the faculties associated with Forum in the different universities is given in Appendix C5. They also have resulted in a number of other benefits according to the results of the survey completed by the participants at the Forum meeting in Entebbe in August this year (Table 2.5). In addition:
  - ◀ The success of Forum-funded research has attracted research funds from other organisations. For example, the success of the Forum-funded soybean project at UZ has attracted funding for eight postgraduate training fellowships from Seed Co and research support from Zimbank. Such support from the private sector is particularly important in enhancing research funding in universities at a time when government support for research is almost non-existent.
  - ◀ The Forum has facilitated active networking at the regional level between academics and graduate students in the Forum universities in the five countries.
  - ◀ Many Deans of Faculties and Heads of Departments feel that the reputation of their institutions has improved as a result of Forum research outputs and active postgraduate training programmes.
  - ◀ Support of research and postgraduate training in the Faculties of Agriculture in the region has made the operation of local postgraduate training programmes a reality.

The results in Table 2.5 imply that departments benefiting from Forum support are now much better places to work than before Forum existed (e.g., commitment/enthusiasm of both staff and students, enhanced collaboration between and within universities, improved quality of research and teaching, improved productivity of staff). One area, however, that still has some way to go in terms of pay off from Forum support is that of staff development through hiring of Forum graduates. This is likely to have greater pay off in the long run although some discussions during the field trips indicated that that this pay off may be dampened by the fact that Forum does not provide funds for supporting Ph.D training, an essential requirement for university faculty.

- **Forum Grantees.** A number of grantees or PIs have earned job promotions from Forum supported research based on their publications in reputable, international and regional scientific journals. Many have also earned professional recognition both nationally and internationally. The award of the Certificate of Merit to the Dean of the Faculty of Agriculture at Makerere by the the Third World Academy of Sciences is a good example of international recognition. In addition there have been a number of other important professional benefits. For example:

- ◀ The Forum has not only been product oriented but also almost as important has been the objective of building capacity within the faculty themselves (e.g., see example in next paragraph).<sup>13</sup>
- ◀ Somewhat related to the previous point, many Forum grantees have improved their proposal writing skills. This has been achieved through helpful comments from external reviewers and participation in Forum-sponsored workshops on proposal writing. Some grantees have put these skills to good use by writing proposals for funding by other donors.
- ◀ Many of the PIs have matured into recognised scientists and, as a result, some of them have now become reviewers for Forum research proposals and journals, and also have increasing consulting opportunities.
- ◀ The challenge of managing Forum grants successfully has inculcated a sense of responsibility into many of the grantees.
- ◀ The success of Forum Grantees has galvanised other colleagues in many faculties to initiate their own research programmes, sometimes associated with Forum.

The results of the Forum Meeting Attendee Survey (Table 2.5) confirm the beneficial impact on those associated with Forum in terms of professional development, promotion and job satisfaction.

### ***2.5.2 On Forum Graduates***

Unquestionably the students that have been associated with Forum have benefited in a number of ways. Discussions with a number of Forum graduates and information gleaned from the Forum Graduate Survey (see Appendix C3)<sup>14</sup> indicated the following:

- The rate of completion of the M.Sc degree has improved. The time taken to complete the M.Sc. degree course has been reduced considerably from 4-7 years to, in some cases to 2 years! According to the survey, the average length of time for completing the degree was 2.7 years. By facilitating residential M.Sc programmes, the funding by Forum has improved the rate of successful completion of the degree. Improved access to literature, computers, transport, and laboratory and field equipment has also contributed to improved timeliness in the completion of the M.Sc. degrees.
- Generous Forum stipends have discouraged part-time studentship.
- Well-funded research programmes, plus supervision allowances, have boosted staff morale which has translated into improved student supervision
- In terms of their training, 89% of the Forum graduates in the survey indicated that they believed the training received under the Forum Programme was superior to those that were not sponsored by Forum. Specific advantages for Forum students include the following:
  - ◀ Their exposure to field/farm situations, and involvement in the planning and execution of participatory rural appraisals (PRA), etc., have prepared them well for careers in agricultural transformation. By the time the students have completed the training, they have developed an appreciation of field problems and their ability to deal with them.
  - ◀ Their presentation and writing skills have improved greatly through participation in Forum funded in-country, regional and international meetings.

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<sup>13</sup> There is a fear amongst some Forum PIs that the latter may be lost in Forum in the future as other donors are likely to be more results oriented – that is in terms of producing products. For example, research proposals have often been nurtured in Forum through an iteration process. Obviously this takes patience and time and may well not be easy to ensure in the future.

<sup>14</sup> The number of Forum graduates who completed the survey was 49.



- ◀ Through their active involvement in the planning and management of faculty related matters (e.g., organisation of meetings and workshops and proposal writing), students' management skills have been developed and strengthened prior to graduation.
    - ◀ Many have managed to publish their research in refereed journals.
  - In terms of the Forum graduates and their situation after graduation the results of the survey indicated that:
    - ◀ Twenty three percent are currently studying for a Ph.D and 89% plan or would like to do so. This is not altogether surprising given that those students receiving sponsorship under the Forum programme are the best B.Sc graduates.
    - ◀ On a scale of 1 to 5 (i.e., with 1 = greatly/very much and 5 = not at all):
      - Eighty six percent indicated a 1 or 2 regarding the training helping them to get their first job after graduation
      - Ninety seven percent indicated 1 or 2 in terms of the training helping them to get their current job (i.e., if they have had more than one job).
      - Ninety six percent indicated 1 or 2 in terms of the training helping them to implement the responsibilities of their job.
      - Seventy seven percent indicated 1 or 2 in terms of the training helping them to get promotion.
    - ◀ In terms of getting a job after graduation:
      - Fifty four percent already had a job upon graduation presumably, often because of contacts/relationships they developed during their training.
      - Another 28% got a job within one month of graduating.
- Interviews with employers indicated a considerable amount of satisfaction with Forum graduates. The employers appreciated the students' exposure to real life farming problems during their training through on-farm based research, and also their ability to work and relate to farmers and extension staff. Their hands-on training enables them to settle down in employment more quickly than graduates who have not had such exposure. No wonder a substantial proportion of them are employed in the private sector and by parastatal organisations (Table 2.8). This is reinforced by the findings in the Forum Graduate Survey that 48% of the respondents were employed in the private sector and 52% in the public sector.
- ◀ Finally job satisfaction was very high with 84% being very satisfied or satisfied with their current jobs.

Therefore, it appears Forum has produced high quality graduates that are both confident and capable and are appreciated by employers.

## 2.6 CONCLUDING COMMENT

In concluding this chapter we wish to make four comments which we think are significant in terms of arguing that Forum, should and must continue. These are as follows:

- We are convinced that Forum has had a major impact of the beneficiaries of the grants whether they are PIs (i.e., 77) or students (i.e., 188). We appreciate that the large number of grants (i.e., 222) requires a relatively large ratio of administrative work relative to the amount of funds being disbursed but if the RF is looking for a large return per \$ disbursed, we are convinced this has been a very good investment and the impact has been widely distributed – thus having a positive impact on many individuals.
- Although the grants have been given to individual faculty members, the incentives and conditions for receiving the grants has created a culture that encourages/engenders cooperation and

collaboration between grant recipients within and between universities, and between university faculty and other agricultural development stakeholders, especially farmers. It is difficult to assess the impact of this in tangible terms<sup>15</sup> but unquestionably forging these types of relationships are fully congruent with the current agricultural developmental philosophy of:

- ◀ Farmer empowerment.
- ◀ Insisting on constructive interaction between the different agricultural development stakeholders.
- ◀ Encouraging holistic/system and multi/interdisciplinary type approaches.
- The Forum philosophy embodies a basic tenet of agricultural development which unfortunately often appears to have been forgotten at the present time by many donors and others, that is the importance of the training, research and extension triangle and the need for interactive linkages between them. Support for training, in particular at the postgraduate level, has been under funded in recent years. Forum has been important in filling this void while at the same time paying explicit attention to the development triangle.
- Last, but by no means least, virtually all the money distributed under Forum has gone to African institutions (i.e., not to the CGIAR or regional based programmes) and to Africans thus building the capacity of institutions and individuals indigenous to the continent – a strategy we believe is critically important if the continent is to develop.

In conclusion we cannot over emphasise how important the support of RF has been in initiating and funding the Forum to date. It would be tragic to see Forum collapse and we are very pleased that the RF is committed to continue supporting the Forum as it devolves and explicitly commences to initiate a strategy to broaden donor support.

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<sup>15</sup> The best measure is of course such research having a favourable impact on the welfare of farmers. This of course takes time but we have already presented some evidence (see Section 2.4.3) that this is starting to happen and we fully expect this to accelerate in the future. Forum has only been operating for a decade and the period between initiating applied research and obtaining impact is often a minimum of 10 years.

Table 2.1: Funds Dispersed in Forum by Year

Type of Expense	No Date	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	Total
Total:													
Research	230,000	49,525	346,700	677,580	507,080	548,697	1,431,405	885,673	910,182	2,513,723	1,497,958	773,493	10,372,016
Non-Research	1,503,333	70,000	30,000	115,000	37,710	55,000	76,600	256,500	316,154	341,620	556,921	356,118	3,714,956
Overall	1,733,333	119,525	376,700	792,580	544,790	603,697	1,508,005	1,142,173	1,226,336	2,855,343	2,054,879	1,129,611	14,086,972

Source: Database on Forum Grants provided by the Rockefeller Foundation.

Table 2.2: Dispensation of Research Associated Grants and Funds by University

Country	University	Preparation	Full Research	Full Continuation	Supplementary	Supervision	Total	Total Research Associated Funds	Percentage of Total
Kenya:	Egerton	4	3	1	0	2	10	289,055	2.79
	JKUAT	0	3	0	0	0	3	174,714	1.68
	Kenyatta	3	6	1	1	1	12	480,971	4.64
	Maseno	0	1	0	0	0	1	66,760	0.64
	Moi	1	6	1	0	2	10	451,849	4.36
	Nairobi	6	20	0	2	4	32	1,376,842	13.27
	Sub-Total	14	39	3	3	9	68	2,840,191	27.38
Malawi	Bunda	15	13	6	3	8	45	1,543,922	14.89
Mozambique	Eduardo Mondlane	2	2	0	0	3	7	125,970	1.21
Uganda	Makerere	5	43	7	4	0	59	3,924,597	37.84
Zimbabwe	Africa	1	1	1	0	1	4	175,200	1.69
	Zimbabwe	9	18	5	1	5	38	1,702,136	16.41
	Sub-Total	10	19	6	1	6	42	1,877,336	18.10
Malawi	Chitedzie <sup>a</sup>	0	1	0	0	0	1	60,000	0.58
Totals		46	117	22	11	26	222	10,372,016	100.00
Amounts :									
Total (\$)		214,960	8,253,110	1,679,067	141,979	82,900			
Percentage of total		2.07	79.57	16.19	1.37	0.80			
Average/grant (\$)		4,673	70,539	76,321	12,907	3,188			

a. This is a NARS located in Malawi at which the PI supervised Forum students from Bunda.

Source: Database on Forum Grants provided by the Rockefeller Foundation.

Table 2.3: Full Research and Full Continuation Grants and Amounts by University and Grantee

Country	University	Nos. of Grants	Total Funds (\$)	Average Grant Size (\$)	Number Grantees	Av. Nos. Grants/Grantee	Max. Nos. Grants/Grantee	Max. \$/Grantee	Min. \$/Grantee	Av. \$/Grantee
Kenya:	Egerton	4	260,240	65,060	4	1.0	1	74,700	47,040	65,050
	JKUAT	3	174,714	58,238	3	1.0	1	69,844	37,273	58,238
	Kenyatta	7	459,700	65,671	5	1.3	3	176,700	60,000	91,490
	Maseno	1	66,760	66,760	1	1.0	1	66,760	66,760	66,760
	Moi	7	439,649	62,807	5	1.3	3	233,900	23,604	66,760
	Nairobi	20	1,312,324	65,616	15	1.3	3	211,600	60,000	87,488
	Total	42	2,713,387	64,604	33	1.3	3	233,900	23,604	82,224
Malawi	Bunda	19	1,419,462	74,708	8	2.4	4	321,710	69,800	177,433
Mozambique	Eduardo Mondlane	2	109,370	54,685	1	2.0	1	109,370	109,370	109,370
Uganda	Makerere	50	3,832,531	76,651	20	2.5	9	833,283	64,584	191,627
Zimbabwe	Africa	2	168,000	84,000	1	2.0	1	168,000	168,000	168,000
	Zimbabwe	23	1,629,427	70,845	13	1.8	4	255,280	64,880	125,340
	Total	25	1,797,427	71,897	14	1.8	4	255,280	64,880	128,388
Malawi	Chitedzie <sup>a</sup>	1	60,000	60,000	1	1.0	1	60,000	60,000	60,000
Total		139	9,932,177	71,454	77	1.8	9	833,283	23,604	128,989

a. This is a NARS located in Malawi at which the PI supervised Forum students from Bunda.

Source: Database on Forum Grants provided by the Rockefeller Foundation.

Table 2.4: Forum Students and Their Disciplines<sup>a</sup>

Country	University	Number of Students		Crop Improvement	Crop Related	Soil Related	Social Science
		Total <sup>b</sup>	Details <sup>c</sup>				
Kenya:	Egerton	9	8	2CS	5AG	--	1AE
	Moi	12	11	--	--	4SS	5AE; 2SC
	JKUAT	2	--	--	--	--	--
	Kenyatta	7	8	--	7ZO	1EF	--
	Maseno	--	--	--	--	--	--
	Nairobi	28	20	--	3CP	10SS	6AE; 1SC
	Total	58	47	2CS	5AG; 3CP; 7ZO	1EF; 14SS	12AE; 3SC
Malawi	Bunda	26	24	8CS	1PP	13SS	2RD
Mozambique	Eduardo Mondlane	3	1	--	1EN	--	--
Uganda	Makerere	67	65	24CS; 4PB; 1PT	6AG; 5EN; 3PP	12SS	10AE
Zimbabwe:	Africa	3	3	--	--	3SS	--
	Zimbabwe	31	15	8CS	--	7SS	--
	Total	34	18	--	--	10SS	--
Total <sup>d</sup>		188	155	42CS; 4PB; 1PT	11AG; 3CP; 6EN; 4PP; 7ZO	1EF; 49SS	22AE; 2RD; 3SC
				47 (30.4%)	31 (20.0%)	50 (32.2%)	27 (17.4%)

- a. CS = Crop Science; 4 = Plant Biotechnology; 1 = Plant Tissue Culture; AG = Agronomy; CP = Crop Protection; EN = Entomology; PP = Plant Pathology; ZO = Zoology; EF = Environmental Foundations; SS = Soil Science; AE = Agricultural Economics; RD = Rural Development.
- b. Includes all the Forum students according to the booklet on Forum produced by the RF [Rockefeller Foundation, 2002].
- c. This column and the following columns were derived from the Forum web page ([http = //www. Rockforum.org](http://www.Rockforum.org)), which was not quite as up to date as the Forum booklet, when the data were abstracted. However, the data are included since it gives a breakdown by discipline.
- d. The figures in the second row indicate the total number of students and the percentage they constituted of the total number of students.

Table 2.5: The Impact of Forum as Perceived by the Participants at the Forum Regional Meeting, Entebbe, Uganda, August 12<sup>th</sup>- 16<sup>th</sup>, 2002<sup>a</sup>

Issue	1	2	3	4	5	Average
Forum's impact on:						
Cooperation between universities	34.8	43.5	21.7	0.0	0.0	1.9
Departments within the university	29.5	36.4	29.5	4.5	0.0	2.1
With non-academic stakeholders	17.1	24.4	34.1	24.4	0.0	2.7
Forum's impact on:						
Relevancy of courses taught	31.0	33.3	28.6	7.1	0.0	2.1
Quality of teaching	16.7	52.4	23.8	7.1	0.0	2.2
Relevancy of research	31.0	33.3	28.6	7.1	0.0	2.1
Quality of research	57.8	37.8	4.4	0.0	0.0	1.5
Research productivity in terms of:						
Helping improve the agriculture sector	38.6	43.2	13.6	4.5	0.0	1.8
Published papers	65.1	30.2	2.3	2.3	0.0	1.4
Retention of faculty	37.9	24.3	32.4	5.4	0.0	2.1
Forum's impact on those associated with Forum:						
Commitment/enthusiasm of faculty	48.8	43.9	7.3	0.0	0.0	1.6
Promotion of faculty	53.7	31.7	14.6	0.0	0.0	1.6
Commitment/enthusiasm of students	60.5	34.9	4.7	0.0	0.0	1.4
Employment prospects of students	19.0	52.4	23.8	2.4	2.4	2.2
Staff development in the department through employment of Forum graduates	8.6	34.3	34.3	17.1	5.7	2.8
Forum's impact on you in terms of:						
Professional development	74.4	20.9	4.7	0.0	0.0	1.3
Promotion	39.5	42.1	5.3	10.5	2.6	1.9
Job satisfaction	54.1	40.5	2.7	0.0	2.7	1.6

a. The participants ranked their responses to each of the issues in terms of the following scale: 1 = outstanding, 2 = major, 3 = some, 4 = a little, 5 = not at all. The number of individuals responding to each issue varied between 35 and 46.

Source: Forum Meeting Attendee Survey (Appendix C4).

Table 2.6: Allocation of Research Associated Funds by Subject Area

Subject	---- Number of Grants ----		Amount (\$)	Percent of \$
	Total <sup>a</sup>	Research <sup>b</sup>		
Animal Science	4	2	101,088	1.0
Primarily Crop Related:				
Crop Improvement	20	16	1,244,618	12.0
Crop Improvement and Soil Science	2	1	41,019	0.4
Crop Improvement and Plant Protection	2	2	150,000	1.4
Crop Management	35	16	1,229,364	11.9
Crop Management and Soil Science	37	19	1,402,208	13.5
Plant Protection	58	40	2,982,590	28.8
Sub Total	154	94	7,049,799	68.0
Primarily Soil Related:				
Soil Science	8	8	636,513	6.1
INM	8	8	511,977	4.9
NRM	22	12	893,199	8.6
NRM and Soil Science	1	1	120,600	1.2
Sub Total	39	29	2,162,289	20.8
Primarily Social Science Related:				
Economics	1	1	69,640	0.7
Economics and Social Science	24	13	989,200	9.5
Sub Total	25	14	1,058,840	10.2
Total	222	139	10,372,016	100.00

a. Includes preparation, supplementary, supervision, full research and full continuation grants.

b. Includes full research and full continuation grants only.

Source: Database on Forum Grants provided by the Rockefeller Foundation.

Table 2.7: Papers Produced by the Forum Principal Investigators<sup>a</sup>

Country	University	----- Journal Articles -----		Book Chapters	Conference Proceedings	University Publication	Total
		International	Regional				
Kenya:	Egerton	--	2	--	--	--	2
	Moi	--	2	2	1	--	5
	JKUAT	--	--	--	--	--	--
	Kenyatta	--	--	--	--	--	--
	Maseno	--	--	--	--	--	--
	Nairobi	2	3	2	2	--	9
	Sub Total	2	7	4	3	--	16
Malawi	Bunda	2	7	--	2	1	12
Mozambique	Eduardo Mondlane	--	1	--	--	--	1
Uganda	Makerere	9	34	--	24	1	68
Zimbabwe	Africa	--	1	--	1	--	2
	Zimbabwe	6	15	--	3	--	24
	Sub Total	6	16	--	4	--	24
Total		19	65	4	33	2	123
Others	Forum staff and consultants	1	4	2	1	--	8

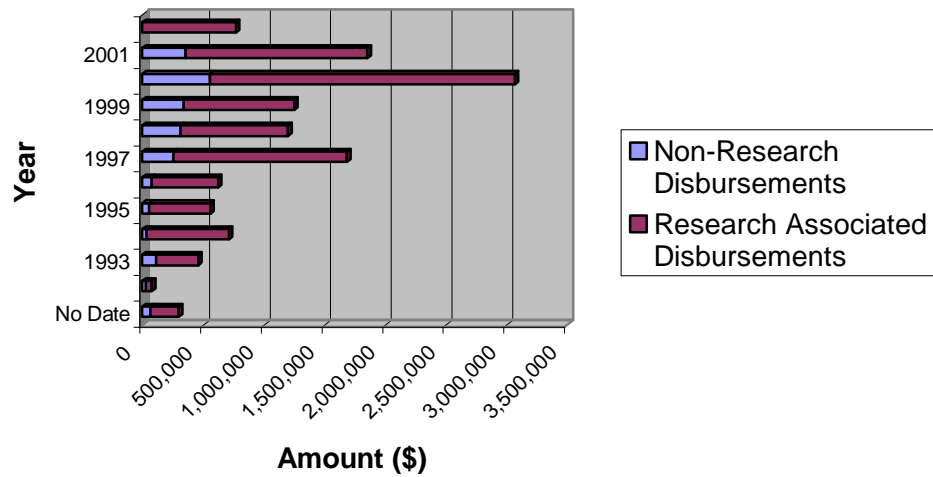
- a. Many of these papers were co-authored with Forum students. The information in this table was downloaded from the Forum web page (<http://www.rockforum.org>).

Table 2.8: Employment of Forum Graduates

Organisation	Percent of Forum Graduates Employed
Advanced Degrees	18
Government Service	12
Industry	12
NGOs	14
Research Organisation	26
Universities	18

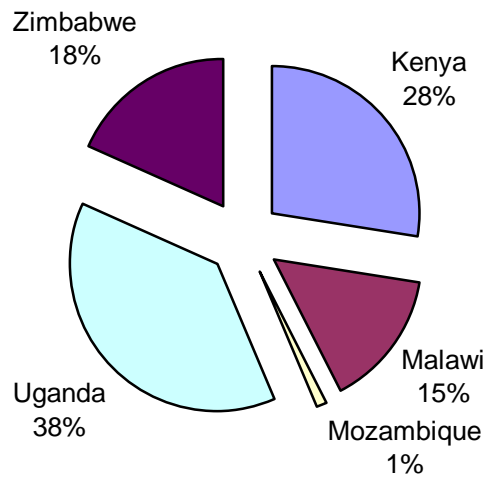
Source: Patel, Kiragu and Woomer, 2002.

**Figure 2.1: Disbursements under the Forum Programme**



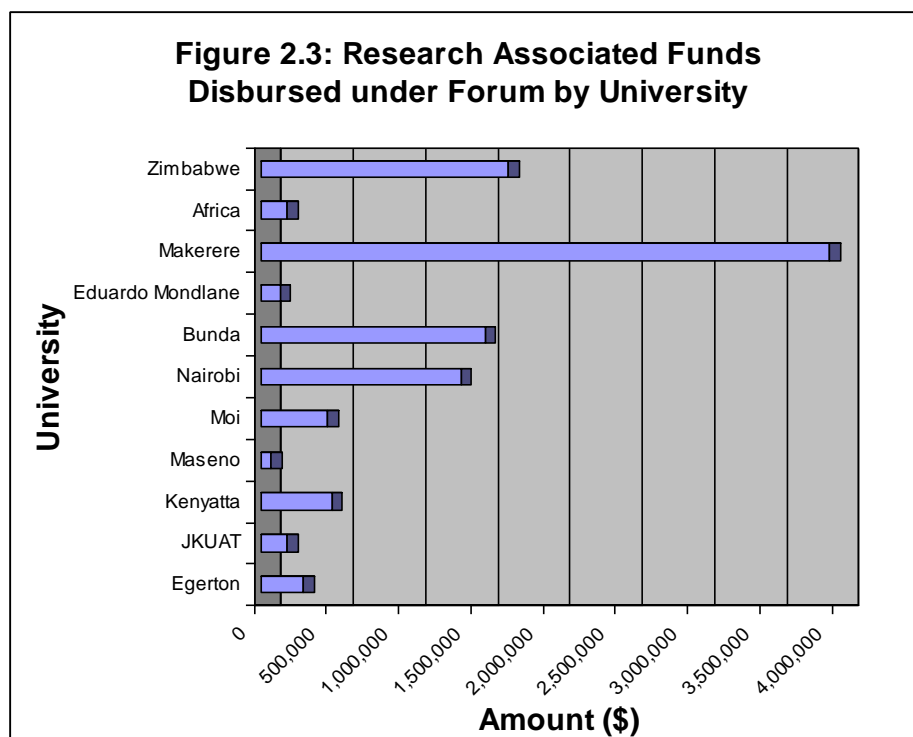
Source: Database on Forum Grants provided by the Rockefeller Foundation.

**Figure 2.2: Research Associated Funds Disbursed in the Forum Programme**

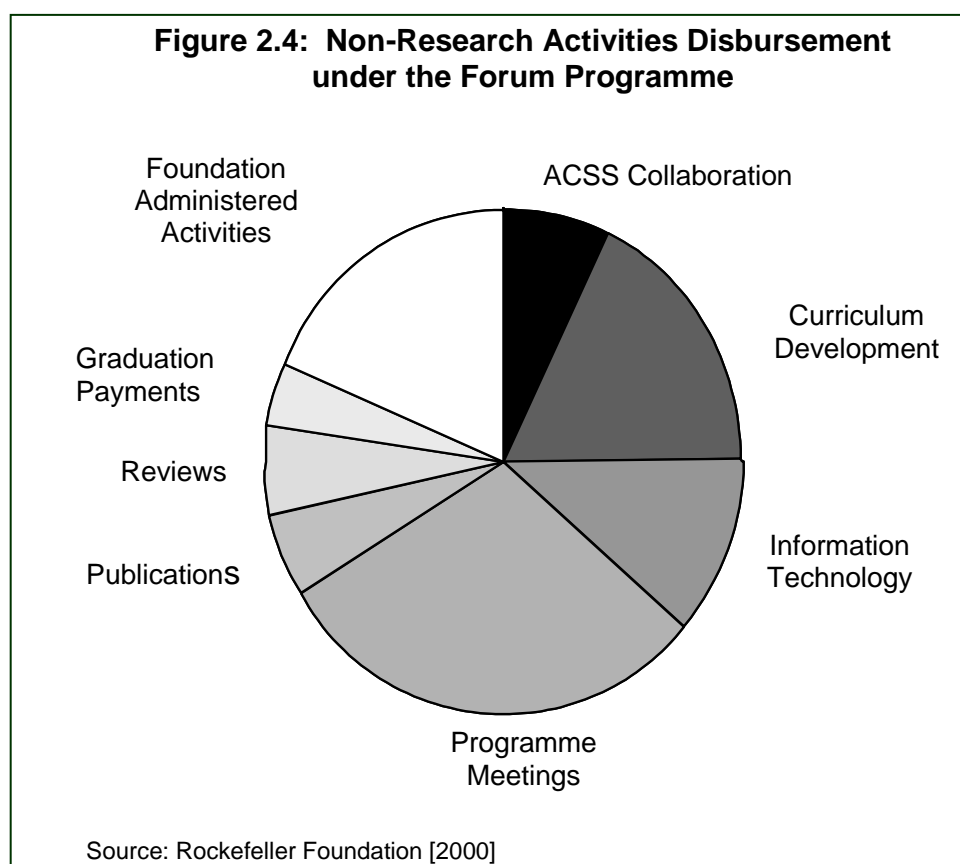


Source: Database on Forum Grants provided by the Rockefeller Foundation.





Source: Database on Forum Grants provided by the Rockefeller Foundation.



## 3. THE CURRENT FORUM AND IMPLICATIONS FOR THE FUTURE

### 3.1 INTRODUCTION

In this chapter we look at the strengths and weaknesses of Forum as it currently operates both from an administrative and professional viewpoint.<sup>16</sup> We assess the implications of these in terms of the imminent devolution of Forum and make suggestions/recommendations on what should be done to ensure that Forum continues to be as effective and productive in the future. We base the material presented in this chapter on what we have read, discussions we have had during our visits to the different Forum universities and the points made by the respondents to the survey that was administered to the participants at the Forum Regional Meeting held in Entebbe, 12<sup>th</sup> – 16<sup>th</sup>, August, 2002 (i.e., the Forum Meeting Attendee Survey in Appendix C4) . With respect to this the perceived strengths of Forum are indicated in Table 3.1, and the perceived weaknesses are presented in Table 3.2.<sup>17</sup> The respondents' responses to the administrative and professional changes required in Forum (Table 3.3) and the issues that need addressing in the devolution of Forum (Table 3.4) naturally tend to be somewhat linked to the weaknesses presented in Table 3.2. We recognise that in this chapter there is some repetition of what has been stated in Chapter 2, but we thought this was justifiable because of the need to clearly identify the strengths and weaknesses in order to help identify what needs to be done in the future – in terms of safeguarding the former and finding ways to overcome the latter.

### 3.2 ADMINISTRATION

#### 3.2.1 Strengths

In terms of administration of the Forum many of the strengths have been explicitly or implicitly indicated in the preceding chapter (i.e., Chapter 2) and some are indicated in Table 3.1. Some of the most important ones can briefly be summarised as follows:

- The characteristics and operational style of the current Forum Coordinator.
- The relatively hands off approach to supervision and accountability on the understanding that recipient departments and grantees will act with integrity, commitment and responsibility.
- The rigorous review process (i.e., both external and increasingly internal) and increased open professional debate and dialogue between researchers on professionally related matters.
- Transparency in Forum related matters.
- Improved equipment availability in departments receiving grants from Forum.
- Improved collaboration between universities (i.e., helped by the biannual regional meetings) and within universities.

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<sup>16</sup> On occasion we have had problems differentiating between administrative and professionally related issues. Obviously administrative related decisions have an impact on what can be done professionally, hence making the boundary sometimes difficult to define. Therefore excuse us if something listed under the former might have been more appropriately put under the latter.

<sup>17</sup> It is important to note that because the tables present results of a survey there is likely to be some inconsistency in terms of the results in that what one respondent perceives as a strength may be perceived a weakness by another respondent. However, in general it is reasonable to put more weight on the response which most respondents support.

- As indicated earlier (Section 2.5.2), the Forum has not only been product oriented but also just as important has been the objective of building capacity within the faculty themselves.<sup>18</sup>

### **3.2.2 Weaknesses/Problems/Concerns**

As far as weaknesses in the administration of Forum, Table 3.2 gives those perceived by the respondents to the survey referred to earlier. Based on those and discussions during our trips to the different locations, the most important ones that were raised appear to be:<sup>19</sup>

- Forum providing no support for Ph.D work.
- Grants being too small and lasting only for two years.
- Problems with respect to students (i.e., some not knowing their rights at the time of recruitment, differentiation in terms of allowances/stipends given to students, sometimes lack of, or limited access to, equipment purchased with Forum funds, sometimes lack of transparency between the PIs and their students, scheduled courses/classes not being held, etc.).
- Supervision allowances not always being equitably distributed between supervisors and their collaborators.
- Accessibility to equipment and computers difficult in some institutions despite funds having been approved for their purchase.

Before discussing implications and recommendations with respect to devolution, we wish to point out a couple of other administrative related issues that are raised in Tables 3.3 and 3.4. These refer to the need to:

- Revamp the biannual review meetings.
- Be fair/equitable in the allocation of resources.

A number of entries in the two tables relate to what we discuss in the next section.

### **3.2.3 Implications/Recommendations with Respect to Devolution**

Perhaps the first and most important point to make is that with the administrative devolution of Forum to outside the RF it will be more difficult to ensure that the strengths of Forum as currently perceived will continue. The RF and the Coordinator in particular, were almost unanimously considered to be unbiased and impartial in the administration of Forum. Handing administrative responsibility over to an African entity and non-RF Coordinator will undoubtedly engender concerns about transparency, equitability, and accountability. In other words, there will have to be more explicit and formal strategies put in place to ensure the strengths continue to be a hallmark of Forum. In fact a look at some of the entries in Tables 3.3 and 3.4 indicate some concerns and ways in which those can be addressed.

Four very obvious strategies that, as a result, we believe will be needed are that:

- The Forum Secretariat will need to appear to be operating independently of any Forum associated department/university.
- In terms of the Coordinator:
  - ◀ His/her appointment will need to be transparent and be the result of a formal and open application procedure.

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<sup>18</sup> Also, as indicated earlier (see Section 2.5.1), there is some concern whether it will be possible to maintain the latter in the future as other donors are likely to be more results oriented – that is in terms of producing products.

<sup>19</sup> An additional one occasionally mentioned was a lack of contact and exchange with RF staff.

- ◀ Appointment will need to be the responsibility of the Executive Board (see below) and would be on a renewable contract basis.<sup>20</sup>
- ◀ He/she preferably would have a proven track record of association with Forum and would have demonstrated professional and leadership qualities as well as being personable, honest, diplomatic and transparent.
- ◀ He/she will need to be employed full time because of not only having responsibility for administering Forum, but also for identifying and attracting funds from other donors.
- To make communication easier and more efficient the Forum Coordinator will liaise with individual universities via Forum National Coordinators (i.e., who will receive small stipends from Forum) (see Section 3.3.3).
- The Forum will have a:
  - ◀ Steering Committee in place of the current Advisory Committee, which would have greater responsibility and powers and would be responsible for supervising/guiding the Forum Coordinator and Secretariat. It would meet twice a year.
  - ◀ Executive Board with donor representation that would provide an advisory and monitoring function. It would meet once per year.

Details on the *modus operandi* of the above are deferred to a later section (i.e., Section 4.4.1). However the basic point is that the new Coordinator, when appointed, would have less flexibility and more accountability than has been the case to date. This is not only for his/her own protection, but is also designed to avoid possible criticisms relating to bias and/or lack of transparency.<sup>21</sup>

#### **Recommendation 3.2.3A:**

*The appointment of the Forum Coordinator should be transparent and as a result of a formal and open application procedure. The appointment will be the responsibility of the Executive Board of Forum, be full time, and on a renewable contract basis. Desirable credentials of the Coordinator are: proven track record of association with Forum; having demonstrated professional and leadership qualities; and characteristics such as being personable, honest, diplomatic and transparent.*

#### **Recommendation 3.2.3B:**

*The Forum Coordinator who will both manage the Forum and be instrumental in identifying and raising funds from other donors, will liaise with individual universities via Forum National Coordinators on matters other than those dealing with individual PIs. To protect the Forum Coordinator and the interests of the beneficiaries, the Forum Coordinator will be answerable to a Steering Committee which will provide guidance and supervision, particularly in the research area, and an Executive Board which will provide a fiduciary/monitoring function.*

Three other issues that we believe will need to be addressed relate to the following:

- **Continuing Rigorous Review of Research Proposals.** It will be important to encourage, as is currently being done in some universities (e.g., Makerere), an internal review process via faculty Research Committees to be institutionalised before the proposals are submitted to an external review process. The external review process would ultimately be the responsibility of the Steering Committee (see Section 4.4.1) and they would have the final say – and not the Forum Coordinator -- in deciding whether the proposal should be funded or not. There would also be

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<sup>20</sup> Since at the time of the appointment of the first Forum Coordinator after devolution, there will only be two people on the Executive Board (i.e., the RF representative and the VC of Makerere) (see Section 4.4.1), we propose the old AC members are also included in the selection process.

<sup>21</sup> This becomes even more critically important given the recommendation in a later section that the Coordinator and Forum Secretariat be located in a university location (see Section 4.2.2).

merit sometimes for some form of dialogue between the reviewers themselves to select/adjust evaluation criteria, and address concerns relating to the reviewing process.

### **Suggestion 3.2.3A:**

*There would be merit in encouraging formation of Forum Research Committees in Faculties of Agriculture, one of the functions of which would be to institutionalise the internal peer review of research proposals before they are forwarded to the Forum Secretariat to be evaluated for possible funding.*

- **Accountability for Purchasing of Equipment and Use of Funds.** Much more careful monitoring of equipment purchases and the use of funds will be necessary not only to ensure transparency within Forum but also because other donors are likely to require more formal accountability systems than has been the case of the RF.
- **Revamping the Regional Meetings.** The objectives of the biannual regional meetings are the following:
  - To encourage professional interaction and constructive criticism/dialogue between scientists and their students from different universities and countries.
  - To provide an opportunity to identify missing gaps, to avoid overlaps in activities, and to work out possible collaborative links.

Undoubtedly in many respects these biannual regional meetings have been a great success and have provided a very important service. However, it is now apparent that some issues are arising that need to be addressed, such as:

- They are becoming very big and expensive.
- It has perhaps become too inclusive of scientists and students and, as a result, some of the papers are not up to standard.
- Collaborators and stakeholders are not represented at the meetings.

We, therefore suggest that consideration be given to the following two strategies:

- Now that there is a critical mass in a number of areas, replace the biannual regional meetings with biannual thematic meetings (e.g., soil fertility and conservation, pests and diseases, agroforestry, etc.) at which there are, in addition, invited papers by eminent scientists and also collaborators are invited. Such meetings would provide an opportunity for preparing synthesis papers and for meetings of reviewers of proposals in the subject area of the thematic meeting. These activities could help form the basis for developing regional/subject area research priorities that address outstanding issues/gaps.
- Place greater emphasis on in-country meetings to which stakeholders and collaborators are invited, and are asked to participate/contribute. Such meetings would provide the potential for strengthening the research to dissemination link. A good example is in Western Kenya where there is a consortium for helping determine research agenda relating to the soils work, supported by the RF under another initiative. This is also being linked to dissemination activities.

Such a change in emphasis would have the following advantages:

- It would increase the degree and intensity of interaction between the participants (i.e., the researchers – both faculty and students) interested in a particular theme.
- It would potentially help improve the rationalisation and prioritisation of research.
- It would, through great involvement of collaborators and stakeholders potentially improve linkages and help strengthen the research to dissemination link therefore improving the chances of having/demonstrating a favourable impact on farmers' welfare.

### **Suggestion 3.2.3B:**

*Because of the rapidly increasing size and expense of the regional biannual meetings, consideration should be given to de-emphasising them and placing greater emphasis on thematic regional meetings and in-country meetings where collaborators and stakeholders have greater visibility and involvement.*

The RF Programme Officers in the Food Security Programme responsible for the three strategic research thrusts (see Section 1.4) could be encouraged to attend the thematic meetings and the in-country meetings, particularly in the RF focus countries, once they have been selected.

There are two issues that have arisen but we believe Forum should resist making major changes in terms of accommodating them. These together with our reasoning are as follows:

- **Supporting Ph.Ds**, We believe Forum, as it is currently focussed and formulated, should avoid supporting Ph.D level training. Our reasons for not recommending this are as follows:<sup>22</sup>
  - ◀ Since Forum is often the only major donor for some departments, it is natural for requests to be made to solve other problems in those departments. Hence, requests for funding that divert Forum from its major focus should be resisted since Forum cannot be expected to solve all the problems of such departments.
  - ◀ Forum as it is currently constituted has very limited funds and diverting funds for Ph.D training would mean sacrificing funds intended for M.Sc level training.
  - ◀ Potentially funds for Ph.D training are available from other sources in the RF -- for example, possibly under initiatives relating to the new strategic research thrusts being developed for the region (see Section 1.4).
  - ◀ Discussions with employers and potential employers during our field trips clearly indicated that there was a continuing demand for the type of M.Sc graduates produced under Forum sponsorship.

### **Recommendation 3.2.3C:**

*To avoid dilution of the Forum target clientele (i.e., Forum trained M.Sc students) requests for funding Ph.Ds with RF supplied Forum funds should continue to be resisted. Instead other funding sources should be sought. It is important for Forum to remain focussed on its basic objectives and mandate, if impact is to be demonstrated.*

- **Fairness/Equitability in the Distribution of Resources**. As was indicated earlier (see Section 2.3.3 and Table 2.3) there is a wide variation in the institutional distribution of research resources. This is not altogether surprising given the operational mode of Forum which uses a competitive grant approach in distributing research resources. Obviously academically stronger universities and differences in leadership/entrepreneurship qualities are likely to favour certain universities over others. We believe on balance this has been one of the strengths of Forum and we don't believe the principle should be changed. However, we are conscious of the fact that under such a system certain universities may have less chance of getting any research grants while others may get too large a share. Therefore we propose that a decision is made by the newly constituted Forum Steering Committee on the percentage allocation of research funds. We suggest:
  - ◀ That 80% of the research funds should remain in the competitive grant pot and that up to 20% of the research funds should be allocated to the more disadvantaged universities (i.e., defined as receiving less than 3% of the research funds available for distribution in any funding cycle)<sup>23</sup> in terms of number of Forum grants providing they have satisfactory research proposals (see below).

<sup>22</sup> Note that this is opposite of what was recommended in the 1998 review of Forum [Ekwamu, Kanyama-Phiri, Karanja, Mpepereki, and Norman, 1998] – see Suggestion 3.2 in Appendix B.

<sup>23</sup> However, eligibility for such special treatment should be guided by explicit criteria, which includes, *inter alia*, demonstrated interest in participation in Forum and capacity deficiencies.

- ◀ That no university should receive more than 30% of the research funds being allocated under the competitive grant component (i.e., 30% of the 80% is 27% of the overall research funds) in any funding cycle (see below).<sup>24</sup>
- ◀ In the allocation system preference should be given, all other things being equal, to new potential grantees and to those who have benefited less from Forum in the past.

The objective of the above is to preserve the competitive grant situation but at the same time to nurture capacity building in the more disadvantaged universities (e.g., Eduardo Mondlane). Using the above guidelines the principle that could be used in allocating funds could be as follows:

- ◀ At the time of each new funding cycle (see Section 4.4) the decision is made as to how many worthy research proposals can be funded.
- ◀ The research proposals considered worthy of funding are then ranked. Provisionally all those ranked from the top down to where the research budget is exhausted are selected for funding.
- ◀ However:
  - If one of the universities would have more than 27% of the overall research funds then one or more of the research proposals should be deselected (e.g., give priority to those proposals that have been submitted by those who have benefited least from Forum).
  - If a disadvantaged university is not represented in that list then a search is continued further down the list of acceptable proposals to identify if there is one that pertains to that institution. If there is one then it is accepted for funding and one of those provisionally approved for the institution with most grants in the provisional list is withdrawn. If there is not one, then the Forum Coordinator would be expected to visit the institution in question to see if anything can be done to help that institution develop acceptable research proposal(s) that could be supported in the next funding cycle.<sup>25</sup>

### **Recommendation 3.2.3D:**

*Forum should continue adhering to the competitive grant system for funding research proposals. However, a small proportion of the funds (e.g., up to 20% in any funding cycle) should be reserved for the more disadvantaged universities to help develop capacity providing they produce satisfactory peer-reviewed proposals. Also for equitability purposes an upper limit should be placed on funding proposals from any one institution in any funding cycle (e.g., not more than 30% of the remaining 80% of the funds).*

## **3.3 POSTGRADUATE TRAINING**

### **3.3.1 Strengths**

There are a number of strengths as far as M.Sc level of training under Forum is concerned. Some of the more important ones are as follows:

- The best graduates at the B.Sc level are selected as Forum students – it is considered prestigious to be selected.
- Provision of full scholarships enables students to concentrate full time on their studies.<sup>26</sup>

<sup>24</sup> However, if this would mean that there would be uncommitted research funds in any funding cycle, then this rule could be temporarily suspended so that all available funds are committed.

<sup>25</sup> One possible way to do this would be to try and develop joint projects in collaboration with a stronger institution where there is resident expertise in the research topic being addressed. That could be with a Forum university or with a university outside Forum.

<sup>26</sup> In contrast, self-sponsored students often interrupt their studies to earn their keep. It has been observed in many universities students who are fully funded perform better in their examinations than self-sponsored ones. For example, at Makerere fully funded Forum students studying agricultural economics have been shown to do better than self-sponsored ones.

- Exposure of students to the organisation and management of research has helped develop and strengthen their leadership qualities.
- Sponsorship under Forum enables purchase of necessary equipment for the department and the mounting of short courses to address needy areas (e.g., biometrics, proposal writing and participatory rural appraisal (PRA)).
- The students have highly appreciated opportunities for field attachments including a few outside their countries (e.g., the UK and South Africa).
- Participation in conferences and workshops by the students has greatly improved their communication and presentation skills.
- Forum graduates have learnt a great deal about time management and working to tight and demanding schedules.
- Forum graduates have established a good reputation in the job market.

### 3.3.2 Weaknesses

Although unquestionably there has been demonstrated success in training Forum sponsored M.Sc degree students, there are also some apparent weaknesses. Some of the most significant ones are as follows:<sup>27</sup>

- Slow acquisition of the equipment and chemical reagents by some faculties has adversely affected the timely completion of students' research. Also it appears students' access to equipment and computers in a few universities is not optimal.
- Course postponements and missed classes sometimes occur because of other commitments on the part of lecturers disrupting students' progress and leading to delays in the completion of their degrees.<sup>28</sup> The students in such circumstances have found it very difficult to reschedule their lectures and at the same time run their experiments in the field.
- Although student seminars are useful, their supervisors often don't attend thus failing to be supportive, helpful and missing an opportunity to provide guidance.
- In a few cases there is evidence that students don't get experience in writing up their research proposals because this has already been done by the PI in the main grant proposal.<sup>29</sup>
- While most employers in the private sector found Forum students to be practical and well grounded in their specialisation, they also found them sometimes to be weak in writing and management and understanding of such issues as marketing, developing budgets and business plans and simple economic data analysis.<sup>30</sup>
- As the PIs become more proficient in proposal writing for donor funding, some are becoming over-stretched as they manage multiple grants. This has sometimes adversely affected supervision of students' work in the field. There is a need to strike a balance between the numbers of grants that a PI can manage without sacrificing students' interests.

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<sup>27</sup> A problem specific to UZ is that approval of M.Phil. thesis proposals tends to be a lengthy process resulting in students losing valuable time that could be devoted to research.

<sup>28</sup> Rescheduling of classes so that they don't conflict with the research programme sometimes then become a problem.

<sup>29</sup> Apparently sometimes the PIs get finishing Forum students to help in developing their next research proposals.

<sup>30</sup> This is not likely to be such a problem at Eduardo Mondlane where an M.Sc in rural development is in the process of being introduced.



### 3.3.3 Implications/Recommendations with Respect to Devolution

Obviously in thinking about the future the strengths of the current Forum M.Sc degrees need to be preserved.

With respect to broadening the skills of students to enable them to perform adequately outside the university in a rapidly changing environment, there would be merit in considering the possibility of mounting a service type course that could address such issues as management and understanding of topics such as marketing, developing budgets and business plans and simple economic analysis, that would be taken by all students.<sup>31</sup> This is of course linked with the recently initiative on curriculum review, which should be completed and should address ways to:

- Overcome areas already identified to be weak (e.g., biometrics especially as applied to on-farm research, use of computers and internet).
- As indicated above to address the new realities in agriculture in the Forum countries as a result of the globalisation of trade.

#### **Suggestion 3.3.3A:**

*Because many of the Forum graduates are employed outside academia, consideration should be given to mounting a service type course to be taken by all graduate students. Such a course could address topics such as management and understanding of issues such as marketing, developing budgets and business plans, and simple economic analysis.*

#### **Suggestion 3.3.3B:**

*The recent curriculum review initiative should be completed with the aim of developing ways to overcome perceived gaps and defects in training and to address the new realities in agriculture in the Forum countries as a result of the globalisation of trade.*

We wish to make one further point concerning training and courses. There is evidence that some universities are developing centres of excellence in specific fields (e.g., Makerere in biotechnology, UZ in rhizobia/nodulation). It would be very desirable in the future for the Forum community to explore ways to exploit these centres of excellence by ‘seconding’ students and possibly even PI’s to such centres for short periods to learn about the techniques being used, take advantage of courses in the subject area, etc.

#### **Suggestion 3.3.3C:**

*As universities develop centres of excellence in specific fields, it would be very desirable for the Forum community to explore ways to exploit them by ‘seconding’ students and possibly even Principal Investigators to them for short periods to learn about the techniques being used, take advantage of courses in the subject area of excellence, etc.*

Access to current professional literature continues to be an issue in all the Forum universities. Such access is a critical ingredient in facilitating quality research on the part of students and their supervisors. Therefore Forum should continue in subscribing to TEEAL when necessary.

#### **Recommendation 3.3.3A:**

*Because access to current professional literature is critically important in facilitating quality research on the part of students and their supervisors, Forum should continue subscribing to TEEAL on behalf of the universities, if the universities are unable to meet the costs.*

To help in liaising between the Forum Coordinator and the different universities, and in overcoming some of the currently perceived weaknesses associated with implementation of grants, Forum Faculty Coordinator (FFC) and Forum National Coordinator (FNCs) positions should be established:

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<sup>31</sup> However, as indicated earlier (see Section 3.3.2) this may not be necessary in the case of Eduardo Mondlane where deficiencies are more likely to occur in specialised subject matter areas which provide the focal point of students’ research topics.

- FFCs could also provide a point of contact for students with problems and could also have responsibility for ensuring equitability of treatment of students within each university. Overseeing student related issues seem to be a major problem in some universities (see Tables 3.2 and 3.3). The PIs, chairpersons of the departments in which there are Forum initiatives, and the Dean of the Faculty of Agriculture in each university, should elect the FFCs. The FFCs must be, or have been in the past, PIs. They will have three-year terms and will be rewarded with a small annual stipend to be paid from Forum funds.<sup>32</sup>
- In most of the countries the FFC will also *de facto* be the FNC. However, in countries with more than one university affiliated with Forum (i.e., Kenya and to a much lesser extent, Zimbabwe) it will be necessary for the universities in the country to select a FNC from amongst its FFCs to provide a point for the Forum Coordinator. It is suggested that the current and former PIs are responsible for electing that person.

The FFCs would thus act as an Ombudsman for the students, ensure equitable treatment of students within the university, encourage optimal PI/student and PI/PI interactions (e.g., organise joint field days, in-country meetings (see Suggestion 3.2.3B)), facilitate student seminars and encourage faculty attendance, monitor the purchase of equipment to avoid duplication, ensure equitability of access to such equipment by students, etc. In addition FNCs would act as the point of contact for the Forum Coordinator for matters that are not specific to individual PIs or students.

### **Recommendation 3.3.3B:**

*Forum Faculty Coordinators (FFCs), with a small annual stipend, should be elected for three-year terms for each Forum university. They will also de facto become the Forum National Coordinators (FNCs) if there is only one Forum associated university in the country. If there is more than one university in the country then one of the FFCs should be elected the FNC for that country. The functions of the FFCs would be to act as an Ombudsman for the students, to ensure equitable treatment of students within the university, to encourage optimal PI/student (e.g., facilitating student seminars and encouraging faculty attendance), PI/stakeholder and PI/PI (e.g., organising joint field days, in-country meetings (see Suggestion 3.2.3B)) interactions, to coordinate the purchase of equipment to avoid duplication, and to ensure equitability of access to such equipment. In addition FNCs would act as the point of contact for the Forum Coordinator for matters that are not specific to individual PIs or students.*

In addition to the above recommendation which is designed in part to address the concerns of students there would be merit in the Forum Secretariat giving every newly appointed Forum student a letter indicating his/her rights as a recipient of a Forum scholarship. This would be in addition to letters produced by the university.

### **Suggestion 3.3.3D:**

*To help ensure transparency as far as students are concerned the Forum Secretariat should give every newly appointed Forum student a letter indicating his/her rights as a recipient of a Forum scholarship. This would be in addition to letters produced by the university.*

## **3.4 PROFESSIONAL ACTIVITIES**

### **3.4.1 Strengths**

With reference to the professional activities of the Forum once again many of the strengths have been explicitly or implicitly indicated in the preceding chapter (i.e., Chapter 2) and some are indicated in Table 3.2. Some of the most important ones can briefly be summarised as follows:

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<sup>32</sup> This should be a sliding scale according to the size of the Forum Programme, perhaps with a maximum annual stipend of \$1,200 per year.

- Rigorous external review of the proposals facilitates high quality research.<sup>33</sup>
- It has enabled Forum associated departments and grantees to mount relevant and quality postgraduate training/research initiatives and through the publications that have resulted, has contributed to the human capital development and improved promotion prospects of the grantees.
- It has encouraged an emphasis on applied/adaptive research that can help small resource-poor farmers who constitute the majority of farmers in the Forum countries.
- It has encouraged the participatory involvement of farmers in the whole research process (i.e., problem identification, technology design, and testing and validation on farm).
- It has encouraged multidisciplinary research on a diverse set of topics.
- It has encouraged collaboration and linkages with agricultural development stakeholders outside the universities.
- The focus of Forum on limited objectives has contributed to its evident progress.

### 3.4.2 Weaknesses/Problems

With reference to weaknesses in the professional activities, Table 3.2 gives those perceived by the survey respondents. Based on those, information presented in Chapter 2, and discussions during our trips to the different locations, the most important ones appear to be:

- Some believe that there are problems with the mandate of Forum -- it is too narrow:
  - ◀ That is, there is a limited role for animal science<sup>34</sup> and no explicitly mentioned role in the Forum brochure for aquaculture, smallholder dairy production, and food processing technology, in spite of such areas being contributors to food security and changing needs at the national level.<sup>35</sup>
  - ◀ Because the mandate starts with a crop sciences mandate it is difficult for some areas to find a niche (e.g., agribusiness).
  - ◀ It should include support some basic/strategic type research.<sup>36</sup>
- Forum support in the socioeconomics area continues to be under-represented in the Forum research agenda.<sup>37</sup>
- Despite Forums' emphasis on participatory and collaborative research, this has had little influence on planning and management of research within faculties. Individual type projects are still the norm with, generally, little explicit effort to encouraging joint research projects.<sup>38</sup>
- Although there is some collaboration among the scientists in specific universities and with collaborators outside the university within the same country, there is less collaboration between universities in the same country or in the region.
- The link between the completion of the technology development stage and its dissemination is fragile and weak, and needs strengthening.

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<sup>33</sup> Quality research proposals are being received in increasingly large numbers. For example, in 2002 only 60% of the good proposals have been funded because of insufficient funds available for research.

<sup>34</sup> For example, only 2% of the research oriented papers presented at the Forum Regional Meeting held in Entebbe in August, 2002, related to animal science.

<sup>35</sup> For example, production of fish in ponds on smallholder farms is becoming commonplace in Malawi and Kenya, and aquaculture is being taught at Bunda and Moi.

<sup>36</sup> In fact it does in the case of biotechnology.

<sup>37</sup> For example at the Entebbe meeting 22% of the research oriented papers dealt with socioeconomic related topics while 50% of the papers were crop related and 28% of the papers were soil and water related.

<sup>38</sup> There are, however, a few exceptions (e.g., development of a shortly to be released cowpea variety at Makerere and Zimbabwe's Chinyika Resettlement Project).

### 3.4.3 Implications/Recommendations with Respect to Devolution

Discussion on the issue of the mandate of Forum and encouragement of socioeconomic research is postponed until the next section (Section 3.5).

Apart from that, our suggestions with respect to professional activities, as far as the future of Forum is concerned, are the following:

- The focus on participatory adaptive/applied research involving farmers and emphasis on developing collaborative working relationships with other agricultural development stakeholders should continue.
- Encouragement of multi- or preferably interdisciplinary type projects should also continue. One way of doing this, while at the same time addressing the issue of small grants raised in the previous section (Section 3.2.2),<sup>39</sup> would be in faculties, that have attained a critical mass of scientists and a mix of disciplines, to develop ‘umbrella’ type projects in which teams of scientists could work together in generating integrated solution(s) to a specific problem or problems or to dealing with issues relating to a specific location (e.g., as is being done in the case of the Chinyika Settlement Area). Such projects would help researchers to address farmers' problems in a more holistic manner. Such an arrangement would also enhance and institutionalise collaboration among the scientists.

#### Recommendation 3.4.3A:

*The current focus of Forum on participatory adaptive/applied research involving farmers and emphasis on developing collaborative working relationships with other agricultural development stakeholders should continue. Multi- or preferably interdisciplinary type projects should also continue to be encouraged. To help facilitate a more holistic approach to problem solving and to facilitate demonstration of impact, ‘umbrella’ type projects in which teams of scientists work together in generating integrated solution(s) to a specific problem or problems or to dealing with issues relating to a specific location, should be considered.*

- Based on the reservoir of research expertise that has evolved in the Forum research community over the last decade, there would be merit in exploring the formation of national and even regional research working groups to collaborate on developing appropriate solutions to specific identified problems. Such research could focus on areas such as grain legumes, integrated pest management, biotechnology, socioeconomics and soil fertility management. Such working groups could collectively develop a regional research proposal for possible donor funding. This could obviously be linked with the regional thematic meetings proposed in an earlier section (see Section 3.2.3 and Suggestion 3.2.3B).

#### Suggestion 3.4.3:

*Given the suggestion about holding regional thematic meetings (Suggestion 3.2.3B) there would be merit in using them to synthesise findings, identify research gaps and to ‘institutionalise’ working groups that could develop regional research proposals which could be submitted for donor funding via the Forum Secretariat.*

- Forum needs to pay greater attention to the link between the final stage of technology development and the dissemination of the technology/technological package. This is particularly important since demonstrating impact is likely to be instrumental in attracting funding from donors other than the RF. Two initiatives that would be highly desirable with respect to this are:

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<sup>39</sup> A related issue that we did not discuss earlier is the importance of ensuring a congruency between the release of funds and the onset of the growing (i.e., rainy) season.

- ◀ Encourage the development of extension materials/leaflets that can be given to extension staff, NGOs, etc.<sup>40</sup> Whenever possible, the production of these should be a collaborative effort between the scientists and extension agents.
- ◀ Funding under Forum grants should, whenever appropriate, be included for activities that nurture the research/dissemination linkage and advertise the results from applying the technology (e.g., farmer field days, visits by extension staff).

#### **Recommendation 3.4.3B:**

*Demonstrating impact (i.e., articulated in terms of improvement of farmers' welfare), resulting from Forum sponsored research activities, is important in attracting additional donor funds. Therefore greater emphasis needs to be placed, when appropriate, on using Forum resources to nurture the research/dissemination linkage to facilitate attainment of impact. Therefore it is reasonable in the grant requests submitted to Forum to include requests for funds, when relevant, for producing extension oriented materials, holding farmer and extension training workshops, etc.*

### **3.5 ADJUSTMENTS REQUIRED IN FORUM VISION/PRIORITIES?**

As Forum moves into its next phase it will be critically important to take a close look at the Forum research mandate. There are three reasons for this:

- To take into account the changing realities. Food security which is central to the research mandate is defined in much wider terms than maize and banana based cropping systems.
- To provide a sufficiently broad but still focussed mandate that is likely to be of interest to, and sufficiently flexible to accommodate the interests of donors other than RF.
- There is need for the research mandate to be specifically aligned with the priorities and prospects of the Forum countries. For example, there are large areas of all the Forum countries where sorghum and millet cropping systems are dominant.

Therefore we believe that there should no longer be such an explicit emphasis on maize and banana-based cropping systems in defining the forum research mandate. Rather the main emphasis should be the enhancement of food security and sustainable livelihoods in smallholder farming systems. Based on this principle, research on food based and other types of cropping systems, aquaculture, smallholder dairy production, small ruminants, as well as natural resource management and agroforestry, and policy related matters could be implemented under the revised Forum mandate.

#### **Recommendation 3.5A:**

*Thought should be given to adjusting the Forum research mandate so that its main emphasis is simply on supporting research aimed at developing technologies and strategies for enhancing food security and sustainable livelihoods in smallholder farming systems, rather than placing specific emphasis on maize and banana based systems.*

We do not, however, propose any other major changes as far as the Forum research mandate is concerned. For example, we would not advocate supporting basic/strategic research – except in very special circumstances (e.g., biotechnology to solve problems that are not amenable to solution in any other manner). However, because plant breeding is an integral part of the crop improvement strategic thrust (see Section 1.4) we do propose that Forum should be prepared to support training and research in plant breeding.

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<sup>40</sup> We recognize that one possible reason why little in the way of extension materials have been produced under Forum auspices has been the fact that most universities rank such publications of little significance in evaluating scientists' for possible promotion. UZ is an exception to this and evaluates extension materials as important in the promotion exercise.

**Recommendation 3.5B:**

*To avoid dilution of the Forum research mandate (see Recommendation 3.5A) Forum should continue not supporting basic/strategic type research but should be prepared to support work in the plant breeding area. It is important for Forum to remain focussed on its basic objectives and mandate if impact is to be demonstrated.*

The Forum flier/brochure should clarify that, although Forum grants are principally targeted at Faculties of Agriculture, relevant proposals from other faculties in universities, (e.g., Science and Social Sciences) could also be considered.

**Suggestion 3.5:**

*The Forum flier/brochure should clarify that, although Forum grants are principally targeted at Faculties of Agriculture, relevant proposals from other faculties in universities (e.g., Science and Social Sciences) can also be considered as long as they are compatible with the Forum research mandate.*

**3.6 TANZANIA AND SOKOINE UNIVERSITY**

Tanzania has not been included in Forum activities to date. However the Dean of Agriculture at Sokoine University was invited to the Fifth Regional Meeting of Forum at Entebbe, August 12<sup>th</sup> – 16<sup>th</sup>, 2002. We had the opportunity to talk with him. His enthusiasm and desire for his university to become part of Forum was self evident and in fact since the meeting he has been in contact not only with us but also with the RF. We understand that RF has commissioned a Tanzanian country study with a view to possibly considering it as one of its two to four focus countries (see Section 1.4). Unquestionably Sokoine University has one of the strongest Faculties of Agriculture in the whole of the Eastern/Southern African Region (see Table C5.9 in Appendix C) and so would bring considerable expertise to the activities of Forum. Tanzania is also relatively attractive as far as donors are concerned (see Section 5.2). Therefore compelling arguments can be made for its inclusion in Forum especially if it becomes one of the focus countries of the RF. However, we are reluctant to recommend the inclusion of Sokoine at this stage unless additional resources can be made available for the support of Forum activities, since we do not think it would be desirable to include it at the expense of the universities already associated with Forum. Therefore we suggest that a recommendation about the inclusion of Sokoine in Forum should be postponed pending future developments.

**Suggestion 3.6:**

*Although undoubtedly compelling arguments can be made for admitting Sokoine University, Tanzania into the Forum, a decision should not be made on this until there is a good prospect that its inclusion will not impact negatively in terms of Forum resources available to the other Forum universities. Its possible inclusion should also be reconsidered if Tanzania becomes one of the focus countries of the Rockefeller Foundation.*

**3.7 CONCLUDING COMMENT**

It is highly commendable that the RF has made a commitment to support Forum *per se* for at least another five years. We also recognise the logic of RF's desire to introduce greater coherency in terms of the types of research initiatives that it wishes to support in the Eastern/Southern African Region. We reviewed the situation, as we understand it, earlier in the report (see Section 1.4). Obviously the RF wishes to bring about that coherency and fully exploit the complementarity between its three strategic research thrusts as soon as possible. We fully understand this desire and respect its view that it will increase the impact and return from the research resources available to the region under the Food Security Programme.

It is not unreasonable as we have indicated earlier (see Section 1.4), that since much of the research done under Forum is compatible with that envisioned under the three strategic thrusts, it seems

reasonable that Forum associated researchers could and should submit proposals for funding under such thrusts. However, although in the long run (e.g., after five years) we fully concur the RF funded research relating to Forum should be funded through such a ‘pipeline’, we are concerned that doing this too precipitously would have a negative impact on the ability on the part of Forum to attract research funds from other donors, and therefore on the ability of Forum to survive. We believe there are at least four very important ingredients that will be instrumental in Forum being able to convince other donors that it (i.e., the Forum) would be worthy of their support. These are:

- Being able to demonstrate positive impact of past activities (e.g., well trained M.Sc students, competent, committed and well trained faculty, publications and most importantly, improved welfare of farmers) – something we have just discussed (see Section 3.4.3 and Recommendation 3.4.3B).
- Being able, as a devolved Forum, to demonstrate that only quality peer reviewed research proposals are approved and that the grant recipients implement their research competently and produce timely results.
- The Forum Secretariat being able to demonstrate:
  - ◀ An ability to manage financial accounts in a competent and transparent manner.
  - ◀ To be able to operate effectively a competitive grant system that is unbiased and transparent.

The last two, in particular, will not be possible to demonstrate if the RF moves too quickly to the grant approval system which will likely operate when the three strategic areas are the only means of accessing RF funds. This is because:

- The research proposals will be approved by the RF Programme Officers themselves.
- The funds for such research will be dispensed directly by the RF itself.

At the same time, we recognise that, to treat Forum as a completely independent funding entity may also not be a good idea when congruency is planned in the long run. Also leaving the Forum associated researchers out of the loop at the beginning is not likely to be very satisfactory for either parties (i.e., the RF Programme Officers or the Forum associated researchers). Obviously a compromise has to be reached so that as much as possible a win-win situation is created that helps address the legitimate:

- Internal interests of the RF for congruency.
- Interests of an independent Forum in being able to demonstrate that it is worthy (i.e., both from a productivity and reliability viewpoint) of support from other donors.

What we are very anxious to avoid happening is that RF’s preoccupation with the former will seriously compromise achievement of the latter. We are sure that RF would not wish this to happen. However, we do recognise that this will involve some patience, commitment and costs on the part of the RF.

We return to this issue later in the report (see Section 5.6.2 and Recommendation 5.6.2B) and propose a possible compromise that we hope will be acceptable.

Table 3.1: Greatest Strengths of Forum<sup>a</sup>

Specific Strength	Number of Responses	Percent of Responses
Enables university to do postgraduate training/research which is relevant	29	24.2
Empowered staff to do quality research/training – capacity building of staff	22	18.3
Emphasis on applied/adaptive research that can help farmers	17	14.2
Inter-country university collaboration/interaction (e.g., regional meetings)	13	10.8
Interdisciplinary research and diversity of research	9	7.5
Rockefeller Foundation support	7	5.8
Rigorous review system	6	5.0
Transparency and interactive discussions between all parties	4	3.3
Improved research equipment in university	4	3.3
Stabilised/reduced attrition of staff	3	2.5
Others <sup>b</sup>	6	5.0
Total	120	100.0

a. Each respondent was asked to indicate up to three strengths.

b. For example: efficient and helpful organisation, encourages publication, critical masses of scientists.

Source: Forum Meeting Attendee Survey (Appendix C4).

Table 3.2: Greatest Weaknesses of Forum<sup>a</sup>

Stipulated Weakness	Number of Responses	Percent of Responses
Student rights not clearly stipulated at time of recruitment	13	19.4
Include animal science – mandate too narrow	7	10.4
Too little emphasis on applicability/dissemination	6	9.0
No support under Forum for Ph.D.	6	9.0
Small grants and last only two years -- problem when unimodal rainfall system	5	7.5
Limited funds	5	7.5
Little follow-up on relationship between the PI's and students	4	6.0
Link with other institutions doing similar work needs improvement	4	6.0
Others <sup>b</sup>	17	25.4
Total	67	100.0

a. Each respondent was asked to indicate up to three weaknesses.

b. For example: include other countries, need to monitor use, no formalised ways to resolve conflicts, release funds in way compatible with growing seasons, reviews take time, inequitable distribution of funds between universities, more coordination required, lack of clear exit strategy, little emphasis on constraints synthesis.

Source: Forum Meeting Attendee Survey (Appendix C4).



Table 3.3: Administrative and Professional Changes Required in Forum

Specific Change	Number of Responses	Percent of Responses
Transparency concerning rights of students	12	20.3
Assist with Ph.D. support	7	11.9
Broaden funding (donor) base	5	8.5
Increase speed of review process	5	8.5
Forum having a representative Steering Committee rather than AC	4	6.8
Have funds for outreach programmes to disseminate research findings to final users	4	6.8
Ensure timeliness and quality of research (e.g., students take two years)	4	6.8
More efficient and transparent auditing system	3	5.1
Allocate some funds to biotechnology/plant breeding	3	5.1
Better involvement of stakeholders (i.e., local government and policy makers)	2	3.4
Revamp regional meetings	2	3.4
Others <sup>b</sup>	8	13.6
Total	59	100.0

a. Each respondent who indicated changes were required was asked to indicate up to three changes they thought were necessary. Thirty one percent of the 42 respondents indicated no changes were required.

b. For example: more equitable distribution of funds between universities, release funds in manner compatible with the growing seasons, increase grant size and length, consider adding additional countries, develop vision for Forum.

Source: Forum Meeting Attendee Survey (Appendix C4).

Table 3.4: Issues that Require Addressing in Devolution of Forum<sup>a</sup>

Issue to be Addressed	Number of Responses	Percent of Responses
Representative Steering Committee to help Secretariat	17	18.3
Coordinator should be full time, and competent, credible and transparent with long exposure to Forum	12	12.9
Secretariat needs skills, expertise and to be transparent – receive guidance/support from Steering Committee	9	9.7
Even when devolved should be accountable to Rockefeller Foundation	8	8.6
Need Memorandum of Understanding (MOU) with host institution so that it can operate independently/autonomously	7	7.5
Continue competitive grant approach and make evaluation criteria explicit	7	7.5
Have Board to monitor/evaluate Forum activities	6	6.5
Implement mechanisms for attracting more donors	5	5.4
Ensure accountability for use of resources	4	4.3
Be fair in allocation of resources	4	4.3
Link Forum activities to dissemination	3	3.2
Have Coordinator from each university and overall Coordinator to link with them	2	2.2
Others <sup>b</sup>	9	9.7
Total	93	100.0

a. Each respondent who indicated changes were required was asked to indicate up to three changes they thought were necessary.

b. For example: internal peer review important before external review, have periodic independent evaluation, put Secretariat in an NGO, have selective funding of Ph.Ds, avoid involvement with political activities.

Source: Forum Meeting Attendee Survey (Appendix C4).

## 4. HOSTING THE FORUM SECRETARIAT AND MANAGEMENT OF FORUM

### 4.1 INTRODUCTION

In this chapter we first describe and evaluate three different models potentially suitable for hosting the Forum Secretariat. Having concluded that, all other things being equal, locating the Forum Secretariat within a university setting would be best, we then recommend that Makerere should be the host institution. We then discuss issues relating to the proposed host issue after which we spend some time detailing issues relating to the management of the Forum Secretariat.

### 4.2 MODEL FOR HOSTING THE FORUM SECRETARIAT

#### 4.2.1 Possible Models

Three possible models have been suggested as potential locations for hosting the Forum Secretariat.<sup>41</sup> These are:

- A completely independent unit analogous to the African Economic Research Consortium (AERC) located in Nairobi which coordinates/oversees training at the M.A level in economics for a number of universities in the Eastern and Southern Africa region.
- Having it located under a regional agricultural network, such as ASARECA (i.e., Association for Strengthening Agricultural Research in Eastern and Central Africa) or SACCAR (i.e., the Southern Africa Centre for Cooperation in Agricultural Research).
- Having it located on the grounds of one of the Forum universities.

The pros and cons of each of these models as we perceive them are as follows:

- **An Independent Unit.** The major advantage of this model is that it would be truly independent and would have no vested interest in any particular institution. One area of uncertainty is whether or not it would be more expensive to operate than the other models. This would depend to a great extent on the degree to which locating the Forum Secretariat under the other possible scenarios would result in cost concessions (e.g., rent free accommodation).<sup>42</sup> The disadvantage of a completely independent unit would be that it would in a sense cut the umbilical cord with the universities and there would be no sense of belonging.
- **Located within a Regional Network.** There are three obvious advantages to this model, namely:
  - ◀ Donors are currently very interested in funding regionally based initiatives.
  - ◀ Currently the regionally based networks, particularly under ASARECA, are, for the most part, operationally doing well -- that is, they are going concerns.
  - ◀ These networks provide potential for accessing considerable expertise in a large number of areas of interest to Forum in the region.

There are, however, two major disadvantages to this model. These are:

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<sup>41</sup> A fourth model was also suggested by one person, namely locating the Forum Secretariat in an NGO. However, there appear to us no compelling arguments in favour of such a suggestion. The Forum Secretariat would, under such a scenario, be located in the private sector, would be subject to being influenced by the NGO leadership, and would be providing services to institutions located only in the public sector. Also attracting donor funds for Forum would likely be influenced by how donors viewed the NGO itself.

<sup>42</sup> However, we recognize that such concessions could result in there being strings attached thereby reducing the independence/ autonomy of the Secretariat.

- ◀ There is no ‘umbrella’ regional network that embraces all the Forum associated countries. Specifically Kenya, Uganda and Malawi come under ASARECA, while Zimbabwe and Mozambique are associated with SACCAR. Also:
  - Although there is a precedent for a regional network (i.e., cassava and banana oriented networks in ASARECA) to operate in countries that are under different ‘umbrella’ networks, the experiences are not particularly encouraging. For example, the countries outside the ‘umbrella’ network under which the specific network is located tend to be treated somewhat like ‘orphans’.
  - SACCAR is currently not operationally very viable.
- ◀ The regional networks tend to focus on the NARSs and thus there is no obvious link to universities, the primary focus of Forum.
- **Location within a University.** There are two obvious advantages to this model, namely:<sup>43</sup>
  - ◀ It would build on the university concept central to Forum.
  - ◀ There is a momentum or familiarity with respect to Forum in a number of universities in the region who could therefore act as ‘champions’ for Forum in the future.

There are, however, a couple of major disadvantages to locating the Forum Secretariat within a university setting:

- ◀ Inevitable suspicion on the part of Forum associated individuals at universities, other than the university hosting the Forum Secretariat, of biases in the way Forum is operated. These biases could be intentional or unintentional.<sup>44</sup>
- ◀ Also inevitably, concerns that the host university may cause problems because of:
  - Internal stresses/strains, reduced efficiency through delays in disbursement of funds, misuse or mixing of accounts, etc. – we term these as potential endogenous disadvantages.
  - Political interference (e.g., via the Chancellor), closure of the university, etc. – we term these as potential exogenous disadvantages.

#### **4.2.2 Recommended Model**

On reflection, after discussions during the field trips we have come to the conclusion that the model we wish to recommend for hosting the Forum Secretariat is to locate it within a university. This is supported by the respondents to the Forum Meeting Attendee Survey (Table 4.1).

This does not mean we don’t have some concerns about such a recommendation, given the potential disadvantages mentioned in the preceding section (Section 4.2.1) but we believe that the potential for these occurring can, with proper planning and procedures, be minimised. In connection with this we believe it will be important for the Forum Secretariat to operate as an independent/autonomous unit within the host university. We discuss this in much more detail in a later section (see Section 4.4).

#### **Recommendation 4.2.2:**

*The Forum Secretariat should be located in a university but should operate as an independent/autonomous unit.*

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<sup>43</sup> The Executive Secretary of ASARECA in a discussion also indicated a potential third advantage would be that it would be desirable to have greater regional cooperation between universities in the region analogous to that being developed on the research front between the NARS. Forum could provide the starting point for translating that vision into reality, although this might take some time to develop.

<sup>44</sup> Intentional biases are less likely if proper checks and balances are put in place and a real effort is made to maintain transparency but sometimes unintentional biases could still arise.

## 4.3 LOCATION AND HOST FOR FORUM SECRETARIAT

### 4.3.1 Recommendation on Location and Host

When thinking through in which university the Forum Secretariat should be located, we believe that the following criteria are important in evaluating the suitability of the institution:

- The ease of accessibility of the institution to the outside world.
- The degree of interconnectivity in the institution.
- The nature of the university environment in terms of morale and degree of progressiveness.
- The degree of political independence the university operates under.
- The capacity of the Faculty of Agriculture in the institution.
- The track record of the institution in terms of:
  - ◀ Forum.
  - ◀ Hosting regional programmes.
- The interest of the institution in hosting the Forum Secretariat.

Although a number of universities associated with Forum meet some of these criteria we have concluded that Makerere comes closest to meeting all them satisfactorily. In fact our recommendation about Makerere agrees with the attitudes of many of the Forum ‘leaders’ in the different universities with whom we had discussions during our field trips and with the findings of the Forum Meeting Attendee Survey (Table 4.2).

In addition to best meeting the criteria outlined above, Makerere has a number of other advantages which are listed in the Table 4.3 and need no further elaboration here.<sup>45</sup> However, there are also a few potential disadvantages of locating the Forum Secretariat at Makerere (e.g., see Table 4.4). Perhaps the one that Makerere will have to pay most attention to is ensure that the Forum Coordinator and Secretariat are very transparent in dealing with the distribution of the Forum research resources. As we indicated in an earlier section (see Section 2.3.3), Makerere has been very successful in competing for Forum research resources and this naturally is likely to engender suspicion in the future if objective rules are not applied to their allocation, and transparency is not maintained.

For the record Tables 4.5 and 4.6 indicate the advantages and disadvantages, from the perspective of the respondents in the Forum Meeting Attendee Survey, of locating the Forum Secretariat at a university other than Makerere.

#### **Recommendation 4.3.1:**

*As a result of considering a number of evaluation criteria the best location for the Forum Secretariat is Makerere University.*

### 4.3.2 Commitment and Issues Relating to Selected Host for Forum Secretariat

Makerere has indicated a strong interest in hosting the Forum Secretariat and has in fact written a letter indicating this to the RF. Earlier visits with the Vice Chancellor, the Faculty of Agriculture and government officials have all indicated a definite interest and potential commitment with regard to this.

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<sup>45</sup> In addition a University Act is in the process of being passed ensuring that Makerere will be independent of political interference. For example, the Chancellor of the university will no longer necessarily be the President of Uganda. A recent example of the independence of the university is given by the university refusing a request by the Government of Uganda to give the President of Libya an honorary doctorate degree.

After deciding to recommend Makerere as the host institution for the Forum Secretariat, we returned to Kampala near the end of the assignment to ascertain their reactions to our proposal and to discuss possible modalities. In doing so we stressed that these were recommendations that may or may not be accepted by the RF.

There was unanimous and enthusiastic acceptance of our proposals, there being general recognition and appreciation of the necessity of the Forum Secretariat being an autonomous entity<sup>46</sup> and the need for the position of the Forum Coordinator to be advertised.

Makerere has had quite a lot of experience with independent or autonomous entities (e.g., the Economic Policy Research Centre (EPRC), the Gatsby Foundation, Uganda) while one with more of a regional orientation is currently being set up (i.e., the Pfizer Foundation in the Medical School).

Discussions with the Vice Chancellor were particularly useful. As well as being very pleased with our recommendation he reiterated the offer of office accommodation, for the Forum Secretariat, which was visited by one of us and appeared to be eminently suitable. He also suggested that it would probably be best to register the Forum as an NGO (i.e., as has been done with respect to the Gatsby Foundation, Uganda), and he made a verbal commitment to contact the Attorney General by the end of October to ascertain what possible legal issues will need to be addressed.

Beyond this, we did not feel competent to proceed further. We recognise that there are some possible legal complications that will need to be addressed and consequently these will need to be explored at the beginning of 2003 by the Interim Coordinator (see Section 4.4.4 and Recommendation 4.4.4A), possibly with the help of a lawyer provided by the RF.

#### **Suggestion 4.3.2:**

*The Rockefeller Foundation should employ the services of a lawyer at the beginning of 2003 to resolve any possible legal complications pertaining to setting up the Forum Secretariat as an autonomous/independent unit on the campus of Makerere University.*

## **4.4 MANAGEMENT OF FORUM SECRETARIAT**

### **4.4.1 Responsibilities of Forum Secretariat**

During its ten years of operation, the Forum Secretariat has built an enviable reputation of efficiency, professionalism, and fairness in awarding its grants. It is important that the devolved Secretariat maintains and builds on this reputation. In addition, the Secretariat will acquire extra responsibilities when it devolves.

Under the current arrangements, the responsibilities, both administrative, financial, and research management, are undertaken by the Forum Secretariat located within the Nairobi office of the Rockefeller Foundation. The Secretariat invites and appraises proposals from the PI's in the ten participating universities, selects those which qualify for funding, provides some oversight on the quality of the research, and disburses grants for the research and related activities. The Secretariat is run by a Forum Coordinator assisted, on a part time basis, by a Programme Associate and a Programme Assistant. Details of the operations of the Forum were discussed at the beginning of this report (see Section 1.1 and Figure 1.1).

Administration of the Forum activities, including financial disbursement to PIs and students, is delegated to the university authorities. The Foundation relies on financial reports from the universities. The burden of administration and financial monitoring and control for the Secretariat is therefore light. For research management, the Secretariat has evolved a comprehensive system for solicitation, appraisal, and selection of research proposals. The Forum Coordinator, through the

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<sup>46</sup> While at Makerere we did visit the Medical School's Public Health Without Walls Programme. It certainly is a very interesting initiative but administratively, since it is confined to Uganda, it does not fit the requirements of a regional programme such as Forum. In this Programme moves are being made to channel all funds through the university system.

Faculty Deans or Departmental Chairpersons, invites PIs to submit the proposals, which include, among other things, names of collaborators and at least two graduate students. They are submitted to the Coordinator through the Departmental Head or Faculty Dean. Some universities (e.g., Makerere) undertake internal peer review of the proposals before their submission to the Coordinator. The appraisal and selection of successful proposals are made by the Coordinator on advice of external reviewers. The grant making process is handled by the Programme Associate.

As the Foundation is currently the sole funder and administrator of Forum, and as it relies on the universities to disburse the grants to the PIs, the tasks involved in the administration of the programme are not onerous.

With devolution, the relationship between Forum and the RF will be one of a client and a donor. Other donors will come on board to support the Forum; and the Secretariat will need to intensify its interactions with its stakeholders. The responsibilities of the Forum Secretariat will therefore increase in several ways:

- **Financial administration.** As an independent entity, the Forum Secretariat will be expected to establish an accounting and financial reporting system acceptable to all its funders, including the RF itself. Individual donors will have different information requirements and financial control conditionalities. This will necessitate the Secretariat exercising greater oversight on expenditures by the PIs, thereby increasing its work burden.
- **Research priority setting.** Currently research priorities and identification of research topics are the sole responsibility of individual PIs. To enhance research impact and build synergies among research projects (i.e., greater multidisciplinarity or preferably interdisciplinarity), establishment of not only internal peer review systems should be encouraged (see Section 3.2.3 and Suggestion 3.2.3A) within universities but that these could be a function of internal Research Committees who would also identify priority research themes and topics preferably as a result of consultations not only with PIs but also other stakeholders. One way of facilitating this would be through the country level meetings we advocated earlier (Section 3.2.3 and Suggestion 3.2.3B). Other research prioritisation results are also likely to come out of the regional theme meetings also discussed earlier (see the same section, that is, Section 3.2.3).
- **Monitoring and evaluation of research activities.** Under the current arrangements, there is not a rigorous mechanism for monitoring research progress and evaluating its output. To satisfy its diverse stakeholders, particularly the donors, the Secretariat will need to institute a mechanism to monitor research progress with appropriate time lines for different activities. A mechanism will also need to be instituted for evaluating the quality of research output. One possible avenue through which some information relating to these matters could be through the regional theme and country meetings (see Section 3.2.3). Such monitoring could be facilitated through ensuring a member of the Steering Committee who is not involved with current or past activities relating to the theme or country attending such meetings and providing a report for the Steering Committee and Forum Coordinator.
- **Publicising the achievements of Forum.** Because of its guaranteed funding to date, the Forum has not found it necessary to publicise its activities and outputs widely. One area it has done some commendable work on has been with reference to its web page (<http://www.rockforum.org>). We certainly believe this is an initiative that needs to be continued. However, within universities, the activities of Forum are not widely known outside the agricultural faculties. There are no systematic mechanisms for dissemination of Forum research outputs to smallholders, farmers' organisations, and agribusiness. With devolution and the need to solicit funding, the Forum will need to be more proactive in its outreach to its stakeholders within universities, the research community, the donors, and the potential users of its outputs (see Section 3.4.3 and Recommendation 3.4.3B).

#### **Suggestion 4.4.1:**

*The Forum should be encouraged to continue supporting the Forum web page (<http://www.rockforum.org>). It provides an admirable medium for advertising the activities and achievements of Forum.*

- **Fund-raising.** One of the reasons for devolution of the Forum is to solicit multi-donor funding. Under the present arrangements, as indicated above, funding is guaranteed by the RF. Following devolution, the Secretariat will be required to be proactive in fund raising from other foundations, donors, and African governments. It will also need to maintain and enhance its linkages with the RF. The RF will remain the principal funder and ‘champion’ of the Forum for some time to come. It is also anticipated that some of the Forum’s research will be funded under the RF’s recently defined strategic research thrusts – crop improvement, soil productivity, and markets (see Section 1.4). Fund raising activities and intensive communication with the RF will be very demanding for the Secretariat and will require a great deal of attention.
- **Maintaining relations with the host university, Makerere.** We have earlier recommended that the Forum Secretariat will be housed as an independent/autonomous entity on the campus of Makerere (see Sections 4.2.2 and 4.3.1 and Recommendations 4.2.2 and 4.3.1). A memorandum of understanding (MOU) will need to be drawn up between the Forum and the university outlining rights and obligations of each side. The Secretariat will be required to maintain its relations with the university in accordance with the stipulations of the memorandum.
- **Maintaining relations with the host government.** Depending on the stipulations of the MOU, the Forum may be required to enter into a bilateral agreement with the host government. In that event, the Secretariat will be required to operate within the stipulations of the agreement.
- **Servicing expanded institutional arrangements.** As a result of devolution, new systems for governance and management will be necessary. Apart from encouraging the establishment of a research committee in each university (i.e., see above and Section 3.2.3 and Suggestion 3.2.3A), we have proposed earlier, a Forum Faculty Coordinator (FFC) in each university and a Forum National Coordinator (FNC) for each country (see Section 3.3.3 and Recommendation 3.3.3B)).

Besides the above, two important institutions we have earlier proposed (see Section 3.2.3 and Recommendation 3.2.3B) are a Steering Committee and an Executive Board:

- **The Steering Committee.** It will be responsible for setting the broad research and training agenda, monitoring research progress, and evaluating the quality of research output. It is proposed that the committee should have ten members, as follows:
  - ◀ One member from each country nominated by country PIs, chairpersons of the departments in which Forum is supporting activities and the Dean of the Faculty of Agriculture. Excellence in research will be guiding criterion in the nomination of country members and they should be current or former PIs.
  - ◀ Four other members, each representing the private sector, preferably agribusiness, an individual with experience in the public service, preferably in the agricultural sector, and an individual with experience in NARSs, and a member of civil society.
  - ◀ One international member with impeccable credentials in agricultural research.

Initially, the RF -- but later the Executive Board as a whole -- will be responsible for nominating the special interest members and the international expert. Gender equity will be an important consideration in the nomination of all the members. The Steering Committee will elect a chairperson from amongst its members.

We propose that the Steering Committee, as far as the research component is concerned, will among other things:

- ◀ Ensure that the research undertaken is within the mandate of Forum.

- Provide guidance on possible adjustments in overall research priorities/policies and the overall research process.
- Approve/reject research proposals for funding after consideration of the written comments of two independent external reviewers and one member of the Steering Committee itself, and the opinions of the Forum Coordinator.<sup>47</sup>

In terms of training, the Steering Committee will provide advice/guidance on Forum student related matters, curriculum development, etc.

The Steering Committee will also give advice/guidance on the mechanisms for publicising the achievements of and plans for Forum activities. Such publicising, as we indicate elsewhere in the report (see Section 5.4), will be critically important in attracting donor support.

Half of the membership of the Steering Committee should serve for one term of three years. The other half can serve for two terms of the three years each. Thereafter, all members will be eligible to serve for two terms of three years each. Members will be given sitting allowances plus expenses for attending and participating in the meetings.

The Steering Committee will meet two times per year for one or two days per session. Consequently approval for research funding will only be done at two defined periods of the year, with the funds being released to the university PIs at times compatible with the implementation of research plan (e.g., if necessary compatible with the growing season). The Forum Coordinator will attend the meetings and act as secretary. If necessary, other senior staff of the Secretariat (see Section 4.4.3) will also be invited as observers.

#### **Recommendation 4.4.1A:**

*A Steering Committee to formulate and oversee Forum's research agenda should be established. The Steering Committee will consist of 10 members (i.e., representing academia and other agricultural stakeholders) and will meet twice a year. It will be responsible for setting the broad research and training agenda, for evaluating and approving research proposals, for monitoring research progress, and for evaluating the quality of research output. The Steering Committee will nominate one of its members to chair the meetings.*

- **The Executive Board.** The concern of the Executive Board will be on:

- Setting the overall policy framework for the Forum.
- Providing fiduciary oversight.
- Ensuring Forum is properly managed.

Specifically, the Board will be responsible for:

- Formulating the strategic framework for the Forum.
- Approving and monitoring the budget.
- Ensuring that proper accounts are kept to the satisfaction of funders.
- Formulating personnel policies, including the appointment and contract renewal of the Coordinator.
- Championing fund raising for the Forum.

The membership of the Executive Board will consist of donors who make an annual contribution to Forum of \$100,000, plus the Vice Chancellor, or his representative, of Makerere. The Executive Board will meet once per year, usually for a period of one day, and the attendees, apart from the Vice Chancellor or his representative, will be expected to pay their own way. The

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<sup>47</sup> The Steering Committee member would be nominated by the Forum Coordinator as being best qualified to evaluate the proposal with the proviso that he/she would have no direct linkage with the potential PI and the institution from which the proposal originated.



expenses of the Vice Chancellor will be met by Forum. The Forum Coordinator will attend the meetings and act as secretary. If necessary, other senior staff of the Secretariat (see Section 4.4.3) will also be invited as observers. The Executive Board will elect its own chairperson.

**Recommendation 4.4.1B:**

*The Executive Board will consist of donors who make an annual contribution to Forum of at least \$100,000, plus the Vice Chancellor of Makerere University, and will meet once per year. It will be responsible for setting the overall policy framework for the Forum, providing fiduciary oversight and for ensuring Forum is properly managed. The Board will nominate one of its members to chair the meetings.*

**4.4.2 Oversight and Related Issues**

Under current arrangements, the financial oversight of the programme and its associated administrative arrangements are straightforward. The RF, through the Forum Coordinator, awards a grant to the PI. The award may include a provision for a preparatory grant of \$5,000, if this is deemed necessary for in-depth preparation of the proposal. The full grant, typically amounting to about \$65,000 is made in two or three tranches, depending on the duration of the research project. At least 50% of the grant is made at the onset of the research project, and the balance provided upon satisfactory submission of research progress and financial reports. At completion, a terminal report is submitted to the Forum Coordinator. Beyond this, the Forum Secretariat does not exercise financial oversight on grant awards. The fiduciary responsibility lies with the beneficiary universities.

In terms of the research programme, as we have already discussed (see Section 2.4.2), the Secretariat's involvement is greater in terms of eliciting, evaluating and approving research proposals. Each research proposal is subjected to a rigorous external review process. Every proposal is reviewed by two external reviewers and one member of the AC. The external reviewers look at the substantive content of the proposal, and the AC reviewers look at both the technical content of the proposal and its relevance to the goals of the Forum. On the basis of the reviewers' comments and the Forum Coordinator's own assessment, the proposal is either rejected or approved with or without minor or major changes. The PI is requested to make changes on the proposal, and on satisfactory incorporation of the changes, the PI is given the go ahead to undertake the research. Copies of the letter of approval are sent to the university Vice- Chancellor, the Faculty Dean, and the Department Chairperson.

On the basis of all those interviewed, the proposal selection process is deemed to be highly professional, thorough, and fair. The reviewers' comments are found to be useful by the PIs, and the response by the Forum Secretariat to the queries and concerns of the PIs is prompt. In this report, we are therefore not proposing to make major modifications on the proposal review and selection process although, as we have discussed earlier (see Section 4.4.1 and Recommendation 4.4.1A), we believe the Forum Coordinator should no longer have the final say as to whether a research proposal be approved for funding.

After devolution, however, the Forum Secretariat will be expected to undertake additional tasks over and above those just enumerated. For example as far as the Secretariat is concerned:

- The financial management, both of itself and its grantees, will be subjected to greater scrutiny.
- It will need to provide greater oversight, both on financial monitoring and control, and on the research process and content.
- It will be expected to publish annual reports of its activities and annual statements of audited accounts.
- It will have to put more effort on publicising Forum associated achievements and on encouraging dissemination/outreach.
- It will be required to service the Steering Committee and the Executive Board.

- It will be required to maintain good relations with Makerere and the Ugandan Government in accordance with its MOU.
- Most importantly it will need to devote considerable time and effort on fund raising.

All of the above indicate a heavy workload, and therefore significant implications in terms of staffing of the Forum Secretariat.

#### ***4.4.3 Management Related Issues Including Checks and Balances***

The devolved Forum and its Secretariat will be an independent, self-accounting entity. It will have independence in determining its research agenda, thematic priorities, research grant awards, and financial management and control, and in addition will have the additional burden of fund raising. The independence will, as we have indicated above, result in additional responsibility and accountability for the Forum Secretariat.

Most of the management related issues have already been discussed in the two preceding sections (Sections 4.4.1 and 4.4.2). Although some of the proposals will reduce or be neutral or lead to a small increase in workload, some will result in substantial increases in the work load of the Forum Secretariat. Specifically:

- Encouraging establishment of Research Committees in universities, designation of FFCs and FNCs, and establishment of a system of internal research proposal peer review within universities will reduce the workload on the Forum Secretariat.
- As there are no recommendations for major changes on the proposal selection process, no additional workload is anticipated.
- Maintaining liaison with the host university and government will lead to a marginal increase in workload.
- However, substantial increases in the workload will result from financial administration, monitoring and evaluation of research work, publicising Forum achievements, servicing the Steering Committee and the Executive Board, and fund raising.

Fulfilment of the above responsibilities will require a high calibre Forum Coordinator who will provide intellectual leadership for the Forum. He/she will be the face of the Forum, oversee the research and training process, provide liaison with the host university and government, service the Executive Board and the Steering Committee, and undertake fund raising.

The Forum Coordinator will be assisted by two individuals (i.e., senior staff):

- The Finance Officer will be in charge of finance. He/she will maintain the financial accounts of the Forum, disburse funds and monitor their utilisation by the grantees and through the Coordinator, report the Forum's financial status to the Executive Board.
- A highly qualified/experienced Programme Associate (i.e., using RF terminology) who will be in charge of general logistical, administration, travel arrangements, etc.

#### **Suggestion 4.4.3A:**

*In addition to the Forum Coordinator, the Forum Secretariat should be staffed by a Finance Officer who will be in charge of matters relating to finance and an experienced Programme Associate who will be responsible for general logistical and administration matters.*

We are concerned, however, that the Forum Coordinator will still need additional help particularly in the first two to three years. Our specific concern relates to the problem of fund raising. The newly appointed Forum Coordinator is likely to have less expertise in this area, and will need to develop it on the job. Therefore we recommend that a consultant, with a proven track record in soliciting funds from donors, is employed on a repeat part time basis for at least two years to help/advise the Forum Coordinator in:

- Identifying suitable promising potential donors.

- Making contacts and establishing relationships with potential donors.
- Helping develop proposals for funding for submission to potential donors.
- Etc.

#### **Recommendation 4.4.3A:**

*Because the newly appointed Forum Coordinator will be very fully occupied, and is unlikely to have much expertise in raising money from donors other than the Rockefeller Foundation, a consultant, with a proven track record in soliciting funds, should be employed on a repeat part time basis for at least two years to help/advise the Forum Coordinator in identifying suitable promising potential donors, in making contacts and establishing relationships with potential donors, and in helping to develop proposals for funding for submission to potential donors.*

The number of support staff will be determined by the Forum Coordinator, with the approval, initially, of the RF.

The costs of running the Forum Secretariat with staffing as proposed above will be substantial. Under the umbrella of the RF, the direct cost of running the Malawi office, excluding the salary and travel costs of the coordinator, ranged between \$130,000 and \$194,000 annually (Table 4.7).

Under the proposed arrangements, the additional costs of the Coordinator and the Finance Officer may be around \$130,000. Together with the costs of the FFCs/FNCs, the Steering Committee travel, per diem and sitting allowances, and the travel and per diem costs of the Makerere Vice Chancellor to the Executive Board meetings, we estimate the annual cost of administering the Forum Secretariat will therefore be about \$350,000 annually.<sup>48</sup> With an annual disbursement rate on the part of RF of \$2 million (see Section 5.6.2), this translates to an overhead equivalent to 17.5%. If additional funding for Forum is forthcoming, the ratio of administration costs to total budget will correspondingly be reduced.<sup>49</sup>

One of our concerns is the amount of money spent on incentives and allowances. For example, Student Development Awards for Makerere have amounted to a total of \$97,500. We recognise that inducements are important especially given the low salaries and poor funding of the universities in the region. However, we think it would be a good idea if these are re-examined and if possible adjustments made prior to the devolved Forum Secretariat commencing operations.

#### **Suggestion 4.4.3B:**

*Although the allowances and incentives paid under the Forum are important, given low salaries and poor funding of the universities in the region, it would be desirable if these are re-examined and adjustments made if possible prior to the devolved Forum Secretariat commencing operations.*

On a somewhat related matter is the issue of the size of the full research grants. The maximum, and in fact the most common, size has usually been \$65,000. This includes funds for buying equipment, providing allowances, and provision of support for two graduate students. Questions have been raised about the relatively high expense per student (i.e., \$35,000) compared with the costs of other

<sup>48</sup> Gross emoluments of Directors in national research institutes and regional research networks in Eastern and Southern Africa (i.e., other than AERC) range between \$60,000 and \$80,000 annually, and for regionally recruited Financial Controllers, range between \$50,000 and \$60,000 annually. For other costs, it is assumed that the cost of the Programme Associate and other staff will be similar to those incurred in Malawi (i.e., \$30,000 annually). The net additional figure will be \$200,000 less the salary and other costs of the current Forum Coordinator. Also there are likely to be other hidden costs associated with the Forum Secretariat being located in RF itself. If these were taken into account it is likely that the estimated net additional cost would be even lower.

<sup>49</sup> When AERC started the ratio of administrative costs to total disbursement was more than 50%. In later years as the budget increased the ratio decreased to 10% but has now increased to about 18%. The Gatsby Foundation, Uganda permits a maximum ratio of 20%.

programmes in the region. Although, given the need for purchasing the necessary equipment for supporting the degrees which are mostly in the technical sciences, and the relatively high expenses that are incurred because of the on-farm nature of much of the research, there may be justification for the relatively high costs of Forum students, we believe this should be examined to see if the maximum size of grant can be reduced in the future. The reason for recommending this is done is to avoid concerns of potential donors who may feel that the expense of training students under Forum auspices is high relative to other training programmes, therefore perhaps discouraging them from supporting the Forum programme. Two ways in which cost savings may be possible are:

- To require greater sharing of equipment among the PIs within each of the Forum universities.
- Concentrating field research activities in specific geographic areas reasonably accessible to the universities (see Section 3.4.3 and Recommendation 3.4.3A).

The potential feasibility of such adjustments could perhaps be made by the Interim Coordinator (see Recommendation 4.4.4A) and a recommendation prepared for consideration by the newly appointed Forum Coordinator and the Steering Committee when it is formed.

#### **Recommendation 4.4.3B:**

*The maximum size of the full research grants should be examined to see if they could be reduced thereby reducing the cost of training each Forum student and making the Forum programme more attractive for potential donors. This could be done perhaps by the Interim Coordinator, and a recommendation prepared for consideration by the newly appointed Forum Coordinator and the Steering Committee, when it is formed.*

The major strengths of Forum and its Secretariat are that the programme is owned (i.e., and is perceived to be so) by the researchers and their universities, and is considered to be fair and professionally managed. To build upon and enhance these strengths, the devolved Forum Secretariat will need to institute a system of checks and balances. This system will need to have at least five basic elements, namely:

- ***Maintaining independence between the Forum Secretariat and the host university, Makerere.*** During our field visits, concerns were often expressed that locating the Forum Secretariat within a university may give the latter undue advantage over other universities. To neutralise this concern, it will be important for the Forum Secretariat to maintain an arms-length relationship with its host, and to maintain transparency in its relationship with the university.
- ***Professionalism in the award of grants.*** It is critically important to maintain the current professionalism in the award of grants. As indicated earlier (see Section 2.2) this perception is reinforced by the openness and non-partisan stance of the current Forum Coordinator. To maintain this professionalism, the current proposal review process should be maintained and, as indicated earlier (see Section 4.4.1 and Recommendation 4.4.1A), the awards should be approved by the Steering Committee. Where the Forum Coordinator's assessment differs from that of the reviewers, he/she should bring this fact to the attention of the Steering Committee, with the latter making the final decision.
- ***Equity related issues:*** Inevitably, some universities will outperform others as is currently the case. However, although one of the primary objectives of Forum is capacity building, one of the strengths of Forum has been the principle of a competitive grants system. Therefore in an earlier section (see Section 3.2.3 and Recommendation 3.2.3B) we have suggested an approach to cater for the former while not unduly compromising the latter. We have proposed that in any funding cycle a minimum of 20% of Forum research funds in any funding cycle should be allocated to applicants from the weaker universities. However, under no circumstances should a grant be awarded for a clearly unworthy proposal. If a university is unable to make a defensible proposal, other ways of strengthening its capacity should be sought. The remaining 80% should be allocated to the stronger universities, and those awards should be made purely on merit, although no university should receive more than 30% of that remaining 80% (i.e., about 27%).

- ***The Executive Board and the Steering Committee.*** As we indicated earlier we are proposing that the old AC is to be replaced by an Executive Board and the Steering Committee. These will together provide oversight, guidance and control over the Coordinator and his/her staff and as a result checks and balances and transparency in the operation of the Secretariat. Specifically:
  - ◀ As indicated earlier (see Section 4.4.1 and Recommendation 4.4.1A), membership of the Steering Committee will include a representative from each country, the private sector, civil society, and public sector, and an international expert, the idea being to maintain checks and balances among the different stakeholders.
  - ◀ The Steering Committee should be in charge of the research agenda. This will ensure ownership of Forum by universities. The Executive Board will be kept informed through minutes of the meeting of the Steering Committee and the Forum Coordinator on the research agenda and progress, but should refrain from influencing it. Instead, the Board should be responsible for setting the overall strategy of the Forum and overseeing its financial and personnel policies and practices.
- ***Independent External Review.*** An independent external evaluation should be institutionalised and undertaken every three years. The Executive Board will set the terms of reference and select the reviewer(s).

#### **Recommendation 4.4.3C:**

*It is critically important that the operation of the Forum Secretariat is seen to be transparent and unbiased. Therefore checks and balances, and oversight by the Executive Board and Steering Committee will be required to ensure that this in fact is the case.*

#### **4.4.4 Phased Transfer of Programme Management**

The tenure of the current Forum Coordinator comes to an end in December, 2002. There is no time to devolve the Forum Secretariat between the completion and adoption of this report and the remaining tenure of the Forum Coordinator.

To facilitate the orderly transfer of the Secretariat, it is recommended that the RF retains a consultant (i.e., Interim Coordinator) who will keep the Forum running until the new Forum Coordinator is appointed. It would be desirable for the consultant to be employed until a month after the Forum Coordinator is appointed. The Interim Coordinator should overlap with the incumbent Coordinator during December 2002 so as to familiarise himself/herself with the substance and procedures of the Forum. He/she will operate out of the Nairobi offices of the Rockefeller Foundation and will work about eight days per month. The Interim Coordinator should be someone who is familiar with Forum, has no vested interest in Forum, and will not apply for the Forum Coordinator position once it is devolved.

The Interim Coordinator will have two major functions:

- To service the current Forum prior to its devolution (i.e., particularly completing unfinished business).
- To facilitate the orderly devolution of Forum.

The specific tasks relating to servicing the current Forum will include, but not be confined to, the following:

- For ongoing grants: receiving progress and financial reports
- Ensuring payments relating to on-going grants.
- Expedite reviews of current research proposals both by AC members and external reviewers.
- Deal with correspondence relating to Forum (e.g., enquiries about Forum, acknowledge receipt of new research proposals).

With reference to the devolution of Forum, the Interim Coordinator will help in the following ways:

- Facilitate the development of constructive linkages between the new Forum Secretariat and the Programme Officers in charge of the three strategic thrusts under the RF Food Security Programme (see Section 1.4).
- Help in identifying files to be transferred from RF to the new location of Forum and those that will remain at RF office.
- Assist with the setting up of the new Forum Secretariat (see below).
- Assist with the recruitment of the new Forum Coordinator.
- Help the new Forum Coordinator in settling into his/her new assignment.

**Recommendation 4.4.4A:**

*To facilitate the orderly transfer of the Forum Secretariat, a consultant should act as an Interim Coordinator, who will keep the Forum running until the new Forum Coordinator is appointed. The person hired would be expected to work about eight days per month, and overlap one month with the outgoing Forum Coordinator and one month with the incoming Forum Coordinator.*

Devolution of the Forum will require the following steps:

- Completion of this report including revisions -- end of November, 2002.
- Finalisation of the proposed devolution strategy by the Foundation -- end of December, 2002.<sup>50</sup>
- Consultation with Vice Chancellor, Makerere on the best way to set up an autonomous Forum Secretariat on the Makerere University campus -- by the middle of December, 2002.
- Negotiations and drawing of a memorandum of understanding (MOU) between the Forum and Makerere – by the end of January, 2003.
- Negotiations on MOU between Forum and the Ugandan Government – by the end of February, 2003.
- Advertisement, interview, and recruitment of the Forum Coordinator – complete by the end of April, 2003.
- Advertisement and recruitment of the Finance Officer – by the end of June, 2003.
- Finalise the terms of reference for the Steering Committee and the Executive Board – by the end of June, 2003.
- Establishment of the Steering Committee -- identification of the 10 members by the relevant authorities (i.e., universities and RF) – by the end of June, 2003.
- Setting up the Forum Secretariat office on the Makerere campus – by the end of June, 2003.
- Setting up the administrative and accounting systems in the devolved Forum Secretariat and the formal transfer of the Forum Secretariat from RF Nairobi – by the end of August, 2003.
- Convening of the first meeting of the Steering Committee – by the end of October, 2003.

Once devolved, it will be important for the Forum Secretariat to maintain a close working relationship with the RF, which will need, at least in the near future, to champion the cause of Forum. The RF is familiar with the rationale, substance, and the processes of the Forum. It will be important for RF to continue being Forum's champion,<sup>51</sup> especially since, until other donors come on board, it will be the

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<sup>50</sup> It would be highly desirable for RF to provide an opportunity for the current AC members to react to the contents of the report.

<sup>51</sup> The importance of RF continuing to be a champion for Forum, at least in the near future, was emphasised by at least one potential donor we met (i.e., IDRC in Section D8 of Appendix D).

sole funder. Additionally, on top of the unrestricted proposed funding (see Section 5.6.2), the RF has the potential for providing funding for individual research projects from its new strategic thrusts (see Section 1.4). It will therefore be important for the RF to designate one of its senior officials to provide oversight and a link to the Forum Secretariat. For example, to our minds, the ideal person to help in championing Forum would be Dr. John Lynam, Associate Director of Food Security in the Nairobi RF office. Reasons for recommending him include the following:

- He is one of the persons who conceptualised Forum in the early 1990s.
- He has closely followed the progress of Forum through the years and has been supportive of it.
- He is stationed in the regional office of RF.
- He is very familiar with the region.
- He is well known and widely respected by many of the PIs and others in the region.

**Recommendation 4.4.4B:**

*The newly devolved Forum Secretariat will require a 'champion' in the Rockefeller Foundation to help provide oversight, advice and a point of contact for the Forum Coordinator. For a number of reasons Dr. John Lynam, Associate Director of Food Security in the Nairobi office would be eminently suitable.*

Table 4.1: Preference for Location of Forum Secretariat<sup>a</sup>

Model	1	2	3	Average	N <sup>b</sup>
Completely independent	31.6	36.8	31.6	2.0	38
Under regional network	30.7	38.5	30.8	2.0	39
Within Forum university	50.0	20.5	29.5	1.8	44

a. Respondents were asked to rank their choices, 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup>. The figures in these columns indicate percentages making these choices.

b. Indicates number of respondents.

Source: Forum Meeting Attendee Survey (Appendix C4).

Table 4.2: Choice of University in Which to Locate the Forum Secretariat<sup>a</sup>

Name of Institution	Percent of Responses
Bunda	2.4
Makerere	78.6
Nairobi	16.7
Zimbabwe	2.4

a. Respondents were asked which university should host the Forum Secretariat if it was decided a university should host it. The number of respondents was 42.

Source: Forum Meeting Attendee Survey (Appendix C4).

Table 4.3: Advantages of Locating the Forum Secretariat at Makerere<sup>a</sup>

Characteristic	Number of Responses	Percent of Responses
Strong and interested leadership	11	18.0
Strong 'team work', well organised, interactive communication, considerable transparency within Faculty of Agriculture	9	14.8
Benefited most from Forum and most experience with it	7	11.5
Progressive government attitude to agriculture and progressive university	7	11.5
Well trained staff	6	9.8
Uganda has strong international support – thus increased probability of attracting funds	6	9.8
Strong infrastructure present and location good	3	4.9
Accounting system good	3	4.9
Experience with coordinating regional programmes	2	3.3
Demonstrated commitment to deliver (e.g., hosting and editing the African Crop Science Journal)	2	3.3
Others <sup>b</sup>	5	8.2
Total	61	100.0

a. Respondents were asked to indicate up to three advantages of locating the Forum Secretariat at the university they named as being their preferred institution (i.e., in this case Makerere) if the decision was made to locate it at a university.

b. For example: ability for the university to bounce back after a decline; stability of the university.

Source: Forum Meeting Attendee Survey (Appendix C4).



Table 4.4: Disadvantages of Locating the Forum Secretariat at Makerere<sup>a</sup>

Characteristic	Number of Responses	Percent of Responses
Biasness/selfishness – disproportionate access to resources	14	45.2
Possible negative impact on Forum activities by university actions	6	19.4
Diminished transparency	5	16.1
Others <sup>b</sup>	6	19.4
Total	31	100.0

- a. Respondents were asked to indicate up to three disadvantages of locating the Forum Secretariat at the university they named as being their preferred institution (i.e., in this case Makerere) if the decision was made to locate it at a university.
- b. For example: if no representative on Steering Committee others may feel sidelined; some staff not financially transparent; lack of established disciplinary procedure for poor/irresponsible performance/actions; diminished sense of autonomy/regional ownership; possible political instability.

Source: Forum Meeting Attendee Survey (Appendix C4).

Table 4.5: Advantages of Locating the Forum Secretariat at University Other than Makerere<sup>a</sup>

Characteristic	Number of Responses	Percent of Responses
Strong infrastructure available and location	9	37.5
Benefited most from Forum and most experience with it	3	12.5
Strong and interested leadership	2	8.3
Well trained staff	2	8.3
Experience with coordinating regional programmes	2	8.3
Others <sup>b</sup>	6	25.0
Total	24	100.0

- a. Respondents were asked to indicate up to three advantages of locating the Forum Secretariat at the university they named as being their preferred institution (i.e., Bunda, Nairobi or UZ) if the decision was made to locate it at a university.
- b. For example: opportunity for independence from university, good infrastructure, close to the Rockefeller Foundation, strong grants office.

Source: Forum Meeting Attendee Survey (Appendix C4).

Table 4.6: Disadvantages of Locating the Forum Secretariat at a University Other than Makerere<sup>a</sup>

Characteristic	Number of Responses	Percent of Responses
Diminished transparency	4	23.5
Biasness/selfishness -- disproportionate access to resources	3	17.6
Possible negative impact on Forum activities by university system	2	11.8
Others <sup>b</sup>	8	47.1
Total	17	100.0

- a. Respondents were asked to indicate up to three disadvantages of locating the Forum Secretariat at the university they named as being their preferred institution if the decision was made to locate it at a university.
- b. For example: some staff not financially transparent; difficult access; expense of management; congestion in town; possible bureaucratic delays; possible political instability.

Source: Forum Meeting Attendee Survey (Appendix C4).

Table 4.7: Costs of Running the Forum Rockefeller Foundation Office, Lilongwe, Malawi, 1997-2000

Item	1997	1998	1999	2000
Salaries, wages and benefits <sup>a</sup>	27,230	28,773	30,995	123,031 <sup>b</sup>
Local travel, operational cars and staff cars	33,149	25,272 <sup>c</sup>	35,118 <sup>c</sup>	6,103
Office expenses:				
Rent/utilities	9,334	7,676	7,732	5,179
Office expenses and supplies	31,456	38,992	46,210	28,865
Special items:				
Books and library materials	2,564	3,675	7,363	3,054
Shipping expenses – local	1,376	484	847	6,481
Professional services	1,872	1,493	1,656	5,093
Miscellaneous	7,659	1,562	7,903	6,130
Capital expenditures:				
Furnishings and equipment	14,953	43,442	22,451	10,949
Vehicles	759		23,950	
Total	130,352	151,369	184,225	194,885

a. Does not include salary or travel of Forum Coordinator.

b. Includes terminal benefits and pension set-up.

c. New car included.

## **5. BROADENING DONOR SUPPORT**

### **5.1 INTRODUCTION**

In this chapter we first look briefly at the aid environment in Africa and the rationale for donor support. Issues to consider in fund raising are then discussed followed by a brief review of the prospects for attracting donor funding for Forum. We complete the chapter by outlining a strategy for fund raising and mechanisms for attracting donor support.

### **5.2 AID ENVIRONMENT IN AFRICA**

The levels of aid to Africa increased rapidly from 1970 to 1991, and fell sharply thereafter. Per capita transfers of official development assistance (ODA) increased from \$2 in 1970 to \$32 in 1991, and fell sharply thereafter to \$19 in 1998. The downward trend has continued since [World Bank, 2000, p. 236].

The sectoral allocation of aid has also changed. In 1970s, agriculture and rural development were the sectoral priorities. In the 1980's and 90's, there was a shift away from agriculture to health, primary education, and balance of payments support. During the last five years, there has been a fourth shift towards general budget support.

Recently, there have been some signs that the downward trend in aid flows may reverse. The Monterey Conference early this year, the launching of the New Economic Partnership for Africa's Development (NEPAD), and the commitment by the G8 countries to support NEPAD may result in increasing aid to the continent.

Within the Forum countries, their status as aid recipients is mixed. Uganda and Mozambique<sup>52</sup> are major aid recipients, with ODA accounting for more than 50% of their budgets. Kenya and Zimbabwe have experienced major reductions in ODA, and in Malawi, the ODA levels have stagnated.

In terms of sectoral priorities, budget support, health, primary education, and infrastructure (i.e., particularly in Mozambique and Uganda) are the main beneficiaries. Support for agriculture is modest, and for higher education, it is minimal.

The size of Forum, at \$2 million annually, is of course, miniscule in relation to overall aid levels for the five countries. The overall aid levels and their direction do, however, influence the likelihood of aid support for Forum.

### **5.3 RATIONALE FOR BROADER SUPPORT**

Forum currently has only one source of funds -- the RF. It started in a small way ten years ago and peaked at \$2.8 million in 2000. In the current year, the proposals acceptable for funding exceed the available funds.<sup>53</sup> This, in addition to other reasons, calls for broadening donor support for the Forum.

The rationale for seeking broader donor support for Forum is thus self evident. The need to increase the size of the funding above \$2 million is obvious. Additional reasons are the need to minimise risks and enhance sustainability, and to engender ownership by African governments in providing some support for Forum.

### **5.4 ISSUES TO CONSIDER**

For the purpose of fund raising, the following questions relating to Forum are critical:

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<sup>52</sup> Tanzania, which is not currently a Forum country but could become so in the future (see Section 3.6), is also a country that is attractive as far as donors are concerned.

<sup>53</sup> We were told these amounted to 25 proposals not being funded.

- Does it address issues which are priority national development goals?
- Do these issues coincide with donors' funding priorities?
- Does it address the issues effectively (i.e., is it efficiently managed)?
- Are its management practices, especially financial management, transparent?
- Does it have an efficient reporting system, both programmatic and financial?

Forum's objective is to strengthen M.Sc training in agriculture through provision of research competitive grants. The research topics are selected in consultation with beneficiaries. Its research is therefore demand driven. To the extent that Forum efforts will ultimately improve agriculture productivity, and agriculture is a priority sector in all Forum countries, the initiative addresses a priority development goal in the five countries.

Graduate training, however, is not an explicit development priority in the five countries. The governments of Kenya, Malawi, Mozambique, Uganda, and Zimbabwe provide subsidised undergraduate education, including bursaries, but do not provide financial support for graduate studies. Therefore, currently the training plans for the M.Sc and Ph.D degrees in the Forum universities appear to be opportunistic or reactive rather than proactive, as far as funding is concerned. Also apart from the RF and the recently initiated programme for graduate training by the RF together with the Ford, MacArthur and Carnegie Foundations, university training is not generally a major priority for donors.

As we have repeatedly indicated, Forum is well designed and managed, thus confirming the findings of the 1998 review [Ekwamu, Kanyama-Phiri, Karanja, Mpeperek, and Norman, 1998]. Communication between the PIs, their respective faculties and departments, and students, is satisfactory, while research output, both in terms of volume and quality, is also high.

To attract donor funding, the Forum will need to maintain and enhance these strengths. It will also need to do a number of other things. Some important ones are as follows:

- **Research topic selection.** Currently selection of research topics is demand-driven. As the current donor and national governments' funding priorities are focussed to a greater extent on agriculture and not graduate training, the research topics must be seen to be addressing agricultural development concerns. In addition research topic selection should, we believe, be seen to address poverty reduction and must be consistent with the countries' Poverty Reduction Strategy Papers (PRSPs). It must also continue to be consultative between the farmers, the civil society (e.g., NGOs), and government agents (e.g., extension staff), as currently tends to be the practice.
- **Non-traditional funders.** Apart from the traditional donors, Forum should seek funding support from the national governments, the private sector, and the NGOs. To do so, these parties should be involved in research area selection so that the output is relevant to their needs. The *modus operandi* for facilitating this would be the research committees in the universities eliciting inputs at the stakeholder country meetings we advocated earlier in the report (see Section 3.2.3 and Suggestion 3.2.3B).
- **Monitoring and evaluation of research.** As we indicated earlier (see Section 4.4.1), currently, the Forum Secretariat does little in terms of reporting progress in research work. The onus is on the PIs to make a mid-term progress report and provide the final report. With devolution and the prospect more donors, reporting requirements on work in progress and the quality of research output will increase, and the Forum Secretariat will need to position itself to meet these requirements.
- **Dissemination/outreach and impact.** One activity which is likely to attract the interest of governments, non-governmental organisations, and the private sector is dissemination of technologies arising from research activities and their positive impact on the welfare of farmers as a result of their adoption. It should be possible to attract funding from government agencies, NGOs, and the private sector for the dissemination of research results. Research proposals should

include, when appropriate a cost for the dissemination component. Such proposals could be submitted both for funding by the Forum and other interested parties, and the accounting system should be designed to accommodate both the funding by Forum and by the others. Thus dissemination of research output to the farmers through agricultural extension and other channels should, as we have earlier emphasised (see Section 3.4.3 and Recommendation 3.4.3B), become, when appropriate, an explicit objective of each research proposal. The modalities of dissemination and the costs should therefore be incorporated in each proposal.

- **Publicising the achievements of Forum.** It will be important to publicise widely the achievements of Forum through annual reports, fliers, and media releases to help in making Forum attractive to potential donors. The Forum Secretariat needs to reach out to potential donors, both traditional and non-traditional. It should be pro-active in keeping donors abreast of its activities, achievements, future plans, and funding needs. The Forum Coordinator will need to commit a significant amount of time for outreach to donors and fund raising. To help in the process, the Secretariat should prepare an information document, along the lines of the July 2002 Forum report, detailing out the status of the Forum and its funding requirements – an issue we return to shortly (see Section 5.6.1 and Recommendation 5.6.1). The document should be updated periodically, and be made available to donors, both current and prospective.
- **Accounting, financial management, and reporting.** Accounting and financial reporting under the existing situation is straightforward as everything is done in-house. With devolution and more donors, accounting and financial reporting will have to be modified to meet the requirements of all parties concerned. Some donors will provide restricted funding while others will restrict their funding to specific activities. The accounting system should be designed to meet these requirements.

#### **Recommendation 5.4:**

*To attract funding from other donors Forum will need to maintain and enhance the strengths it already possesses. It will also need to fine-tune its research topic selection process, monitor and evaluate research output to a greater extent, and pay greater attention to dissemination/outreach and impact, to publicising the achievements of Forum, and to accounting, financial management and reporting.*

## **5.5 PROSPECTS FOR ATTRACTING DONOR FUNDING FOR FORUM**

Among the donors visited by the consultants,<sup>54</sup> four of them, (i.e., the Ford Foundation, the European Union (EU), the Regional Development Services Office (REDSO) of the USAID, and the African Capacity Building Foundation (ACBF)) have mandates to fund regional activities. Depending on the mandate of an individual donor, the funding may be fully unrestricted to cover both the programme and overhead costs for all member countries of Forum and all research topics, or may be restricted to particular countries, cost items, or research topics. Of the four donors, the Ford Foundation and the European Union offer the most promising funding prospects. Ford Foundation can be approached by the RF both at their Nairobi Office and in New York, and EU can be approached through any of their country offices. For the EU, funding can be sought from their regional fund as long as a minimum of three African governments support the request. REDSO is a promising prospect, but at the moment they do not have uncommitted funds. With regard to ACBF, its funding is targeted to economic policy analysis, governance issues, and public service reforms. However, it reviews its mandate from time to time, and it is likely that it will soon add poverty reduction approaches as one of its areas of funding. In that event, Forum could qualify as a candidate for the ACBF funding because it (i.e., the Forum) aims at improving smallholders' productivity through research.

For the other major donors in the region (i.e., the ones we visited), their country offices do not have a mandate to support regional activities. Their funding would therefore be restricted to a particular

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<sup>54</sup> Details on those visits are given in Appendix D.

country or specific research themes and topics. Possibilities of Forum funding as far as individual countries are concerned, is as follows:

- **Kenya.** Agricultural development has been accorded the top priority in Kenya's PRSP. Higher education, especially graduate training, has been given a lower priority. Restricted donor funding for Forum in Kenya should therefore be approached from the perspective of support for agriculture. Of the four donors visited by the consultants, the Japan International Cooperative Agency (JICA) and the World Bank are unlikely to support Forum. World Bank's aid is in the form of IDA (i.e., International Development Assistance) credits which are inappropriate for funding Forum, and JICA does not enter into a pooling arrangement with other donors in support of a specific activity. Forum researchers can, however, apply for grants from the World Bank funded Agricultural Research Fund (ARF) administered by the Kenya Agricultural Research Institute (KARI), and can undertake collaborative research with researchers funded under JICA's African Institute for Capacity Development. The Department for International Development (DFID) is not currently giving priority to agriculture. For USAID, its aid allocation for agricultural development in Kenya is \$5 million. Agricultural research is one of its areas of focus. USAID may therefore be amenable to supporting Forum activities in Kenya.
- **Malawi.** The strategy for agricultural development in Malawi is not fully formulated. The Government of Malawi and the World Bank are currently working on the agricultural development strategy. Of the four donors visited in Malawi (i.e., the World Bank, EU, JICA, and the Norwegian Agency for Development Cooperation (NORAD)), the World Bank and JICA are unlikely to directly support Forum activities in Malawi. For NORAD, agriculture is not a priority area and it is therefore unlikely to support Forum. But EU may be a candidate for supporting Forum country activities in Malawi.
- **Uganda.** Agriculture is one of the priority areas for development in Uganda, and the country is one of the biggest aid recipients in Africa. Makerere has also been very proactive in its interactions with donors. Many of the major donors in Uganda, including the World Bank, EU, and DFID, are channelling their aid to Uganda through budget support. This constrains their ability to fund Forum activities. Under the circumstances, the only way Forum can access funding from these donors is through requests to the Ugandan Government, and given the budgetary constraints, it is unlikely that the government will be able to accede to such requests. Apart from the EU and DFID, we visited NORAD. For NORAD, however, agriculture is not a priority sector. Therefore, possibility of Forum funding from this source is minimal.
- **Mozambique.** We did not have the opportunity to discuss donor funding possibilities for Forum in Mozambique. However, donor agencies are very active in the country and hence we believe the issue is more the effective absorption and use of such funds rather than availability *per se*.
- **Zimbabwe.** Because of its strained relations with donors, non-emergency aid to Zimbabwe has been put on hold. We did not therefore explore feasibility of donor funding for Forum in Zimbabwe.

Besides donors, Forum should seek funding from the national governments, the private sector, and the NGOs. Their participation in funding will improve the relevance of the Forum's research and its ownership by the Forum associated countries. The consultants did not visit these groups, but on the basis of limited interactions with the private sector representatives and government officials there appears to be scope for funding from these sources.

## **5.6 STRATEGY FOR FUND RAISING AND MECHANISMS FOR ATTRACTING DONOR SUPPORT**

### **5.6.1 The Proposed Strategy**

A strategy for successful fund-raising with respect to Forum calls for:

- Designing of an attractive product.

- Involving potential funders in the product design.
- Instituting an efficient mechanism for financial management and reporting.
- Providing regular progress reporting of activities.
- Engaging in aggressive marketing of the product to potential funders.

To date, Forum has not found it necessary to seek donor funding because it has been adequately catered for by the RF. With devolution, possible expansion of activities, and gradual reduction of core funding by the RF, it will be imperative for the Forum to devise a fund-raising strategy. The starting point in the exercise should be formulation of a medium term action plan for Forum for the next five years. The plan will outline:

- The activities which the Forum will undertake during the period.
- Their anticipated cost.
- The amount of assured funding.
- The financing gap.

In designing the strategy, account must be taken of the several possible modalities of funding, namely:

- *Totally unrestricted funding* of any activity sponsored by Forum as long as the activity is approved by the Executive Board.
- Unrestricted funding, but limited to the mission of the Forum (i.e., *core unrestricted*).
- Restricted funding for designated core activities of the Forum (i.e., *core restricted*). Core restricted may entail limiting funding to specific themes, topics, countries, ecological zones, or training.

For the purpose of fund raising the preferred priorities would be to attract totally unrestricted funding, followed by core unrestricted and finally core restricted. The reason for this ranking is self-evident – namely that the flexibility in the use of the funds, and hence discretion of the Steering Committee in creating coherence in the Forum programme decreases as one moves from totally unrestricted funds to core restricted funds.

In designing an action plan (i.e., the Forum Action Plan (FAP)) for attracting donor funding, the inputs of potential funders should be sought. The following steps are suggested:

- Once approved by the RF, a modified version of our report can be circulated to potential donors.
- Since, with a few exceptions, the funding for a regional programme can only be committed by head offices of donors,<sup>55</sup> the report should be circulated to the donors' head offices. There are many donors who potentially could be interested in Forum activities. Among these are the Ford Foundation, MacArthur Foundation, ACBF, the World Bank, the African Development Bank, the EU, CIDA, DANIDA, DFID, Ireland, The Netherlands, NORAD, SIDA/SAREC, and the USAID.
- The RF should retain a short-term consultant to visit the above institutions to familiarise them with Forum, seek their inputs for the purposes of formulating the FAP, and elicit their interest in funding it.

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<sup>55</sup> It is anticipated that funding for supporting the activities of Forum could come from *central sources* (i.e., headquarters of donors), *regionally based programmes* and from *bilateral or domestic* (i.e., within country) sources. Funding from within countries (i.e., from bilateral or domestic sources) obviously would only be available for use by one country and therefore should not be counted as part of the overall Forum research budget, at least as far as distribution is concerned (i.e., see Recommendation 3.2.3D). However, to maintain the research quality in the use of such funds, we believe it would still be useful to use the formal research approval systems adopted by Forum (see Sections 3.2.3 and 4.4.1 and Recommendation 4.4.1A).

- On the basis of the above, the RF will convene a workshop of Forum stakeholders, particularly senior PIs to provide inputs for formulation of the FAP. The workshop should be convened after the Forum Coordinator has been selected and he/she should actively participate in it.
- Once the FAP is formulated, the Forum Coordinator will make it available to the universities, Ministries of Agriculture in the five Forum countries, the private sector, and the NGOs. For the purpose of ownership and to encourage contributions on the part of external/international donors, it will be important for the African governments or the Forum universities themselves to make at least a token financial contribution to the Forum. The most effective way of approaching the governments will be through the Faculties of Agriculture of the Forum participating universities.
- The minimum target contribution for each international donor could be pegged at least \$100,000 annually to the core budget of the Forum. This contribution will entitle the donor to membership of the Executive Board of the Forum. African governments or the Forum universities will be encouraged to make a minimum contribution of at least \$10,000 annually. The African governments will also be encouraged to contribute restricted funding to identified research and other activities in their respective countries.

#### **Recommendation 5.6.1:**

*A Forum Action Plan (FAP) for attracting funding from other donors should be developed and put into operation. Totally unrestricted funding, core unrestricted and core restricted funding should be sought in that order of preference. Funds should be sought from international donors (i.e., through head offices, regional offices and bilateral programmes) and from non-traditional donors (i.e., national governments, NGOs, and the private sector). National government or Forum university contributions are particularly important, even if in token amounts, since this implies ownership and support for Forum.*

#### **5.6.2 Contributions by the Rockefeller Foundation**

Figure 5.1 conceptualises the anticipated funding of Forum over the next five years. Specifically as far as RF is concerned:

- They have indicated an intention, if necessary, to support Forum to the tune of \$2 million/year for the next two to three years (i.e., 2004-2005).<sup>56</sup>
- They may be willing to consider supporting the Forum Secretariat for up to five years – which we estimate will be about \$350,000/year – presumably up to and including 2007 (see Section 4.4.3).
- They would prefer, all other things being equal, for funds with respect to the research part (i.e., about \$1.65/year for the first three years) to be in essence core restricted funding in the sense it would be accessed if the relevant RF Programme Officer approves and funds would be directly released to the grantee's institution thus by-passing the Forum Secretariat. However, we have strong reservations about this for reasons discussed earlier (see Section 3.7). A possible compromise that we propose is as follows:
  - ◀ That for the first three years, \$650,000/year is treated as core restricted (i.e., research proposals must be approved by the relevant RF Programme Officer) and \$1,000,000 is treated as core unrestricted.
  - ◀ The RF Programme Officers meeting with the Forum Steering Committee, if possible at its first meeting to discuss and explain the strategic thrusts they are responsible and what type of proposals they are likely to approve. It would be highly desirable if handouts explaining what

<sup>56</sup> We understand that the three strategy research thrusts under the RF Food Security Programme will be reviewed at the end of 2003 (i.e., the market research area) and at the end of 2004 (i.e., the improved crop varieties and soil productivity areas). Since this means that it is likely any changes in these research thrusts are not likely to be made until 2005 it makes sense to us to argue for the three year period instead of two years, for initial the support period. It also provides a better 'window' for attracting funds from other donors – something we feel is critically important.

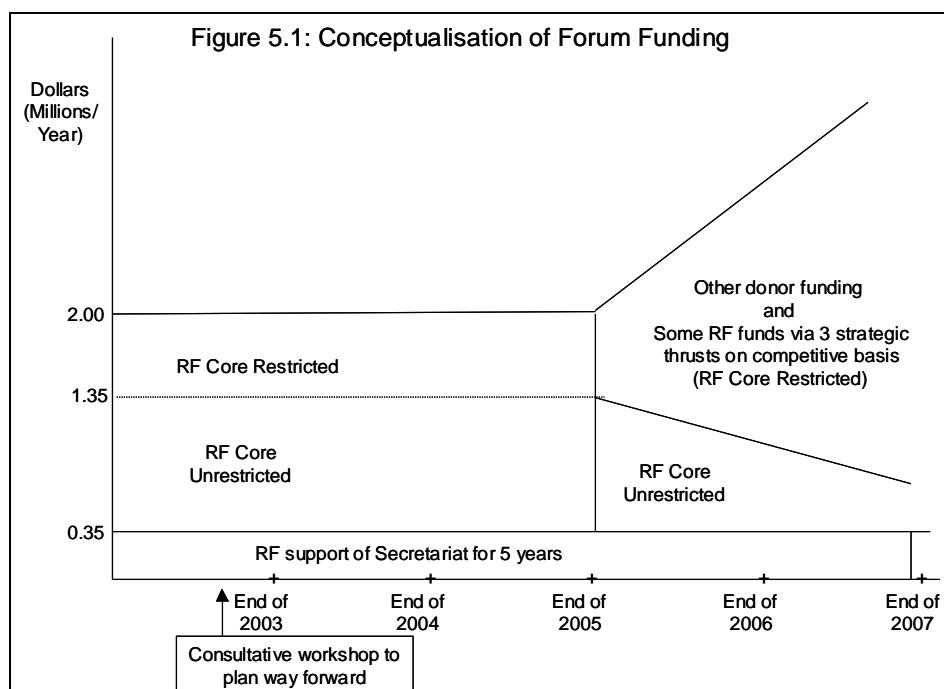


they present could be produced for distribution to the Forum associated universities. Also, strong encouragement should be given to the RF Programme Officers to attend regional and country meetings organised by Forum (see Suggestion 3.2.3B).

✦ For the *core restricted funds component* we propose:

- The initial research proposal and reviewing process, proposed earlier (see Sections 3.2.3 and 4.4.1 and Recommendation 4.4.1A) is still followed.<sup>57</sup>
- If the Steering Committee and the Coordinator approve the proposal and it is considered to fit into one of the RF strategic areas, it is then forwarded by the Forum Coordinator to the relevant RF Programme Officer for possible approval and funding.
- If it is not approved for funding by the relevant RF Programme Officer (i.e., hopefully with reasons given) then it is returned to the Forum Coordinator who will give it to the Steering Committee for further consideration.

If the reasons for the objection by the RF Programme Officer can be satisfactorily addressed, then providing it meets the criteria for funding under Forum it is funded from the core unrestricted part of the RF budget.



✦ For the *core unrestricted funds component* we propose:

- The approach outlined earlier (see Sections 3.2.3 and 4.4.1 and Recommendation 4.4.1A) is followed.
- Any research proposals approved under the core-unrestricted component are sent to the relevant RF Programme Officers for information purposes.<sup>58</sup>

<sup>57</sup> Questions may be raised why the initial review process is still recommended. There are three reasons for proposing this: first, it ensures the Forum Secretariat and Steering Committee know what is going on; secondly, it improves the probability of research proposals being in better shape before being sent to the RF Programme Officers therefore hopefully speeding up the approval process; and thirdly, the minimum amount of \$600,000/year in the strategy areas is to be reserved for Forum associated research projects if they are forthcoming.

<sup>58</sup> We did consider the possibility of the RF Programme Officers sitting on the Steering Committee but rejected it as being undesirable since it would create a precedent for other donors to request similar

- After three years core unrestricted research funding from RF will be phased out but Forum will still be able potentially to access restricted RF research funding by competing for funds to be made available for supporting the three strategic themes being developed for the Food Security Programme (see Section 1.4).

**Recommendation 5.6.2A:**

*It is important that the new Forum Coordinator and the Rockefeller Foundation Programme Officers in charge of the three strategic research thrusts of the Food Security Programme work on keeping channels of communication open, on encouraging cooperation with each other, and on sharing information, and whenever possible, activities. The Programme Officers, as part of this initiative should be expected to present their research priorities to the Forum Steering Committee and to attend and participate in the thematic and in-country meetings (see Suggestion 3.2.3B) organised by Forum.*

**Recommendation 5.6.2B:**

*Given the desire for the Rockefeller Foundation Food Security Programme to achieve coherence and impact in its research programme as far as the three strategic research thrusts are concerned and the need for the devolved Forum to demonstrate continued research quality and financial management as an independent entity for the purpose of attracting funding from other donors, there should be a split between the allocation of the research funds made available for Forum over the next three years (i.e., \$2 million minus the funds required for running the Forum Secretariat, estimated at \$350,000). From the viewpoint of Forum, the preferred split would be \$1million/year as core unrestricted and the remainder as core restricted (i.e., research proposals approved for funding out of the three strategic research areas being promoted by the Rockefeller Foundation).*

Thus, if RF accepts the above commitments, there will be no pressure for an immediate funding commitment from other donors. However, additional donor funding will become critical after 2005. We believe this period of continued support from RF will be critically important in nurturing the potential sustainability of Forum since it is unreasonable to expect donors to make immediate financial commitments to Forum while it is going through the process of devolution and setting up its new management, administrative and operational arrangements.

Fund raising activities will be very critical during the initial years of Forum. This will be time-demanding for the Forum Coordinator. This is why we have recommended (see Section 4.4.4 and Recommendation 4.4.4A) that a consultant be retained on a part time basis to assist the Forum Coordinator in fund raising activities.

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treatment. We have chosen to separate the donors from the research group by means of the Executive Board (i.e., consisting of donors) and the Steering Committee (i.e., consisting of researchers, etc) (see Section 4.4.1). This is because we are aware of problems that have arisen where donors have had a major, and sometimes negative, influence on specific research programmes in other institutions.

## **6. CONCLUDING COMMENTS**

The Executive Summary at the beginning of this report provides an overview of the content of this report and therefore we do not provide a detailed summary in this chapter.

In conclusion we are convinced the RF can be very happy with the impact of Forum to date and the prospects of increasing impact in the future as the culture associated with Forum becomes increasingly institutionalised within faculties. We believe continued support by the RF is vital not only to ensuring that institutionalisation is secured (i.e., increasing the return to sunk costs) but to provide a window of opportunity (i.e., in terms of time) for attracting support from other donors. As we have indicated in the report the way in which that support is given will be a critical ingredient in determining whether or not other donors are likely to be forthcoming in terms of their support. We appreciate that for the RF to provide support in a manner that will create conditions conducive to engendering support from other donors will require some sacrifice in the short run in fulfilling the recently redefined objectives of the Food Security Programme. However, we are convinced that it will ensure that the devolution of Forum results in a soft landing – therefore helping improve the probability of Forum surviving in the long run – rather than a hard landing – in which the long term survivability of Forum would be much more problematical. We also appreciate that the setting up of an independent/autonomous unit for the Forum Secretariat with its checks and balances will be more expensive for the RF than some other possible models but once again we believe, that because of legitimate concerns on the part of Forum associated personnel other than at Makerere, it is the only feasible option if Forum is to survive as a regional entity in the long run.

We therefore sincerely hope that the RF will be prepared to accept this commitment and challenge so that conditions are created that will help ensure Forum has a realistic and bright future.

## **APPENDICES**

# APPENDIX A: TERMS OF REFERENCE

## A1 BACKGROUND

Since it was launched in 1992, the Forum programme has helped to restore and enhance the science and research culture within university faculties of agriculture in several East and Southern African countries. Its main instrument has been a competitive grants programme that emphasises field research at the M.Sc. level. The RF is currently considering the size and nature of support for a second phase. It is timely to determine whether fundamental changes in the Forum programme may be desirable, and to identify future directions that build on the experience to date.

## A2 GENERAL OBJECTIVES

The objectives of this consultancy are to define options and make recommendations to be implemented during a Forum phase two that will:

- Transfer programme management to an African institution.
- Adapt the Forum strategy and approach to changing needs and opportunities.
- Broaden and sustain donor support.

## A3 APPROACH

The consultants will interview administrators and professors in the agricultural faculties of each of the universities that participated in Forum's first phase. They will also consult with other institutions in the region that operate human capacity building programmes which are regional or pan-African in scope, such as AERC and USHEPIA, and with donors potentially interested in investing in future Forum programmes. The consultancy will be done in phases requiring several trips to East and Southern Africa and may be to Europe.

## A4 OUTPUTS

Options and recommendations for each of the three general objectives will be set out in a final report covering the following areas:

- Transfer of management to an African institution:
  - ◀ Identify faculties, institutions or networks that have the human and institutional capacities and reputation to operate a regional programme.
  - ◀ Analyse the advantages and disadvantages of well-defined institutional options, including financial implications.
  - ◀ Explore with key authorities of potential hosting institutions, their commitment and capacities to take on responsibilities for Forum management.
  - ◀ Recommend a new institutional home together with management and oversight mechanisms.
  - ◀ Develop a plan for a phased transfer of programme management.
- Adapt Forum mission and approaches to current needs:
  - ◀ Identify from past Forum reviews, areas of strength and weakness, and opportunities for improvement.
  - ◀ Critically examine other major regional training programmes to identify new approaches that would improve relevance, quality and cost effectiveness. These may include, among others: Public Health School Without Walls/ Unit based at Makerere University, AERC Masters and Africa-based PhD programmes, and USHEPIA.

- Describe and analyse the advantages and disadvantages of both major and minor changes in direction and approach, with special attention to career launching and retention of graduates and to national needs with regard to district decentralisation of agricultural on-the-ground research and service delivery of improved technologies.
  - Recommend a set of viable changes, and provide a clear rationale for these choices.
  - Develop a plan for a phased introduction of the new Forum directions and approaches.
- Broaden donor support:
  - Identify funding sources in support of the Forum either through core or programme support, and including national governments via support of faculty salaries, etc. and university cost recovery schema.
  - Explore with potential funding partners promising options for Forum's institutional home and future directions and approaches, and solicit inputs into these recommendations.
  - Determine probable levels and conditions for funding support in the future.

# APPENDIX B: ACTIONS ON SUGGESTIONS MADE IN 1998 REVIEW OF FORUM

## B1 INTRODUCTION

A number of suggestions were made in the 1998 review of the Forum Programme [Ekwamu, Kanyama-Phiri, Karanja, Mpeperek, and Norman, 1998]. These were divided into five parts, namely consideration of the Forum objectives, implementation related issues, matters relating to impact and management and, finally, considerations pertaining to the future. We list these suggestions in their entirety in the following sections and below each indicate what action, if any, has been taken with respect to each of them, as reported to us by the Forum Coordinator, Dr. B. Patel. The numbering system reflects the section in the 1998 report where the argument for making them was presented.

## B2 OBJECTIVES

Suggestions were made about minor modifications to the Forum Programme flier. These related to: clarifying the subject matter areas to be supported under the Forum Programme and ensuring their relevance to the specific priorities of the different countries (Suggestion 3.3A); greater explicit emphasis on systemic interactions and interdisciplinary collaboration (i.e., particularly between technical and social scientists) (Suggestion 3.3B); and that, in view of the client (i.e., farmer) focus of the research, there should be a statement that an on-farm research component is generally expected (Suggestion 3.5).

### **Suggestion 3.2:**

*Forum should continue to emphasise support at the M.Sc level but should also consider supporting Ph.D research in special/exceptional circumstances providing it helps support capacity building within the university or at the NARS, and providing alternative funding sources (i.e., RF or other) cannot be identified. However, in order to reduce the potential problems relating to inbreeding (i.e., faculty being exposed only to degree work at their home institution) it should only be done if other sources of funding are found to support some exposure to activities/courses at another university (i.e., at least 6 months).*

No action was taken on this suggestion because of concern that diluting the focus of the Forum Programme. Instead, it was argued that other funding avenues for Ph.Ds should be explored including those available through the RF. For example, Forum graduates who are faculty members in academic institutions in the Forum countries are being supported with RF funds in Ph.D programmes in crop breeding at the University of Natal, South Africa, in participation and extension at Wageningen University in the Netherlands, and in nutrient resource management/soils at Cornell University, USA.

### **Suggestion 3.3A:**

*Given the broad subject matter interpretation that now appears to exist with respect to approval of Forum projects, consideration should be given to clarifying subject areas and minimising possibilities of misinterpretation. One approach that might be considered would be still to emphasise resource husbandry and system based issues but permit applications relating to the food and legume crops that are priority crops for each of the individual Forum countries. An alternative way of addressing this issue is for the Forum to sponsor a stakeholder workshop in each country (e.g., consisting of representatives of academia, NARS, NGOs and extension) to decide on the broad research priorities for Forum sponsored projects for the next five-year period. This could also facilitate fostering of linkages between the stakeholders also considered important in Forum sponsored projects.*

Bunda, Eduardo Mondlane, Makerere and Zimbabwe universities have held stakeholder workshops and initiatives have been taken by these faculties to develop proposals including those relating to curricula reform. Funding has been put aside (\$350,000) in the Forum programme for curricula review. A meeting was held at Bellagio with reference to curricula reform exercises. There was

general agreement that changes were required not in the curricula *per se* (e.g., incorporation of systems thinking, skills development needs earlier offered in student retreats, etc.) but in the methods of teaching (e.g., experiential learning). According to the Forum Coordinator there is evidence that changes are taking place in universities stimulated in part by the Poverty Reduction Strategy Papers (PRSPs) being implemented in the Forum countries.

**Suggestion 3.3B:**

*The list of possible topics considered potentially suitable for funding under the Forum Programme should be presented in a systematic and definitive manner and emphasise the significance of systemic interactions and the desirability of interdisciplinary collaboration between technical and social scientists to address effectively issues relating not only to productivity but also to sustainability. The list of topics to be considered should also be broadened to include topics relating to plant tissue culture and varietal screening when the objective is to identify resistance to specific diseases and insects.*

This has not been done although the Forum Coordinator believes it needs to be done.

**Suggestion 3.5:**

*The flier stipulating the content and conditions for Forum sponsored research grants should contain the stipulation that the research proposal should generally contain an on-farm component to ensure a client-oriented approach not only to needs assessment (i.e., problem diagnosis) but also in devising and evaluating potential solutions to the problems.*

The flier has been modified along the lines proposed in the suggestion.

### **B3 IMPLEMENTATION**

Suggestions were made proposing greater responsibility on the part of individual faculties in helping to improve grant proposals before they are forwarded to the Forum, and for ensuring that complementarities between Forum grants and the return from their implementation is maximised (Suggestion 4.2A). It was also suggested that the Forum Coordinator and Advisory Committee should decide what area(s) of ‘special needs’ the Forum would be willing to support, and that it should play a cautious and reactive (i.e., rather than proactive) stance in responding to the ‘special needs’ articulated by the Forum associated faculties (Suggestion 4.2B). Also it was suggested the biannual meetings could provide an opportunity to discuss methodological topics or for producing state of the art documents on issues/topics that relate to more than one research grant (Suggestion 5.9A). Three suggestions also related to curricula reviews, biometrics, and information/connectivity (Suggestions 5.7, 5.8 and 5.9B).

**Suggestion 4.2A:**

*In faculties where there is a critical mass of past or current Forum grantees (e.g., three), a formalised system should be put in place to provide an initial internal peer review of research proposals, to encourage broader faculty participation in Forum sponsored research activities, and to identify and exploit potential complementarities between the Forum grants to improve efficiency and maximise the multiplier impact of the total research effort.*

This has in fact only been fully implemented at Makerere and partially implemented at Moi and UZ. At Makerere, in particular, it has been explicitly used to encourage more faculty members to develop research proposals for funding under Forum auspices. In other universities it has not been implemented either because there is not a critical mass of Forum grantees for it to work effectively and/or because Forum grantees/potential grantees are reluctant to be subjected to transparent peer review by their colleagues.

**Suggestion 4.2B:**

*The Forum should be very cautious in moving towards addressing the ‘special needs’ of the faculties. It should only consider responding to such needs under very explicit conditions. For example, the Forum Advisory Committee needs to decide the types of ‘special needs’*



*which it will respond to, and it should play a reactive rather than proactive stance in addressing those needs (i.e., the 'special needs' should be articulated as a result of a consensus within the faculties, therefore indicating faculty 'ownership' of those needs). Such requests should also only be encouraged in universities where there are critical masses of current Forum grants (e.g., five). The limited resources available to the Forum and the increasing needs of the different faculties, as a result of declining governmental support for higher education, means that stringent criteria need to be applied in responding to articulated special needs.*

Because too many 'special needs' were forthcoming, and it proved to be potentially time consuming to consider them, it was very difficult to decide on appropriate criteria for prioritising them, and they were potentially very demanding in terms of the very limited resources available to the Forum, the decision was made not to implement the suggestion in its entirety. However, two special needs of a general nature were addressed. These related to training initiatives relating to proposal writing and biometrics. Both initiatives had an impact beyond those individuals associated with Forum. In terms of other special needs, faculties were expected to identify other funding sources.

**Suggestion 5.7:**

*The Forum Coordinator and the Advisory Committee should continue to seek ways of correcting the biometric weaknesses apparent in some of the Forum sponsored projects and articulated by both students and Principal Investigators. As much as possible, this should be done through building on local/regional biometric strengths (i.e., within the National Agricultural Research Systems) and nurturing/enhancing capacity within the faculties of agriculture (e.g., through short courses, developing self-learning teaching modules in disk format).*

A number of initiatives to rectify biometric deficiencies have been used to rectify the perceived biometric deficiencies. Dr. Roger Stern has visited all of the institutions, and also negotiated training for four women biometricians (i.e., two from Kenya, and one each from Malawi and Zimbabwe) to receive training in Genstat in the UK by the manufacturers of Genstat – the RF paid for the airfares. These women have been provided with computers and have started to run fee-paying training programmes in Genstat in the region outside office hours. A common course in biometrics is in the process of being developed.

**Suggestion 5.8:**

*The Forum Programme through the Information Access and Connectivity Project should explore the possibility of purchasing the TEEAL system for the next six years for each of the universities where it operates. Given the importance of good information access to those not directly associated with the Forum Programme, the Forum Programme should, where possible, look for cost sharing arrangements.*

The TEEAL system or upgrades have been purchased up to 2005 for five faculties, namely Bunda, Egerton, Kenyatta, Makerere and Zimbabwe.

**Suggestion 5.9A:**

*The Forum should sponsor a review of the courses in the different Forum associated faculties that deal with topics relating to on-farm research (e.g., empowerment of farmers, data collection techniques such as PRA, RRA and formal surveys, and experimental design and analysis) with the aim of improving or enhancing, through a formal training course, the ability to use appropriate on-farm research techniques.*

This has not been done by Forum although grants were given from other RF sources to Bunda, Makerere, and UZ and Bunda to review these. Also there is an obvious link between these and the curriculum review issue (see response to Suggestion 3.3A above). The Forum Coordinator believes probably more needs to be done with respect to this and in fact would like to engage someone to look at issues relating to participatory rural appraisal/rapid rural appraisal (PRA/RRA) in Forum.

**Suggestion 5.9B:**

*At the biannual regional meeting, a topic or topics that is/are relevant to a number of Forum sponsored research projects should be chosen for review as a result of which the approaches used and the lessons learned are documented to help provide suggestions on how best to deal with the topic in the future. The findings of the reviewer can be discussed at the next biannual regional meeting with the objective of coming to a Forum agreed, but not necessarily binding, position on the topic. If considered useful and appropriate, the findings could possibly form the basis of Working Papers. A possible example would be a review of the approaches used by Forum sponsored projects to on-farm research, an area concerning which some Forum PIs currently feel a degree of insecurity.*

This has not been done systematically although efforts have sometimes been made, for example, in the area of soils. Also the Forum Coordinator believes innovative links need to be developed with the new strategy subject areas (i.e., see Section 1.4) recently developed by the RF in the food security area.

**B4 IMPACT**

A suggestion was made to encourage greater dissemination of methodologies and results in the region through the implementation of a Working Paper series, primarily in an electronic format (Suggestion 5.2). However, we stress these should not be viewed as a substitute for peer-reviewed scientific papers.

**Suggestion 5.2:**

*The 1994 Advisory Committee decision to produce a Working Paper series should be acted on. The papers produced should, however, not be viewed as a substitute for producing published peer reviewed scientific papers. To minimise costs of production and dissemination the potential of electronic publishing of the papers on the Forum web page should be explored, coupled with an invitation for interested individuals to down load them into hard copy form. Only a very limited numbers of hard copies should be produced under Forum auspices and made available to those without direct or indirect access to the web page.*

Five working papers have been produced, one containing abstracts of papers produced and four others are in the pipeline. The Forum web page (<http://rockforum.org>) has been developed but the suggestion of electronic publishing of papers has not been implemented. However abstracts of many papers produced are posted on the web page.

**B5 MANAGEMENT**

The review concluded the management and the supervision of the Forum Programme was excellent. Therefore, although there were a total of 11 suggestions in the report that related to management issues, they should not be construed negatively. Rather, they related to addressing many of the issues raised in the TORs. The suggestions were divided into those relating to the:

- Forum Coordinator and the Advisory Committee. Suggestions related to withdrawing the initial grant possibility (Suggestion 5.3), widening use of thesis supervision allowances (Suggestion 5.4), and, in view of the increasing numbers of grants, requiring a more formalised reporting format (Suggestion 5.2B), and sharing responsibilities for informal visits to field trials (Suggestion 5.2A).
- Faculties and PIs. Suggestions related to improving the transparency between the faculty and students (Suggestions 5.2C and 5.2D), and to improving not only the transparency but also the timely supervision of students and PI accountability in Forum reporting documents (Suggestions 5.2E and 5.2F).
- Both groups. Suggestions involved those relating to recognising there is need for a small administrative overhead (Suggestion 2.5B), ensuring that the Forum sponsored vehicles were

properly insured/registered and were under the jurisdiction of the PIs (Suggestion 2.5A), and guaranteeing that the purchasing power of the grants was maintained (Suggestion 2.4).

**Suggestion 2.4:**

*To combat currency devaluation the Forum Secretariat should facilitate preservation of the purchasing power of their Forum grants through encouraging universities, where allowed, to set up external US dollar accounts that can be accessed when Forum related expenditure is required. If external accounts are not permitted then the Forum Secretariat should continue providing the funds on a periodic basis.*

External accounts were set up at Bunda and UZ where the problem was most acute. Additional action was not perceived to be a problem in the other universities.

**Suggestion 2.5A:**

*The Forum Coordinator (or an Advisory Committee member) should be prepared to intervene personally if the Forum grant vehicles are not registered/insured according to standard university policies, if there is evidence of the use of the vehicles for personal purposes, and if they are not under the control of the PIs.*

Action by the Forum Coordinator was undertaken at one university where such problems were apparent.

**Suggestion 2.5B:**

*In recognition of the administrative responsibilities relating to implementing, monitoring, and reporting on the Forum grants, a token administrative overhead component (e.g., 5%) should be considered as a legitimate item in all budgets for Forum grants.*

This suggestion has been implemented in its entirety.

**Suggestion 5.2A:**

*The Forum Coordinator, in consultation with other Africa based RF staff and with the AC members, should ensure that at least one of them informally visits representative field sites of every PI each cropping year.*

The Forum Coordinator indicated that monitoring and evaluation activities are still not as satisfactory as they should be. However, administrative and financial management procedures, and reporting systems have been tightened up.

**Suggestion 5.2B:**

*Because of the increasing size and complexity of Forum activities, the Forum Coordinator should implement a more formalised reporting format for grant requests, annual reporting, and terminal reports, based on those drawn up by her sometime ago. The terminal reports should be kept together as a permanent record of the achievements of each Forum sponsored project.*

Formal reporting systems have been made more rigorous and their production is made as a condition for receiving the next tranche of a grant. Terminal reports are obligatory as per RF regulations.

**Suggestion 5.2C:**

*To avoid misunderstanding, the Faculties of Agriculture and supervisors/PIs of Forum grants should make every effort to be transparent in publicising the method by which Forum sponsored students are selected.*

The Forum Coordinator believes that too much policing of this issue is likely to be counter productive and that a culture of excellence will minimise the problem, as will situations where there are good and effective postgraduate committees.

**Suggestion 5.2D:**

*The Faculties of Agriculture and supervisors/PIs of Forum grants should make every effort to be transparent in their dealings with Forum sponsored students, for example, in providing Forum sponsored students with a letter indicating their allowances, and ensuring that*

*agreement is reached at the research design stage on the budget allowed for executing the approved research programme of the students.*

The Forum Coordinator has encouraged the Forum PIs to be transparent in showing their grant budgets to the associated Forum students although it is recognised that this is still not always done.

**Suggestion 5.2E:**

*To help improve accountability and transparency in monitoring and evaluation of Forum grants, the students and collaborators should contribute personally written sections to the annual report. Their signatures should appear on the sections they have written.*

This is now being done.

**Suggestion 5.2F:**

*The full Student Development Grant should be paid if the period between the date of the first student stipend payment and successful defence at the M.Sc/M.Phil oral exam is less than 2.5 years. Fifty percent of the amount should be paid if the time period is between 2.5 and 3 years, and nothing should be paid if the period is more than 3 years. To improve incentives, the value of the Student Development Grant should be increased by reducing the value of Preparation Grants. The use of the Staff Development Grant should be determined by the recipient PI in consultation with his/her Head of Department.*

This is, in fact, now being done although it now consumes 12.5% of the Forum budget. Such grants have a maximum value of \$2,500 and have proved to be very useful and much appreciated. For example, at UZ they have been used for building a house for housing for PIs and students in a resettlement area where the field work for several Forum grants has been undertaken.

**Suggestion 5.3:**

*The possibility of applying for an initial grant should be withdrawn, and the supporting grant should be renamed main grant. Also some flexibility should be permitted in terms of when the main grant starts, to enable PIs to synchronise hiring of students at the beginning of the academic year, thereby permitting students to complete their M.Sc/M.Phil studies within the stipulated time period.*

The initial grant has been discontinued although preparation grants (i.e., \$5,000) are still available to enable PIs to collect and assemble the data and information necessary for justifying the main grant.

**Suggestion 5.4:**

*Because of deteriorating financial compensation packages for university faculty, the increasing necessity of supplementing salaries from other sources, and the need for good supervision of postgraduate students, all thesis supervisors should be compensated at a total level of \$1,200/year (i.e., the level received by Makerere University faculty) for a two year period per student. How such supervision allowances are distributed should be decided on a faculty-by-faculty basis, and a letter indicating the division should be written by the PI to the Forum Coordinator and copied to each of the supervisors associated with his/her grant. If the university does not allow thesis supervisors to receive such allowances directly, then honoraria should be paid, on a six-monthly basis, by the Forum directly to the supervisors. However, the university administrations should be informed that this is taking place.*

This has been implemented.

## **B6 FUTURE**

A suggestion was made about nurturing the research/development link, not only because it is required for successful dissemination of the technologies that have been developed, but also in the belief that interaction between those responsible for research and development can also be fruitful during the technology design and evaluation stages (Suggestion 6.2).

A major challenge for the Forum Programme is how to increase the socioeconomic input into the research projects it sponsors. No specific recommendations were made in this report on how to

accomplish this. However, another report, also produced for the RF [Norman, 1998], examines issues relating to the limited microeconomic capacity in most of the Forum sponsored universities, while a specific initiative currently being explored by the RF is to establish a network specifically relating to forging links between agricultural economics and sustainable resource husbandry.

In considering the future, the 1998 Review Team felt the Forum Coordinator and the Advisory Committee needed to look into issues relating to the appropriate balance between giving repeat grants to former PIs or broadening impact through giving grants to new PIs (Suggestion 4.3) and developing and implementing a strategy for attracting funding from other donors to support Forum-related activities (Suggestion 6.3C). Finally it was proposed that RF and the Forum, in continuing the quest for empowerment and sustainability identify and implement initiatives that not only empower individuals but also institutions indigenous to the region (Suggestion 6.3A).

**Suggestion 4.3:**

*If the anticipated research budget is not expected to increase, or is not flexible, then the Forum Coordinator and the Advisory Committee should develop a strategy for deciding on the appropriate balance and criteria for awarding further/supplementary grants to former/current Forum grantees and to broadening participation to include more individuals as beneficiaries of Forum grants.*

The Forum Coordinator indicated the frequency of repeat grants has been reduced, although they are still given subject to satisfactory and demonstrated progress on the preceding grant.

**Suggestion 6.2:**

*The Forum Programme should seek ways of facilitating and nurturing the research/development linkage through involving influential development stakeholders (e.g., NGOs, extension, representative farmers, and possibly planners and commercial representatives) in the biannual meetings, and through engaging in a limited number of collaborative development related activities (e.g., participating in farmer and development staff training workshops, making presentations at agricultural shows and, when relevant, implementing impact and adoption studies).*

More in-country Forum meetings are being held which are organised in country with funding also derived internally. However retreats have been reduced. Meetings involving stakeholders need to be done more systematically although some have been organised with respect to curricula review (see response to Suggestion 3.3A). In Western Kenya there is a consortium for helping determine research agenda relating to the soils work supported by the RF under another initiative. The Forum Coordinator feels it would be highly desirable for the Forum to have the same approach.

**Suggestion 6.3A:**

*In moving towards sustainability, the Forum and RF should build on the individual empowerment initiatives it is already supporting in the region by searching for ways in which local institutions can also be empowered to shoulder some of the responsibilities (e.g., networks) that have to date been largely 'contracted' to internationally based institutions.*

The Forum Coordinator agrees with this suggestion and in fact some Forum graduates have been associated with networks (e.g., the Soil Fertility Network).

**Suggestion 6.3B:**

*To maintain the current momentum of the Forum Programme and broaden and potentially improve its impact, the Rockefeller Foundation should be prepared to increase the total research budget if the number of good quality research proposals justifies it.*

The budget has been substantially increased to accommodate this demand!

**Suggestion 6.3C:**

*The RF, the Forum Coordinator and the Advisory Committee, should develop a strategy that can be implemented in the future for attracting funding from other donors to support Forum type activities.*

Although some contact has been made with other donors/funding agencies, the Forum continues to be funded 100% by RF.

# APPENDIX C: SURVEY FORMS

## C1. INTRODUCTION

### *C1.1 The Surveys*

To help fulfil the TORs (see Section 1.2 and Appendix A) three surveys were administered. Basically they were designed to elicit information on the following:

- Obtain an idea of the current staffing situation, degrees offered, numbers of students involved and scholarship support in the Forum supported institutions.
- An assessment of the impact of Forum on departments, faculty and students associated with the programme.
- An anonymous means of assessing the attitudes of those currently associated with Forum about the future of Forum.

The surveys used to elicit information relating to the above were:

- A Staffing and Support of Agriculture Survey completed by the leadership in each Faculty of Agriculture in the universities associated with Forum (see Appendix C2).
- A survey administered to the Forum Graduates whose whereabouts were known (see Appendix C3).
- An Attendee survey completed by those present at the Fifth Regional Forum Meeting in Entebbe, Uganda, 11th-16th August, 2002.

Details on the surveys are given in the following pages (see Appendix C4).

### *C1.2 The Returns*

The returns from the surveys were somewhat disappointing but we have made some use of them. Details are as follows:

- ***Staffing and Support of Agriculture Survey.*** It proved a challenge to get the returns back. Although returns were eventually obtained from all the universities there proved to be quite a lot of missing, inconsistent and confusing data. Unfortunately time did not permit clarification and cleaning up of the data. The student numbers data proved not to be worth analysing but data on the staffing of the departments are given in Appendix C5.
- ***Forum Graduate Survey.*** Completed returns were obtained from 43 graduates who completed their M.Sc/M.Phil degrees between 1994 and 2002. Forty nine percent of the respondents completed their degrees in 1999 or 2000. The distribution of respondents by university was as follows:
  - ◀ In Kenya: Kenyatta (2), Moi (2), Nairobi (3).
  - ◀ In Malawi: Bunda (9).
  - ◀ In Uganda: Makerere (15).
  - ◀ In Zimbabwe: UZ (12).
- ***Forum Meeting Attendee Survey.*** It was this survey where the returns were most disappointing. Only 46 out of the 170 participants completed the return in spite of many appeals during the meeting. Unfortunately due to some confusion over a couple of the questions (i.e., ambiguity in terms of one of the questions and lines being poorly drawn on the other) it was not possible to get

a good breakdown of the respondents by university affiliation and position. However it was possible to conclude that:

- Makerere was not over represented in terms of the respondents to the survey.
- The majority of the respondents were faculty members.
- At least five of the respondents were heads of department or above.



## C2. STAFFING AND SUPPORT OF FACULTY OF AGRICULTURE SURVEY

Name of University: \_\_\_\_\_

We have been asked by the Rockefeller Foundation to undertake an assignment relating to the future of Forum. The three main objectives are to make recommendations on: devolving Forum to a locally managed entity in the region; suggesting changes in the way in which Forum operates (administration) and what it does (professional initiatives/activities), taking into account the plan for devolution; and suggesting ways in which to broaden donor support.

In connection with this exercise we would very much appreciate if you could complete one copy of the following form for each department in the your faculty and if possible please give it to us at the Forum meeting in Entebbe from August 12th-16th or when we visit you, whichever is earlier. Thanks very much.

Harris Mule  
David Ngugi  
David Norman

Please complete the following table:

Name of Department <sup>a</sup>	Degrees Offered and Numbers of Students in Each Degree (Current Academic Year) <sup>b</sup>					

- List in the following rows the names of the departments in the faculty. **Please complete one copy of the following form for each department listed.**
- A column should be used for each degree offered (e.g., B.Sc, M.Sc, M.Phil, Ph.D, etc. The names should be entered in the row immediately below and then in the rows below that should be entered the numbers of students registered in that degree by department in the current academic or just completed academic year if the new academic year has not started yet.

Name of Department: \_\_\_\_\_

1. Staffing

1. Staffing	----- Existing Staff -----				Number of Vacancies
Rank	Total Number	Numbers With Following Highest Degrees:			
		Ph.D Degree	M.Sc/MA Degree	B.Sc/BA Degree	
Professor					
Associate Professor/Reader					
Senior Lecturer					
Lecturer					
Assistant Lecturer					
Teaching Assistant					
Total					

2. Numbers of M.Sc/M.A postgraduate students

Variable	1998	1999	2000	2001	2002 (Up To Aug)
Total number new M.Sc/M.A postgraduate students:					
Number of new Forum students					
Number of new non-Forum students					
Total number M.Sc/M.A postgraduate students that graduated:					
Number Forum students that graduated					
Number non-Forum students that graduated					
Number of <b>new</b> Forum graduates that became department staff/members					

3. Number of new scholarships for supporting M.Sc/M.A postgraduate students (Fill in name of funding agencies in the rows of the first column):

Funding Agency	1998	1999	2000	2001	2002
Forum					
Government					
Paid for rendering services					
Self (no) financing					

4. Years it takes for an M.Sc/MA student to graduate:      Forum:      Average \_\_\_\_      Min. \_\_\_\_      Max. \_\_\_\_  
    Non-Forum:      Average \_\_\_\_      Min. \_\_\_\_      Max. \_\_\_\_

5. Estimated graduation rate:      Forum students: \_\_\_\_%      Non-Forum students: \_\_\_\_%

### C3. FORUM GRADUATE SURVEY

We have been asked by the Rockefeller Foundation to undertake an assignment relating to the future of Forum. The three main objectives are to make recommendations on:

- Devolving Forum to a locally managed entity in the region.
- Suggest changes in the way in which Forum operates (administration) and what it does (professional initiatives/activities), taking into account the plan for devolution.
- Suggesting ways in which to broaden donor support.

As indicated above a key concern is to make recommendations on how to diversify donor funding for supporting Forum related activities. To attract such funding it is important to demonstrate the impact of Forum. This is why we are contacting you to request your cooperation. We would very much appreciate it if you could take a few minutes to complete the following short survey. Unfortunately we have a very short time to complete the assignment and so the quicker it could be sent back to us, the better. If possible we would like it sent back by the 9<sup>th</sup> of August. If you receive this survey by e-mail, we would very much appreciate it if it could be returned by e-mail to two individuals (i.e., Mrs. Wanjiku Kiragu <Wkiragu@rockfound.or.ke> and David Norman <[Dnorman@agecon.ksu.edu](mailto:Dnorman@agecon.ksu.edu)>). If you received the form from someone else please send it back to the person who sent/gave it to you. We promise that your answers will be kept confidential. Thank you for your help!

Harris Mule  
David Ngugi  
David Norman

1. Your name (optional) \_\_\_\_\_

2a. Details about your degrees.

Degree	University	Subject	Year Started Degree	Year Completed Degree
B.Sc/BA				
M.Sc/MA				

2b Title of M.Sc thesis: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2c Are you studying for a Ph.D. Yes \_\_\_ No \_\_\_ If so, where? \_\_\_\_\_

Are you planning to study for a Ph.D?  
Yes \_\_\_ No \_\_\_ If so, where? \_\_\_\_\_

3a. Employment record since completing your M.Sc/MA degree.

Name of Employer	Title/Position	Month and Year:		PR./PU Sector <sup>a</sup>	Trng Hlpd <sup>b</sup>	Job Satisf. <sup>c</sup>
		Started Job	Finished Job			

- a. Indicate whether the job was in the Private (PR) or Public (PU) sector.  
b. Indicate extent to which training/research related to the Forum programme you think helped in getting the job. Indicate according to the following scale: 1 = greatly, 2 = some, 3 = a little, 4 = not at all.  
c. Indicate how much you were satisfied/are satisfied with the job: 1 = very, 2 = some, 3 = a little, 4 = not at all.

3b. How long did it take you to find a job after you completed your M.Sc/MA degree?  
\_\_\_\_\_ (Indicate in months or years or if you still do not have one indicate so)

3c. Do you currently have a job? Yes \_\_\_\_\_ No \_\_\_\_\_

4. Do you feel your training was superior to those who were not associated with Forum?  
Yes \_\_\_\_\_ No \_\_\_\_\_  
If yes – in what way was it superior? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Indicate on a scale of 1 to 5 (i.e., with 1 = greatly/very much and 5 = not at all) whether your Forum training/research helped with respect to the following:

Preparing you for your first job after the M.Sc/MA? Indicate on a scale 1 to 5 \_\_\_\_\_

Preparing you for your current job (i.e., if more than 1)? Indicate on a scale 1 to 5 \_\_\_\_\_

Has it helped you in implementing your work responsibilities? Indicate on a scale 1 to 5 \_\_\_\_\_

Has it helped you in getting promotion? Indicate on a scale 1 to 5 \_\_\_\_\_

6. Were there deficiencies/weaknesses in your training under Forum? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, what were they and, if relevant how do you think they could have been overcome at the time?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. Should the Forum programme continue (Indicate on a scale of 1 to 5 (i.e., with 1 = very definitely and 5 = definitely not) \_\_\_\_\_

Any other comments? \_\_\_\_\_

#### C4. SURVEY TO FORUM MEETING ATTENDEES, ENTEBBE, AUGUST 11<sup>TH</sup>-16<sup>TH</sup>, 2002

As you probably know by now we have been asked by the Rockefeller Foundation to undertake an assignment relating to the future of Forum. The three main objectives are to make recommendations on:

- Devolving Forum to a locally managed entity in the region.
- Suggesting changes in the way in which Forum operates (administration) and what it does (professional initiatives/activities), taking into account the plan for devolution.
- Suggesting ways in which to broaden donor support.

We have already had an opportunity to talk to many of you about the above issues. However, we also wish to give you an opportunity to respond to questions relating to the above, anonymously. Therefore we would very much appreciate it if you would be willing to complete this survey and return it to Mrs Wanjiku Kiragu by noon on Thursday August 15<sup>th</sup>. Your cooperation is particularly important to us because we are very anxious to get the opinions of those most closely associated with Forum as to what you would recommend as to its future. Your answers will be kept confidential. Thank you very much for your cooperation.

Harris Mule  
David Ngugi  
David Norman

1a. Have you been, or are you, a student or faculty member of a Forum university? Yes \_\_\_\_ No \_\_\_\_

b. If yes, which one have you been most closely associated with? \_\_\_\_\_

Tick all those of following which represent you (you can tick more than one):

Currently head of department or above	_____
Currently faculty member (but not head of department)	_____
Currently a student	_____
Formerly a student or faculty member but neither now	_____
Never a student nor faculty member	_____
Former Forum grantee	_____
Current Forum grantee	_____
Former Forum student (Forum graduate)	_____
Current Forum student	_____

2. Indicate what you think about Forum in terms of the following using the following scale, 1 = outstanding, 2 = major, 3 = some, 4 = a little, 5 = not at all:

- |    |  |       |
|----|--|-------|
| a. | Forum's impact on cooperation/collaboration between: |       |
|    | Universities   | _____ |
|    | Departments within the university                    | _____ |
|    | With non-academic stakeholders                       | _____ |
| b. | Forum's impact on:                                   |       |
|    | Relevancy of courses taught                          | _____ |
|    | Quality of teaching                                  | _____ |
|    | Relevancy of research                                | _____ |
|    | Quality of research                                  | _____ |
| c. | Research productivity in terms of:                   |       |
|    | Helping improve the agriculture sector               | _____ |
|    | Published papers                                     | _____ |
|    | Retention of faculty                                 | _____ |

- d. Forum's impact on those associated with Forum:
- |   |       |
|---|-------|
| Commitment/enthusiasm of faculty  | _____ |
| Promotion of faculty  | _____ |
| Commitment/enthusiasm of students   | _____ |
| Employment prospects of students  | _____ |
| Staff development in the department through employment of Forum graduates | _____ |
- e. Forum's impact on you in terms of:
- |                          |       |
|--------------------------|-------|
| Professional development | _____ |
| Promotion                | _____ |
| Job satisfaction         | _____ |
4. What are the greatest strengths of Forum as it is at present (no more than 3):
- a. \_\_\_\_\_
- \_\_\_\_\_
- b. \_\_\_\_\_
- \_\_\_\_\_
- c. \_\_\_\_\_
- \_\_\_\_\_
5. What are the greatest weaknesses of Forum as it is at present (no more than 3):
- a. \_\_\_\_\_
- \_\_\_\_\_
- b. \_\_\_\_\_
- \_\_\_\_\_
- c. \_\_\_\_\_
- \_\_\_\_\_
6. As we look towards the future of Forum are there changes in administrative procedures (i.e., ways things are done) or professional activities/initiatives (i.e., could be new ones or de-emphasis/elimination of existing ones) that you would like to see as far as Forum is concerned. In thinking about this take into account the changes that have taken place since Forum started back in 1992.
- Yes \_\_\_\_\_ No \_\_\_\_\_

If the answer is yes indicate what changes you would like to see (no more than 3):

- a. \_\_\_\_\_
- \_\_\_\_\_
- b. \_\_\_\_\_
- \_\_\_\_\_
- c. \_\_\_\_\_
- \_\_\_\_\_

7. There appear to be three potential models for hosting the Forum Secretariat. They are listed below – rank them according to your preference (1 to 3 with 1 being the most preferred) assuming all other things being equal:

A completely independent unit (e.g., like AERC)	_____
Under a regional network (e.g., ASARECA, SACCAR)	_____
Within a Forum university	_____

8. There are a number of issues that will need to be addressed if the decision is made to locate the Forum Secretariat within a university (e.g., ease of access, communication systems, level of infrastructure, leadership of the Secretariat, support from the university itself, degree of independence/impartiality of the Forum Secretariat). Taking into account these practical issues and with your knowledge of the Forum universities and the persons associated with them, which university would be most appropriate as far as hosting the Forum Secretariat is concerned if the decision was made to locate it in a university? \_\_\_\_\_

9. List (up to 3 each):

The advantages/strong points about locating the Forum Secretariat where you have suggested in 8 above:

- a. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- b. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- c. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The disadvantages/concerns about locating the Forum Secretariat where you have suggested in 8 above:

- a. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- b. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- c. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10. In devolving the Forum Secretariat out of Rockefeller Foundation, what issues need to be addressed to ensure that it acts in an independent, impartial and equitable way? Indicate up to 3 and, if possible, give an idea how the issues can be addressed:

- a. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- b. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- c. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



## C5 STAFFING IN THE AGRICULTURAL FACULTIES OF THE FORUM UNIVERSITIES

The data in the following tables were derived from the Staffing and Support of Agriculture Survey (see Appendix C1).

Table C5.1: Staffing Situation in Agriculture Related Faculty, Egerton, Kenya, Mid 2002<sup>a</sup>

Department	Professor			Associate Professor			Senior Lecturer			Lecturer			Assistant Lecturer			Teaching Assistant			Total		
Agricultural Economics <sup>b</sup>																					
Agronomy	1	0	2	0	0	2	5	0	7	4	4	0	1	5	0	0	1	0	11	10	11
Animal Science	0	0	2	4	0	1	4	1	2	1	6	0	0	6	0	0	0	0	9	13	5
Animal Health	0	0	1	0	0	2	1	1	4	0	8	0	0	1	3	0	0	0	1	10	10
Dairy Food Science	0	0	2	2	0	0	1	0	3	0	5	0	0	3	1	0	4	0	3	12	6
Horticulture	1	0	2	0	0	4	3	0	3	1	2	4	0	9	0	0	2	0	5	13	13
Soil Science	0	0	3	0	0	3	6	0	0	1	0	4	0	2	0	0	0	0	7	2	10
Total	2	0	12	6	0	12	20	2	19	7	25	8	1	26	4	0	7	0	36	60	55

a. The first figure under each rank is the number of staff with Ph.Ds, the second figure is the number without Ph.Ds and the third is the number of vacancies at that rank.

b. Information on this department was not provided.

Table C5.2: Staffing Situation in Agriculture Related Faculty, Jomo Kenyatta, Kenya, Mid 2002<sup>a</sup>

Department	Professor			Associate Professor			Senior Lecturer			Lecturer			Assistant Lecturer			Teaching Assistant			Total		
Biochemistry	0	0	1	1	0	1	0	0	4	5	2	0	0	2	0	0	2	0	6	6	6
Botany	0	0	0	0	0	0	1	0	0	4	9	0	0	1	0	0	0	0	5	10	0
Chemistry	0	0	0	3	0	0	4	0	0	7	7	0	1	9	0	0	0	0	15	16	0
Physics <sup>b</sup>																					
Zoology	0	0	0	1	0	0	1	0	0	4	2	0	0	1	0	0	0	0	6	3	0
Total	0	0	1	5	0	1	6	0	4	20	20	0	1	13	0	0	2	0	32	35	6

a. The first figure under each rank is the number of staff with Ph.Ds, the second figure is the number without Ph.Ds and the third is the number of vacancies at that rank.

b. Information on this department was not provided.

Table C5.3: Staffing Situation in Agriculture Related Faculty, Kenyatta, Kenya, Mid 2002<sup>a</sup>

Department	Professor			Associate Professor			Senior Lecturer			Lecturer			Assistant Lecturer			Teaching Assistant			Total		
Botany	3	0	1	4	0	2	7	0	1	5	3	3	0	1	3	0	0	0	19	4	10
Environmental Foundation	0	0	1	0	0	2	4	0	0	1	2	3	0	2	0	0	0	0	5	4	6
Zoology	3	0	0	0	0	4	9	0	0	8	5	0	1	2	0	0	0	0	21	7	4
Total	6	0	2	4	0	8	20	0	1	14	10	6	1	5	3	0	0	0	45	15	20

a. The first figure under each rank is the number of staff with Ph.Ds, the second figure is the number without Ph.Ds and the third is the number of vacancies at that rank.

Table C5.4: Staffing Situation in Agriculture Related Faculty, Maseno, Kenya, Mid 2002<sup>a</sup>

Department	Professor			Associate Professor			Senior Lecturer			Lecturer			Assistant Lecturer			Teaching Assistant			Total		
Horticulture	2	0	0	0	0	2	2	0	1	1	1	2	0	2	0	0	0	0	5	3	5

a. The first figure under each rank is the number of staff with Ph.Ds, the second figure is the number without Ph.Ds and the third is the number of vacancies at that rank.

Table C5.5: Staffing Situation in Agriculture Related Faculty, Moi, Kenya, Mid 2002<sup>a</sup>

Department	Professor			Associate Professor			Senior Lecturer			Lecturer			Assistant Lecturer			Teaching Assistant			Total		
Agricultural Economics <sup>b</sup>																					
Crop Prod. and Seed Tech.	1	0	0	1	0	0	1	0	0	1	1	0	0	2	0	0	2	0	4	5	0
Horticulture	0	0	0	0	0	1	2	0	1	1	1	1	0	2	0	0	1	1	3	4	4
Rural Engineering	0	0	1	1	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	1	2
Soil Science	0	0	1	2	0	0	0	0	2	0	1	1	0	1	1	0	0	0	2	2	5
Total	1	0	2	4	0	1	3	0	4	2	4	2	0	5	1	0	3	1	10	12	11

a. The first figure under each rank is the number of staff with Ph.Ds, the second figure is the number without Ph.Ds and the third is the number of vacancies at that rank.

b. Information on this department was not provided.

Table C5.6: Staffing Situation in Agriculture Related Faculty, Nairobi, Kenya, Mid 2002<sup>a</sup>

Department	Professor			Associate Professor			Senior Lecturer			Lecturer			Assistant Lecturer			Teaching Assistant			Total		
Agricultural Economics	2	0	0	2	0	0	1	0	0	6	0	0	0	2	0	0	2	0	11	4	0
Agricultural Engineering	0	0	0	1	0	0	3	0	0	0	5	0	0	0	0	0	0	0	4	5	0
Animal Production	0	0	0	3	0	0	4	0	0	8	0	0	0	2	0	0	0	0	15	2	0
Crop Protection	2	0	0	1	0	0	4	0	0	4	0	0	0	1	0	0	0	0	11	1	0
Crop Science	1	0	0	2	0	0	3	0	0	5	4	0	0	1	0	0	0	0	11	5	0
Food Sc. and Applied Nutrit.	2	0	0	1	1	0	4	0	0	1	0	0	0	0	0	0	0	0	8	1	0
Range Management	1	0	0	1	0	0	6	0	0	1	2	0	0	0	0	0	0	0	9	2	0
Soil Science	0	0	0	4	0	0	1	0	0	3	0	0	0	1	0	0	2	0	8	3	0
Total	8	0	0	15	1	0	26	0	0	28	11	0	0	7	0	0	4	0	77	23	0

a. The first figure under each rank is the number of staff with Ph.Ds, the second figure is the number without Ph.Ds and the third is the number of vacancies at that rank.

Table C5.7: Staffing Situation in Agriculture Related Faculty, Bunda, Malawi, Mid 2002<sup>a</sup>

Department	Professor			Associate Professor			Senior Lecturer			Lecturer			Assistant Lecturer			Teaching Assistant			Total		
Animal Science	4	0	0	2	0	0	1	0	0	1	4	0	0	0	0	0	0	0	8	4	0
Aquaculture and Fish. Sc.	0	0	0	0	0	0	2	0	0	0	4	0	0	2	0	0	0	0	2	6	0
Crop Science	2	0	0	0	0	0	4	0	0	0	4	0	0	0	0	0	0	0	6	4	0
Forestry and Horticulture	0	0	0	1	0	0	0	0	0	0	4	0	0	4	0	0	0	0	1	8	0
Home Ec. and Human Nut. <sup>b</sup>																					
Rural Development	0	0	0	1	0	0	1	1	0	3	6	0	0	0	0	0	0	0	5	7	0
Total	6	0	0	4	0	0	8	1	0	4	22	0	0	6	0	0	0	0	22	29	0

a. The first figure under each rank is the number of staff with Ph.Ds, the second figure is the number without Ph.Ds and the third is the number of vacancies at that rank.

b. Information on this department was not provided.

Table C5.8: Staffing Situation in Agriculture Related Faculty, Eduardo Mondlane, Mozambique, Mid 2002<sup>a</sup>

Department	Professor			Associate Professor			Senior Lecturer			Lecturer			Assistant Lecturer			Teaching Assistant			Total		
Forestry	0	0	0	0	0	0	5	0	0	0	7	0	0	1	0	0	0	0	5	8	0
Plant Prod. And Protection	0	0	0	0	0	0	4	1	0	0	13	0	0	5	0	0	0	0	4	19	0
Rural Engineering <sup>b</sup>																					
Total	0	0	0	0	0	0	9	1	0	0	20	0	0	6	0	0	0	0	9	27	0

a. The first figure under each rank is the number of staff with Ph.Ds, the second figure is the number without Ph.Ds and the third is the number of vacancies at that rank.

b. Information on this department was not provided.

Table C5.9: Staffing Situation in Agriculture Related Faculty, Sokoine, Tanzania, Mid 2002<sup>a</sup>

Department	Professor			Associate Professor			Senior Lecturer			Lecturer			Assistant Lecturer			Teaching Assistant			Total		
Agric. Education and Ext.	1	0	0	3	0	0	1	1	0	1	0	0	0	2	0	0	0	0	6	3	0
Agric. Ec. and Agribusiness	0	0	0	2	0	0	5	0	0	5	1	0	0	3	0	0	0	0	12	4	0
Agric. Eng. And Land Plan.	0	0	0	1	0	0	6	0	0	7	0	0	0	0	0	0	0	0	14	0	0
Animal Science and Prod.	1	0	0	6	0	0	9	0	0	3	1	0	0	1	0	0	0	0	19	2	0
Crop Science and Prod.	0	0	0	4	0	0	4	1	0	1	3	0	0	3	0	0	0	0	9	7	0
Food Sc. and Technology	1	0	0	4	0	0	5	0	0	3	5	0	0	0	0	0	0	0	13	5	0
Soil Science	0	0	0	3	0	0	7	0	0	1	0	0	0	0	0	0	0	0	11	0	0
Total	3	0	0	23	0	0	37	2	0	21	10	0	0	9	0	0	0	0	84	21	0

a. The first figure under each rank is the number of staff with Ph.Ds, the second figure is the number without Ph.Ds and the third is the number of vacancies at that rank.

Table C5.10: Staffing Situation in Agriculture Related Faculty, Makerere, Uganda, Mid 2002<sup>a</sup>

Department	Professor			Associate Professor			Senior Lecturer			Lecturer			Assistant Lecturer			Teaching Assistant			Total		
Crop Science	4	0	0	2	0	1	2	0	2	4	3	2	1	2	0	0	2	0	13	7	5
Soil Science	1	0	0	2	0	0	2	2	0	1	3	0	0	0	0	0	2	0	6	7	0
Food Sc and Technology	0	0	0	0	0	0	3	1	0	0	9	0	0	1	0	0	2	0	3	13	0
Agric. Engineering	0	0	1	0	0	1	1	0	2	0	4	1	0	5	1	0	2	0	1	11	6
Ag. Ec. and Agribusiness	0	0	0	0	0	0	0	1	0	6	5	0	0	2	0	0	0	0	6	8	0
Animal Science	2	0	1	1	0	1	1	0	5	2	5	2	0	1	1	0	1	2	6	7	12
Extension Education	0	0	2	0	0	2	1	0	2	1	6	1	0	3	0	0	2	0	2	11	7
Total	7	0	4	5	0	5	10	4	11	14	35	6	1	14	2	0	11	2	37	64	30

a. The first figure under each rank is the number of staff with Ph.Ds, the second figure is the number without Ph.Ds and the third is the number of vacancies at that rank.

Table C5.11: Staffing Situation in Agriculture Related Faculty, Africa University, Zimbabwe, Mid 2002<sup>a</sup>

Department	Professor			Associate Professor			Senior Lecturer			Lecturer			Assistant Lecturer			Teaching Assistant			Total		
Agronomy	1	0	0	1	0	0	1	2	0	0	1	0	0	1	0	0	0	0	3	4	0
Agribusiness	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	2	0	0
Animal Science	0	0	0	0	0	1	1	0	0	1	1	0	0	0	0	0	0	0	2	1	1
Natural Resources	0	0	0	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	1	1
Total	2	0	0	1	0	1	2	2	0	2	3	1	0	1	0	0	0	0	7	6	2

a. The first figure under each rank is the number of staff with Ph.Ds, the second figure is the number without Ph.Ds and the third is the number of vacancies at that rank.

Table C5.12: Staffing Situation in Agriculture Related Faculty, UZ, Zimbabwe, Mid 2002<sup>a</sup>

Department	Professor			Associate Professor			Senior Lecturer			Lecturer			Assistant Lecturer			Teaching Assistant			Total		
Ag. Econ. And Extension	0	0	1	0	0	0	3	1	0	1	8	2	0	0	0	0	1	0	4	10	3
Animal Science	1	0	0	1	0	1	8	0	1	3	1	1	0	0	0	0	3	0	13	4	3
Crop Science	0	0	1	0	0	0	4	2	0	7	4	0	0	0	0	0	3	0	11	9	1
Soil Sc. and Ag. Engineering	1	0	0	0	0	0	0	0	0	4	6	7	0	0	0	0	4	0	5	10	7
Directorate Section	1	0	0	0	0	0	0	0	0	0	3	0	0	0	0	0	0	0	1	3	0
Total	3	0	2	1	0	1	15	3	1	15	22	10	0	0	0	0	11	0	34	36	14

a. The first figure under each rank is the number of staff with Ph.Ds, the second figure is the number without Ph.Ds and the third is the number of vacancies at that rank.

# APPENDIX D: MEETINGS WITH DONORS

## D1 INTRODUCTION

We met with six donor organisations and three Foundations during the course of our visits to Kenya, Malawi, Zimbabwe, and Uganda.<sup>59</sup> The purpose of the meetings was to explore the possibility of donors' support to the Forum once it is devolved. Specifically we:

- Informed the donors about the existence of the Forum, its mandate and achievements, and the intention to devolve it to an independent entity outside the RF.
- Enquired about the areas individual donors supported in the different countries and the extent to which these are congruent with the thrusts of the Forum.
- Tried to determine whether, and in what manner, the donors might support the Forum once it is devolved.
- Sought information on the procedures for approaching donors, once the Forum Secretariat is devolved.

To the extent possible, we attempted to find whether the donors would be in a position to provide core funding, either restricted or unrestricted, or non-core (project) funding. Our findings are described in the following sections.

## D2. JAPAN INTERNATIONAL COOPERATION AGENCY (JICA)

The individuals interviewed in Kenya were Mr S Kibe, Programme Officer, Education, and Mr J Choke, Programme Officer, Agriculture. Japan is the biggest bilateral donor to Kenya, and its support covers all sectors of the economy. It does not fund agricultural research as such, but it is the founder and a major funder of Jomo Kenyatta University of Agriculture and Technology (JKUAT). In addition, under its Base for African Human Capacity Building (BAHCB), JICA has established the African Institute for Capacity Development (AICAD) located at, though autonomous from, JKUAT. The institute's mission is to build capacity in research and extension in all fields, including agriculture, and it covers countries in East Africa initially, with the intention of covering all African countries in future.

As a matter of policy and practice, Japan does not provide common pool funding, either in restricted or unrestricted form, with other donors. JICA in Kenya is therefore not a candidate for funding Forum. Forum can however, undertake joint research with AICAD in themes and topics of common interest.

In Malawi, we met with Mr Keiichi Okitsu, JICA's Assistant Resident Representative, and Mr Vincent Mkandawire, Aid Coordinator. JICA's funding covers all sectors of the economy. In agriculture, JICA is supporting irrigation, horticulture, and the dairy industry; and in higher education, it supports Bunda college and Chancellor College. It also supports NGOs working at the grassroots level to the tune of \$45,000 per NGO.

As in Kenya, JICA in Malawi does not provide common pool resources. As such, it is not a candidate for funding Forum. The only possibility is for provision of parallel funding through the NGOs for dissemination of research findings from Forum.

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<sup>59</sup> The organizations met were: Japan International Cooperation Agency (JICA), Kenya and Malawi; United States Agency for International Development (USAID), Kenya; the World Bank, Kenya and Malawi; Norwegian Agency for Development Cooperation (NORAD), Malawi and Uganda; Department for International Development (DFID) Uganda and Kenya; and European Union (EU), Uganda. The Foundations were the Ford Foundation (FF), the International Development Research Centre (IDRC), Nairobi and the African Capacity Building Foundation (ACBF), Harare.

### **D3 NORWEGIAN AGENCY FOR DEVELOPMENT COOPERATION (NORAD)**

In Uganda, we met with Ms. Stribolt, First Secretary, Development, Ms. R. Lotsberg, Second Secretary, Development, and Mr H Karisnes, Counsellor, and Deputy Head of Mission. In Malawi, the meeting was with Ms. Sverdrup, Deputy Ambassador. In both Uganda and Malawi, NORAD's focus is on health, gender, afforestation and microfinance. Other than funding for women facilities in Makerere and Bunda College, NORAD does not fund higher education or agriculture. The prospects for Forum support from NORAD's country missions are therefore not promising.

### **D4 WORLD BANK**

We met Mr Ojiambo, Acting Director of the World Bank in Nairobi, and in Malawi we met with Mr. M'buka, Senior Agricultural Services Specialist.

Bank lending in Kenya is at a low level. During the next year or so, the World Bank office in Nairobi will concentrate on economic sector work and reviews. Once the Kenya Government reestablishes a programme with the International Monetary Fund (IMF), the Bank's lending to Kenya will increase. In terms of sectoral priorities, agriculture, including agricultural research support to the Kenya Agricultural Research Institute (KARI), is a priority. However, higher education is not. Furthermore, the Bank's funding is on loan terms. As such, the Bank's country office cannot fund the Forum. Two avenues for Banks' support should, however, be explored:

- Under the Bank's support for KARI, there is a provision for a Agricultural Research Fund (ARF) which provide competitive grants for agricultural research. Kenyan universities, under the aegis of Forum, can explore the feasibility of accessing these grants either to fund Forum sponsored research or undertake joint research with ARF grantees.
- The Forum Secretariat can explore feasibility of core funding from the World Bank head office. Individuals who may be approached are Dr. Hans Binswinger, Dr. Kevin Cleaver, and Mr. Mockta Toure of the Special Programme for African Agricultural Research (SPAAR).

In Malawi, the World Bank has not been active in supporting agriculture for the last three years. It is, however, reviving its interest in the sector and is currently conducting a capacity assessment of the Ministry of Agriculture and Irrigation. The findings of the assessment may identify areas of mutual interest to the World Bank and the Forum in which the two can collaborate. Besides this, there are five areas of current interest to the Bank where collaboration with the Forum research could be explored. These are:

- Policy strengthening
- Scaling up 'best bet' technologies
- Empowering farmers to access technologies.
- Linking production to markets.
- Improving service delivery to farmers (i.e., the research to extension linkage).

Innovative approaches to technology dissemination by Forum may be the entry point for partnership with the World Bank. Otherwise, the Bank's country office in Malawi is not in a position to provide direct support to Forum.

### **D5 UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT (USAID)**

For USAID, we met with Kenya mission's Chief, Agriculture, Business and Environment, Ms Margaret Brown and a former Director of the USAID Kenya office, Mr Fred Fisher.



Agriculture is one of USAID's priority sectors in Kenya with an annual commitment of \$5 million. Over and above the \$5 million, there are the following potential sources for supporting agriculture:

- Capacity building funds for policy analysis and implementation within government and at the community level.
- Uncommitted funds amounting to \$30 million for the current financial year earmarked for agriculture covering 11 countries in East and Southern Africa.
- \$200 million earmarked for agricultural support in Sub-Saharan Africa. This amount is uncommitted, and part of it can be used for supporting agricultural research and training in Africa.
- The Regional Development Services Office (REDSO) for Eastern and Southern Africa. REDSO supports, among other things, agricultural research, but the office is currently underfunded.

The priority areas for USAID's agricultural support in Kenya are:

- Technology development and transfer.
- Capacity building for agricultural institutions, including community based organisations (CBOs), cooperatives, and the private sector.
- Rural infrastructure.
- Research, including biotechnology.
- Small and medium scale enterprises in support to agriculture.

With regard to Forum, USAID, Kenya, cannot provide funding either restricted or unrestricted. However, there is the possibility of collaboration between Forum and USAID supported research activities. Other possibilities within USAID are:

- \$30 million uncommitted funds for agriculture in Eastern and Southern Africa. This was a one-off funding possibility for the current financial year and is therefore not relevant to Forum's needs. However, uncommitted funds occur almost every year, and Forum can position itself to take advantage of the funds when they become available in future.
- REDSO. This could be a potential funder of the Forum. However, as indicated above, the office is currently under funded.
- \$200 million programme for Africa. There is potential for Forum's funding from this source.
- USAID, Washington. Forum could explore the possibility of getting core funding from this source.

## **D6 DEPARTMENT FOR INTERNATIONAL DEVELOPMENT (DFID)**

DFID is one of the biggest donors to Uganda and Kenya. In Uganda, we met with Mr Chilver, Rural Livelihoods Adviser and in Kenya, one of us (Harris Mule) met with Dr. Masinde, Enterprise Development Adviser.

In Uganda, DFID's funding is channelled to budget support. As such, there is no scope for earmarking DFID's support to Forum. The limited project funding by DFID is already fully committed. If Forum is to seek DFID's funding for its activities in Uganda, this has to be provided from the Uganda Government's budget.

There are, however, two avenues within DFID which Forum may pursue.

- **Discretionary funds.** The DFID office in Kampala has limited amounts of funds which can be committed at the discretion of the Director. Demand for them is, however, very high and chances of Forum's accessing them are low.

- **Funds for regional research.** These funds are controlled from London and are intended for research in areas of regional interest. Mr. M. Wilson of DFID, London is in charge. This would be a promising avenue for Forum to explore.

In Kenya, to a much lesser degree than in Uganda, DFID's funds are channelled to budget support. DFID, however, is not currently supporting agriculture. It was a major funder of KARI, but pulled out about two years ago. The department is, however, rethinking its overall aid strategy, and has reinstated agriculture as one of its priority areas. An officer in charge of Rural Livelihoods -- which includes agriculture -- will be posted to Nairobi office later this year. Forum should seek the possibility of DFID's funding in Kenya once that officer is on the ground.

## D7 THE EUROPEAN UNION (EU)

The European Union, next to the World Bank, is the biggest donor to Uganda. We interviewed Mr Fowler. Although the bulk of EU's funding to Uganda is channelled through budget support, the Union provides direct support to agriculture in the following areas:

- Implementation of the Programme for Modernisation of Agriculture.
- Animal disease control.
- Forestry programme.
- National Agricultural Research Organisation (NARO). Within NARO, support is provided for:
  - ◀ Decentralisation of NARO.
  - ◀ Coffee research.
  - ◀ Animal disease control.

EU can support Forum in two ways:

- **Restricted funding.** EU is providing NARO with 15 million Euros over the next five years, part of which will be for competitive research grants. Forum, Uganda, could bid for grants.
- **Regional Fund.** EU has a Regional Fund to fund activities covering at least three countries. It is one of the major funders for regional research institutions like ASARECA and AERC. Forum can seek support from this source.

In Malawi, we met with Mr. Missinne, Second Secretary, Agriculture and Natural Resources. In Malawi, agriculture is one of the priority areas for EU's funding. Currently, the EU is supporting:

- Curriculum development at Bunda College and Mzuzu University.
- Forestry (B.Sc) at Bunda and Mzuzu.
- Horticulture and agribusiness.

EU can support Forum from its Regional Fund. To access the funds, the RF can write to Mr Missinne seeking core funding for the Forum. The application should go to Mr Missinne, rather than directly to Brussels, and should provide background information on Forum, its achievements, its future plans, and rationale for seeking EU's support.

## D8 INTERNATIONAL DEVELOPMENT RESEARCH CENTRE (IDRC)

At IDRC, Nairobi, we met Dr. Freeman, Regional Director, Dr. Navarro, Theme Leader, People, land and Water, and Mr. Gasengaire, Senior Programme Officer. The discussions centred more on general advice on how to manage devolution, and not on prospects of IDRC's funding for the Forum. The following points emerged from the discussions:

- As a matter of policy, IDRC devolves its initiatives into independent entities. The latest example is to the African Technology Policy Studies Network.

- Successful devolution of an initiative should include the following elements :
  - It must have a champion among its supporters. The champion will maintain an interest in the operations of the institution, and especially on fund raising.
  - The funding for the institution should be solid.
  - The manager for the institution must be competent, and must have intellectual leadership and drive.
  - The administration of the institution must be sound, especially with regard to financial management and record keeping.
  - The sources of funding for the institution should be diverse.
  - Beyond donors, the institution must seek domestic funding.
  - Potential donors must be involved during the early phases of the evolution of the institutions and their views incorporated early on.
  - Fund-raising for the institution should focus on core funding, but there should be flexibility to accommodate project funding.
  - During the early years of the institution, it should stick to an agreed blueprint. Flexibility on its operations can be introduced during the later years.
- In deciding on the host for Forum, all stakeholders, especially the participating universities, should be involved in making that decision.
- In selecting the host university, factors which should be taken into account include: the national environment, the reputation of the university, its administrative efficiency, and its research competence.

## D9 THE FORD FOUNDATION

The Team met with Mr. Aina, Ford's Deputy Representative for Eastern Africa. Discussions centred on the following four issues:

- ***Approaches to implementing a devolution process.*** Devolution may entail creation of an entity, like The Council for the Development of Social Science Research in Africa (CODESRIA) and AERC or hosting of the initiative in a university. If the initiative devolves into an independent entity, it should have both international and African registration, and ways must be found to accommodate the interests of the donors and the African stakeholders. In the case of AERC, this is done by having an Executive Board of donors' representatives and an Advisory Committee consisting of researchers and policy makers. The funding of the institution must also be secure. The best way to do so is through creation of an endowment. If the initiative is hosted in a university, it must be independent of the university's administration.
- ***Areas of Ford Foundation focus.*** The Foundation's priority areas are environment and development, community development, development finance, higher education, and cross cutting issues. The Foundation's operations are highly decentralised, and programme decisions are made at the field level.
- ***Approach to Ford Foundation for Forum support.*** Forum, by virtue of its focus on university-based applied agricultural research, could qualify for support by the Ford Foundation. Because of its decentralised operations, the approach has to be done both locally and in New York. In Nairobi, the approach can be made by either John Lynam or B K Patel to the Ford Foundation office in charge of applied agricultural research and to Mr. Aina. In New York, the discussions should be held at the Vice President level.

## **D10 AFRICAN CAPACITY BUILDING FOUNDATION (ACBF)**

At the ACBF, the meeting was with Dr. Ndurukwigira, Operations Adviser and Programme Team Leader, and Dr. Ongile, Programme Officer. Historically, the ACBF focus has been on capacity building in macroeconomic policy analysis. During the last three years it has expanded its scope to include enhancement of efficiency in the public sector through better financial management and public sector reforms, strengthening of Parliaments, and strengthening of the private sector and civil society. Agriculture and higher education are not areas of focus of the ACBF. However, since poverty is a cross cutting theme, and since agriculture is central to poverty alleviation in Africa, a case can be made for supporting Forum. This is particularly so since Forum research is client driven, and the clients are the rural poor

Dr. Ndurukwigira advised that the Forum should keep the ACBF informed of its evolution, and once established, it (i.e., the Forum) can make a request to the ACBF's Secretariat. The Secretariat will then try to make a case to its Board.

## APPENDIX E: PAPERS CONSULTED

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## **APPENDIX F: DEFINITION OF ACRONYMS AND ABBREVIATIONS**

AC	Advisory Committee of Forum
ACBF	The African Capacity Building Foundation, Harare, Zimbabwe
ACSS	African Crop Science Society
AERC	African Economic Research Consortium, Nairobi, Kenya
AICAD	African Institute for Capacity Development
ARET	Agriculture Research and Extension Trust, Malawi
ARF	Agricultural Research Fund
ASARECA	Association for Strengthening Agricultural Research in Eastern and Central Africa, Entebbe, Uganda
BAHCB	Base for African Human Capacity Building
BDP	Bureau for Development Policy, UNDP, Nairobi, Kenya
CAB	Commonwealth Agricultural Bureau
CBO	Community Based Organisation
CEA-SURF	Central and East Africa, Sub-Regional Facility, UNDP, Nairobi, Kenya
CGIAR	Consultative Group of International Agricultural Research
CIDA	Canadian International Development Agency
CIP	International Potato Centre
CODESRIA	Council for the Development of Social Science Research in Africa
DANIDA	Danish International Development Agency
DFID	Department for International Development, UK
ECAPAPA	The Eastern and Central Programme for Agricultural Policy Analysis, Entebbe, Uganda
EPRC	Economic Policy Research Centre, University of Makerere, Uganda
EU	European Union
FAEF	Faculty of Agronomy and Forestry Engineering, Eduardo Mondlane University, Mozambique
FAP	Forum Action Plan
FFC	Forum Faculty Coordinator
FF	Ford Foundation
FNC	Forum National Coordinator
I@mak.com	Innovations at the Makerere Community, Uganda
IARC	International Agricultural Research Centre
ICRAF	International Centre for Research in Agroforestry
IDEAA	Initiative for Development and Equity in African Agriculture
IDRC	International Development Research Centre, Canada
IFAD	International Fund for Agricultural Development
IFPRI	International Food Policy research Institute, Washington DC, USA
INM	Integrated Nutrient Management
JICA	Japan International Cooperation Agency
JKUAT	Jomo Kenyatta University of Agriculture and Technology
KARI	Kenya Agriculture Research Institute, Kenya
MAAIF	Ministry of Agriculture, Animal Industry and Forestry, Uganda
MISR	Makerere Institute of Social Research, Makerere University, Kampala, Uganda
MOU	Memorandum of Understanding
NARO	National Agricultural Research Organisation, Uganda
NARS	National Agricultural Research System

NEPAD	New Economic Partnership for Africa's Development
NGO	Non-Governmental Organisation
NORAD	Norwegian Agency for Development Cooperation
ODA	Overseas Development Assistance
PI	Principal Investigator, Forum Programme
PMA	Plan for Modernisation of Agriculture, Uganda
PRA	Participatory Rural Appraisal
PRAPACE	Regional Potato and Sweet Potato Improvement Programme in East and Central Africa
PRSP	Poverty Reduction Support Paper
REDSO	Regional Development Services Office, USAID, Nairobi
RF	Rockefeller Foundation
RRA	Rapid Rural Appraisal
SACCAR	Southern Africa Centre for Cooperation in Agricultural Research, Gaborone, Botswana
SADC	Southern Africa Development Community
SIDA	Swedish International Development Agency
SPAAR	Special Programme for African Agricultural Research
TEEAL	The Essential Electronic Agricultural Library
TORs	Terms of Reference
UK	United Kingdom
UNDP	United Nations Development Programme
USA	United States of America
USAID	United States Agency for International Development, United States of America
UZ	University of Zimbabwe, Zimbabwe



## APPENDIX G: ITINERARY

HM = Harris Mule  
 DG = David Ngugi  
 DO = David Norman (Team Leader)

Where there is no name after item indicates all three team members were present.

Date	Day	Time	Activity
July 15 <sup>th</sup>	Mon	am	Arrival Nairobi, Kenya (DO)
		pm	Visit to Rockefeller Foundation Office (DO)
			Team meeting
July 16 <sup>th</sup>	Tues	am	Meeting with Nairobi based Rockefeller Foundation Officers
			Meeting with the Coordinator of Forum
			Lunch with the Coordinator of Forum
		pm	Meeting with Nairobi based officers of IDRC
July 17 <sup>th</sup>	Weds	am	Meeting with Director of Research and Consultant, AERC
			Meeting with Coordinator of Forum
		pm	Meeting with Chief, Agriculture, Business and Environment, USAID and Senior Africa Adviser, Development Alternatives Inc.
		pm	Meeting with Coordinator of Forum
July 18 <sup>th</sup>	Thurs	am	Meeting with Director, External Resources Department, The Treasury, Government of Kenya
			Meeting with Associate Director, Food Security and Director of the Soil Fertility Theme, Rockefeller Foundation
			Meeting with Ugandan National Coordinator of Forum
			Team meeting
			Lunch with Coordinator of Forum and Ugandan National Coordinator of Forum
		pm	Meeting with Acting Director, World Bank, Nairobi
			Team meeting
July 19 <sup>th</sup>	Fri	am	Team meeting
			Meeting with Deputy Representative, Office for Eastern Africa, Ford Foundation, Nairobi
		pm	Meeting with Coordinator of Forum
			Departure for homes of team members
			=====
July 26 <sup>th</sup>	Fri	am	Meeting with JICA, Nairobi office (HM, DG)
			=====
July 31 <sup>st</sup>	Weds	am	Arrival of team in Entebbe, Uganda
			By road to Kampala
			Briefing by Ugandan National Coordinator of Forum, Makerere University
			Meeting with PI, Biotechnology/Tissue Culture
		pm	Meeting and lunch with Deans and Heads of Department, Faculty of Agriculture
			Meeting with current Forum students
			Meeting with former Forum students
Aug 1 <sup>st</sup>	Thurs	am	Meeting with Deputy Vice Chancellor, Makerere University
			Meeting with Task Manager, Decentralisation Programme
			Meeting with employers/potential employers of Forum graduates
		am/pm	Meeting and lunch with Forum grantees (PIs)
			Meeting with Director of MISR who is also Executive Secretary of I@mak.com
Aug 2 <sup>nd</sup>	Fri	am	Meeting with the Counsellor, the First Secretary Development and the Second Secretary Development
			By road to Entebbe
			Meeting with the Executive Secretary of ASARECA

		pm	Lunch with the Director, PMA Secretariat Meeting with Programme Officer, ECAPAPA By road to Kampala Meeting with Task Manager, Decentralisation Programme Forum hosted dinner with guests of honour, First Deputy Prime Minister, Uganda and the Deputy Vice Chancellor, Makerere University
Aug 3 <sup>rd</sup>	Sat	am	Meeting with Ugandan National Coordinator of Forum, Makerere University
		pm	Lunch with IFPRI staff member (DO) Departure for Nairobi, Kenya, on non-Forum business (HM) Work on report (DG and DO)
Aug 4 <sup>th</sup>	Sun	am	By road to Entebbe (DG and DO) By plane to Llongwe, Malawi via Nairobi, Kenya and Lusaka, Zambia (DG and DO)
Aug 5 <sup>th</sup>	Mon	pm	Work on report (DG and DO)
		am	By road to Bunda College (DG and DO) Courtesy call on the College Principal with the PI coordinating the visit (DG and DO) Meeting with Deans, Heads of Department, Director of the CARD, and Librarian (DG and DO) Meeting with Forum grantees (PIs) (DG and DO)
		pm	Lunch with Deans, Director of the CARD, Forum PIs, Librarian, and Forum students – former and current, etc. (DG and DO) Meeting with current Forum students (DG and DO) Meeting with former Forum students (DG and DO) By road to Llongwe (DG and DO) Courtesy call on the Principal Secretary, Ministry of Agriculture (DG and DO) Meeting with Deputy Director ARET who is a member of the Forum Advisory Committee (DG and DO) By road to Bunda College (DG and DO) Reception at Bunda College attended by Heads of Department, Forum PIs, Forum students, etc. (DG and DO) By road to Llongwe (DG and DO)
Aug 6 <sup>th</sup>	Tues	am	Meeting with Second Secretary, Agriculture and Natural Resources, European Union (DG and DO) Meeting with Assistant Resident Representative and the Aid Coordinator, Malawi Office of JICA (DG and DO) Meeting with the Counsellor, Royal Norwegian Embassy (DG and DO)
		pm	Lunch with a Forum PI and unofficial Forum Coordinator for Malawi (DG and DO) Meeting with the Senior Agricultural Services Specialist, World Bank, Malawi Office (DG and DO) Work on the report (DG and DO) Dinner with the Principal of Bunda College and the unofficial Forum Coordinator for Malawi (DG and DO)
Aug 7 <sup>th</sup>	Weds	am	Travel by plane from Llongwe to Harare, Zimbabwe via Blantyre (DG and DO) Arrival by plane in Harare, Zimbabwe from Nairobi, Kenya (HM)
		pm	Meeting with Operations Adviser and Programme Team Leader, Operations Zone 1 and two Programme Officers, ACBF Meeting with the Dean of Agriculture and the Director, Postgraduate Centre, University of Zimbabwe
Aug 8 <sup>th</sup>	Thurs	am	Meeting with Forum graduates
		pm	Meeting with Forum grantees (PIs)
Aug 9 <sup>th</sup>	Fri	am	Meeting with Chief Executive Officer, Harare IDEAA Regional Office, who is a member of the Forum Advisory Committee Meeting with the Vice Chancellor, University of Zimbabwe Meeting with current Forum students (DG and DO)

		pm	Meeting with employers of Forum graduates (HM and DO) Meeting and dinner with the Dean, Faculty of Agriculture, University of Zimbabwe
Aug 10 <sup>th</sup>	Sat	am	Left by plane from Harare to Entebbe via Llongwe and Nairobi
		pm	Arrival in Entebbe, Uganda
Aug 11 <sup>th</sup>	Sun	am	Team meeting to discuss strategy and content of report
		pm	Meeting with Forum Coordinator Team meeting to discuss content of report Attended Fifth Forum Regional Meeting Welcome Dinner at Imperial Botanical Beach Hotel, Entebbe
Aug 12 <sup>th</sup>	Mon	am	Attended opening session of Fifth Forum Regional Meeting, Windsor Lake Victoria Hotel, Entebbe Team meeting to discuss content of report
		pm	Meeting with Environmental Policy Adviser UNDP/BDP/CEA-SURF, Nairobi who is also Ugandan member of the Forum Advisory Committee Team meeting to discuss content of report
Aug 13 <sup>th</sup>	Tues	am	Attended Forum sponsored Cocktail Party Attended Forum Regional Meeting Session Meeting with Dean of Agriculture, Sokoine University, Tanzania Team meeting to discuss content of report
		pm	Meeting and lunch with Chief Executive Officer, Harare IDEAA Regional Office, who is a member of the Forum Advisory Committee Team meeting to discuss content of report Work on report
Aug 14 <sup>th</sup>	Weds	am	Attended Forum sponsored Cultural Evening and Dinner Attended session of Forum meeting By road to Kampala
		pm	Meeting with Vice Chancellor, Makerere University Lunch with the Director and Senior Research Fellow of EPRC, Makerere University Meeting with Rural Livelihoods Adviser, DFID East Africa, Kampala, Uganda By road to Entebbe Work on report Meeting with an advisor to Forum Work on report
Aug 15 <sup>th</sup>	Thurs	am	Reception hosted by Forum Attendance at session of Forum meeting Team meeting
		pm	Meeting with NGO representative who is also a frequent Forum consultant Meeting with EU Adviser to Ministry of Agriculture, Government of Uganda Attendance at session of Forum meeting Attendance at cultural show sponsored by Forum
Aug 16 <sup>th</sup>	Fri	am	Attendance at session of Forum meeting Team meeting Meeting with Deputy Director, Food Security, Rockefeller Foundation, New York
		pm	Team meeting Attendance at session of Forum meeting Attendance at closing session of Forum meeting Attendance at awards session of Forum meeting
Aug 17 <sup>th</sup>	Sat	am	Work on report (HM, DO) Attendance at Advisory Committee meeting of Forum (DG) Interim report of the Forum Review Team to the Forum Advisory Committee
		pm	Departure for home by team members =====
Sept 16 <sup>th</sup>	Mon	am	By road to Jomo Kenyatta University of Agriculture and Technology (DG)

		pm	Meeting with PI's and potential PI's (DG) Meeting with Forum students (DG) By road to Nairobi (DG) =====
Sept 18 <sup>th</sup>	Weds	am	By road to Egerton University (DG and HM) Meeting with Vice Chancellor, Deputy Vice Chancellor (Finance and Administration) and Registrar (Academic) (DG and HM) Meeting with PI's (DG and HM) Meeting with Forum students (DG and HM)
Sept 19 <sup>th</sup>	Thurs	pm am	Meeting with Deans and Heads of Departments (DG and HM) By road to Moi University (DG and HM) Meeting with Principal, Chepkoilel Campus and Dean of Agriculture (DG and HM) Meeting with current Forum students (DG and HM) Meeting with PI's (DG and HM)
Sept 20 <sup>th</sup>	Fri	pm am	Meeting with Deans and Heads of Department (DG and HM) Meeting with Deputy Vice Chancellor, Registrar and Finance Officer (DG and HM)
		pm	By road to Nairobi (DG and HM) =====
Sept 24 <sup>th</sup>	Tues	am	By road to Kenyatta University (DG) Meeting with Deans and Heads of Department (DG) Meeting with PI's (DG)
		pm	Meeting with current Forum students (DG) By road to Nairobi (DG) =====
Oct 6 <sup>th</sup> Oct 7 <sup>th</sup>	Sun Mon	pm am	Arrival in Maputo (DG and DO) Meeting with the Forum PI, Deputy Dean For Education, Deputy Dean of Graduate Studies and Deputy Dean of Research and Extension, Eduardo Mondlane University (DG and DO) Meeting with two potential Forum PIs, the Forum PI and the Deputy Dean for Education (DG and DO)
		pm	Lunch with the Forum PI (DG and DO) Meeting with the Operations Manager, World Vision, Mozambique, employer of Eduardo Mondlane graduates (DG and DO) Dinner with retired University Distinguished Professor of Agricultural Economics, Michigan State University, USA (DG and DO)
Oct 8 <sup>th</sup>	Tues	am	Meeting with the Director of the National Agricultural Research Institute (INIA) and the Forum PI (DG and DO) Meeting with the Dean of Veterinary Services, Eduardo Mondlane University to visit Molecular Biology Laboratory and the Forum PI (DG and DO)
		pm	Meeting with former Forum student (DG and DO) Lunch with Forum PI (DG and DO) Meeting with Reitor (Vice Chancellor of Eduardo Mondlane University) Team meeting to discuss report (DG and DO)
Oct. 9 <sup>th</sup>	Weds	am pm	Left Maputo, Mozambique by plane (DG and DO) Arrived Nairobi, Kenya by plane (DG and DO)
Oct. 10 <sup>th</sup>	Thurs	am pm	Meeting of two Team members (DO and HM) Work on report (DO) [National holiday in Kenya]
Oct. 11 <sup>th</sup>	Fri	am pm	Team meeting in RF office Work on report Work on report Meetings at RF office Telephone conference call with Deputy Director Food Security, RF New York
Oct. 12 <sup>th</sup>	Sat	am pm	Dinner with Forum Coordinator (DO and HM) Work on report (DN) Left Nairobi, Kenya by plane (DG and DO) Arrived Kampala, Uganda by plane and road (DG and DO)

Oct. 13 <sup>th</sup>	Sun	am	Arrived Kampala, Uganda by plane and road (HM)
		pm	Team meeting
Oct. 14 <sup>th</sup>	Mon	am	Team meeting Meeting with Dean of Agriculture, and two PIs, Faculty of Agriculture Meeting with Acting Director, Economic Policy Research Centre (EPRC) By road to Entebbe Meeting with Acting Permanent Secretary, Ministry of Agriculture, Animal Industry and two other staff
		pm	Meeting with Commissioner of Higher Education, Ministry of Education and Sports Telephone conference call with Director and Deputy Director of the RF Food Security Programme, New York Meeting with Sweet Potato Plant Breeder, International Potato Centre (CIP), Uganda, Coordinator, Regional Potato and Sweet Potato Improvement Programme in East and Central Africa (PRAPACE), and Forum PI
Oct. 15 <sup>th</sup>	Tues	am	Meeting with Vice Chancellor, Makerere University and Forum PI Meeting with Assistant Coordinator, Gatsby Foundation and Forum PI Meeting with Assistant Coordinator and Coordinator, Public Health Without Walls and Forum PI
		pm	Lunch with incoming Dean of Agriculture and three Forum PIs By car to Entebbe By plane to Nairobi
Oct. 16 <sup>th</sup>	Weds	am	Meeting with Vice Chancellor, University of Nairobi, the Dean of Agriculture and Forum PI Work on report (DO) By road to Kabete Campus (DG and HM) Meeting with current Forum students (DG and HM) Meeting with Forum PI's (DG and HM)
		pm	Meeting with Chairpersons of Departments (DG and HM) Meeting with former Forum students (DG and HM) Meeting with Principal, College of Agriculture and Veterinary Sciences (DG and HM) By road to Nairobi
Oct. 17 <sup>th</sup>	Thurs	am	Work on report
		pm	Work on report
Oct. 18 <sup>th</sup>	Fri	am	Work on report
		pm	Work on report Departure for home (DO)
			=====
Nov. 11 <sup>th</sup>	Mon	pm	Arrival in Entebbe, Uganda (DO)
Nov. 12 <sup>th</sup>	Tues	pm	Arrival in Entebbe, Uganda (DG, HM)
Nov. 13 <sup>th</sup>	Weds	pm	Presentation of report to RF staff Departure for home of team members
			=====

## APPENDIX H: PEOPLE SEEN

Name	Gender	Position
<b>USA:</b>		
<i>Rockefeller Foundation:</i>		
Matlon, P., Dr.	M	Deputy Director, Food Security
Mooch, J., Dr.	F	Vice President
Toenniessen, G., Fr.	M	Director, Food Security
<b>Kenya:</b>		
<i>Nairobi City:</i>		
<i>Rockefeller Foundation:</i>		
Adala, C., Mrs.	F	Programme Assistant, Food Security
Isoe, D., Mr.	M	Management Finance and Administrative Officer
Kiragu, W., Mrs.	F	Programme Associate, Food Security and Health
Lynam, J., Dr.	M	Associate Director, Food Security
Mgabe, C., Dr.	M	Director for Africa Region and Representative for East Africa
Namuddu, C., Dr.	F	Associate Director, Food Security
Patel, B., Dr.	F	Associate Director, Food Security and Coordinator of Forum
<i>Others in Nairobi:</i>		
Aina, T.A., Dr.	M	Deputy Representative, Office for Eastern Africa, Ford Foundation
Brown, M., Dr.	F	Chief, Agriculture, Business and Environment, USAID
Choke, J., Mr.	M	Programme Officer, JICA
Fischer, F.C., Mr.	M	Senior Africa Adviser, Development Associates, Inc, Lansdowne, USA
Fosu, A.K., Dr.	M	Director of Research, AERC
Freeman, C.J., Dr.	F	Regional Director, IDRC
Gasengayire, F., Dr.	M	Programme Officer, SUB, IDRC
Kibe, S., Mr.	M	Programme Officer, Education
Kibera, Mr.	M	Director, External Resources Department, The Treasury, Government of Kenya
Masinde, C., Dr.	F	Enterprise Development Adviser, DFID
Mwega, F., Professor	M	Consultant, AERC and University of Nairobi
Navarro, L., Dr.	M	Theme Leader, People, Land and Water, IDRC
Ojiambo, L., Mr.	M	Acting Director, World Bank, Nairobi
<b>Egerton University:</b>		
<i>Administrators:</i>		
Maritim, E., Professor	M	Vice Chancellor, Egerton University
Abdulrazak, S.A., Professor	M	Deputy Vice Chancellor, Research and Extension
Kathuri, N.J., Professor	M	Academic Registrar
Tuitoek, J., Professor	M	Deputy Vice Chancellor, Finance
<i>Others:</i>		
Agonga-Otitimah, Mr.	M	Lecturer, Geography Department
Mumera, L., Dr.	M	Senior Lecturer

Okiror, M., Dr.	M	Senior Lecturer
Ondimu, Dr.	M	Lecturer, Geography Department
Serem, Dr.	M	Lecturer, Geography Department
Sigunga, D., Dr.	M	Senior Lecturer

***Jomo Kenyatta University of Agriculture and Technology:***

*Staff:*

Akenga, T., Dr.	F	Chemistry Department
Kahangi, E.M., Professor	F	Horticulture Department
Thiong'o, T., Dr.	M	Horticulture Department

*M.Sc Students:*

Adhiambo, J., Ms.	F	Graduate Student, Biochemistry
Mamungu, P., Ms.	F	Graduate Student, Zoology
Wambui, L., Ms.	F	Graduate Student, Horticulture
Wanga, B., Ms.	F	Graduate Student , Chemistry

***Kenyatta University:***

*Staff:*

Abate, K., Dr.	M	Director, Centre for Environmental Research and Extension
Aloo, T., Dr.	F	Environmental Science
Koskey, P.K.	M	Chairman, Department of Environmental Planning and Management
Mburugu, G.N., Dr.	M	Chairman, Botany Department
Mburugu, K.G., Dr.	F	Chairperson, Textile Science and Design Department
Monda, E.O., Dr.	F	Botany Department
Mugendi, D., Dr.	M	Environmental Foundation
Muluvi, G.M., Dr.	F	Chairman, Biochemistry Department
Ngige, L., Dr.	F	Chairperson, Consumer Sciences Department
Kuria, E.N., Dr.	F	Foods, Nutrition and Dietetics Department
Thoruwa, C.L., Dr.	F	Chemistry Department
Thoruwa, T.F.N., Dr.	M	Appropriate Technology Centre
Wanjohi, W., Dr.	M	Botany Department
Waudu, S.W., Professor	M	Dean, School of Pure and Applied Sciences
Waudu, J.N., Dr.	M	Chairman, Hotel, Restaurant, and Institutional Management Department

*M.Sc Students:*

Alukonya, A.E., Mr.	M	Graduate Student, Plant Pathology
Arim, J., Mr.	M	Graduate Student, Plant Pathology
Kangai, R.A., Ms.	F	Graduate Student, Agroforestry and Rural Development
Karunditu, M., Ms.	F	Graduate Student, Agroforestry and Rural development
Mucheru, M., Mrs.	F	Graduate Student, Agroforestry and Rural Development
Nguhui, F., Ms.	F	Graduate Student, Plant Pathology
Shitabule, E.W., Mrs.	F	Graduate Student, Plant Pathology
Waswa, B., Mr.	M	Graduate Student, Environmental Studies

***Moi University:***

*Administrators*

Some, D.K., Professor	M	Deputy Vice Chancellor (Now Vice Chancellor)
Kamar, M., Professor	F	Principal, Chepkoilel Campus (Now Deputy Vice Chancellor)
Gudu, S., Professor	M	Director of Research

*Staff:*

Imo, M., Dr.	M	Forestry Department
Iruria, D.M., Dr.	M	Marketing and Cooperatives Department
Mathenge, P.W., Dr.	M	Head of Crop Production and Seed Technology Department
Muasya, R.M., Dr.	M	Crop Production and Seed Technology Department
Ndalut, P., Professor	M	Chemistry Department
Njoroge, M., Mr.	M	Librarian
Okalebo, J.R., Professor	M	Crop Science and Seed Technology Department
Omunyin, M., Dr.	M	Head of Horticulture Department and Acting Dean
Othieno, C.O., Professor	M	Head of Soil Science Department
Rheenen, van H., Professor	M	Crop Production and Seed Technology Department
Rono, P., Dr.	M	Sociology Department
Wanjala, F., Professor	M	Zoology Department

*Others:*

Juma, N.K., Ms.	F	Graduate Student
Kifuko, M.N., Ms.	F	Graduate Student
Korir, H. Mr.	M	Graduate Student
Mwaura, H.W., Ms	F	Graduate Student
Ndung'u, K.W., Ms.	F	Graduate Student
Ojiewo, C., Mr.	M	Graduate Student
Waigwa, M., Ms.	F	Graduate Student
Weru, P.W., Mr.	M	Graduate Student

***University of Nairobi:***

*Administrators:*

Kiamba, C.M., Professor	M	Vice Chancellor, University of Nairobi
Mukunya, D.M., Professor	M	Principal, College of Agriculture and Veterinary Sciences
Imungi, J.K., Professor	M	Dean of Agriculture

*Heads of Department:*

Badamana, M.S., Dr.	M	Senior Lecturer, Animal Production
Cheming'wa, G.N., Dr.	M	Lecturer, Crop Science
Ekaya, W. N., Dr.	M	Lecturer, Range Management
Gachene, C.K.K, Dr.	M	Senior Lecturer, Soil Science
Karugia J. T., Dr.	M	Acting Chairman, Agricultural Economics
Mutitu, E.W., Dr.	F	Senior Lecturer, Crop Protection
Okoth, M.W., Dr.	M	Senior Lecturer, Food Science and Technology

*Forum PI's:*

Chitere, P., Dr.	M	Assistant Professor, Sociology
Gachene, C.K.K., Dr.	M	Senior Lecturer, Soil Science
Hutchinson, M., Dr.	F	Senior Lecturer, Crop Science
Karanja, N., Dr.	F	Associate Professor, Soil Science
Kimenju, J.W., Dr.	M	Lecturer, Crop Protection
Mburu, M., Dr.	F	Senior Lecturer, Crop Science
Mwangombe, A., Dr.	F	Associate Professor, Crop Protection
Narla, R.D., Dr.	F	Lecturer, Crop Protection
Obuodho, E., Mr.	M	Lecturer, Crop Science
Olubayo, F., Dr.	F	Lecturer, Crop Protection
Yobera, D., Ms.	F	Lecturer, Crop Science

*Current Forum Students:*



Kibaru, A., Mr.	M	Student, Crop Protection
Kipkosgei, K.L., Mr.	M	Student, Crop Science
Kipsumbai, P., Mr.	M	Student, Crop Protection
Machangi, J.M., Mr.	M	Student Crop Protection
Maithiya, J.M., Mr.	M	Student, Agricultural Economics
Manyengo, J.U., Mr.	M	Student, Agricultural Economics
Nipher, L.O., Miss	F	Student, Crop Science
Nkonge, I.G., Ms.	F	Student, Crop Science
Omuolo, F.M., Mr.	M	Student, Crop Science
Onginji, O.E., Mr.	M	Student, Crop Science
Thiongo, G., Mr.	M	Student, Crop Protection
Wambua, E.M., Mrs.	F	Student, Crop Protection
Wanderi, S.N., Ms.	F	Student, Crop Science
Wanjiku, J., Ms.	F	Student, Agricultural Economics

*Forum Graduates:*

Mwaniki, A.W., Miss	F	Research Officer, Crop Protection, KARI
Nzuma, J.M., Mr.	M	Assistant Lecturer, Agricultural Economics, UON
Wachenje, C.W., Mrs.	F	Director of Crop Protection, Idrecs Consultants
Wanyoike, F.N., Mr.	M	Research Assistant, Agricultural Economics, ILRI

**Malawi:**

***Bunda College, University of Malawi:***

*Administrator:*

Kanyama-Phiri, G., Professor	M	Principal, Bunda College
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*Deans and Heads of Departments:*

Chilima, D.M., Dr.	F	Head of Home Economics/Human Nutrition, Bunda
Khaila, S., Dr.	M	Director, Centre for Agricultural Research and Development (CARD)
Kwapata, M., Dr.	M	Dean, Forestry and Horticulture
Likongwe, J.S., Dr.	M	Head, Aquaculture and Fisheries Science Department
Malunga, J.F.C., Mr.	M	Lecturer, Agric Engineering
Masangani M., Dr.	M	Head, Rural Development
Mloza-Banda, H.R., Dr.	M	Dean, Agriculture, Crop Science Department
Mtimuni, J.P., Professor	M	Head, Department of Animal Science
Nyirenda, G.K.C., Dr.	M	Head, Department of Crop Science
Phoya, R.K.D., Professor	M	Dean, Postgraduate Studies, Animal Science
Saka, V.W., Professor	M	Crop Science
Salanje, G.F., Mr.	M	Librarian, Library
Samu, S.M., Mr.	M	Head Languages and Developmental Communication

*Forum PIs:*

Kwapata, M.B., Dr.	M	Lecturer, Forestry and Horticulture
Mangisoni, J.H., Dr.	M	Lecturer, Rural Development
Masangano, C.M., Dr.	M	Lecturer, Rural Development
Mloza-Banda, H.R., Dr.	M	Lecturer, Crop Science
Mughogho, S.K., Professor	M	Crop Science
Phiri, M.A.R., Dr.	M	Lecturer, Rural Development
Saka, V.W., Professor	M	Crop Science
Salanje, G.F., Mr.	M	Librarian, Library

*Current Forum Students:*

Kabuhi, A.K., Mr.	M	Student, Agric Economics
Kakatera, C.P., Mr.	M	Student, Crop Science
Mbamba, R.V., Mrs.	F	Student, Crop Science
Mhango, W.G., Ms.	F	Student, Crop Science
Mkandawire, F.T., Ms.	F	Student, Agric. Economics
Mpeketula, P.M., Mr.	M	Student, Crop Science
Munthali, W.M., Mr.	M	Student, Crop Science
Mwalwanda, A.B., Mr.	M	Student, Crop Science
Ngoma, P.G., Mr.	M	Student, Agric. Economics
Nkanaunena, G.A., Mr.	M	Student, Crop Science
Nkhulenje, H., Mr.	M	Student, Crop Science
Nyirenda, C.L.M., Mr.	M	Student, Crop Science
Thawapo, B.S., Mr.	M	Student, Crop Science

*Former Forum Students:*

Apondamgaga, P.H., Mr.	M	Research Coordinator, Research, Concern Universal
Changaya Banda, A., Mr.	M	Principal Plant Pathologist, Agricultural Research and Extension Trust (ARET).
Kaotcha, R.M., Mr.	M	Projects Officer, The Hunger Project
Madzonga, O.M.M., Mr.	M	Scientific Officer, Technology Exchange, ICRISAT
Njoloma, J., Ms.	F	Agroforester, Forest and Horticulture

*Outside University:*

Kumwenda, A.S., Dr.	M	Deputy Director ARET and Member Forum Advisory Committee
M'buka, F., Mr.	M	Senior Agricultural Services Specialist, World Bank, Malawi
Mchiela, A.F., Ms.	F	Principal Secretary, Ministry of Agriculture and Irrigation
Missinne, B., Mr.	M	Second Secretary, European Union, European Union
Mkandawire, V.A.L., Mr.	M	Aid Coordinator, JICA, Malawi
Okitsu, K., Mr.	M	Assistant Resident Representative, Japan International Cooperation Agency, Malawi
Sverdrup. K., Ms.	F	Deputy Ambassador, Royal Norwegian Embassy, Malawi

**Mozambique**

*Eduardo Mondlane University*

*Administrators:*

Mazula, B., Professor	M	Reitor (Vice Chancellor), Eduardo Mondlane University
Andrade, E., Professor	M	Forestry Department and Deputy Dean for Education, Faculty of Agronomy and Forestry Engineering (FAEF)
Bandeira, R.M.T.M., Dr.	F	Deputy Dean for Research and Extension, FAEF
Negrao, J., Professor	M	Deputy Dean for Graduate Studies, FAEF
Neves, L., Professor	M	Dean of Veterinary Sciences
Sitoe, A.A., Dr.	M	Head of Department of Forestry, FAEF

*Forum PI and Potential PIs:*

Hugo, L., Dr.	F	Lecturer, Rural Engineering Department, FAEF
Monjana, A., Dr.	F	Lecturer, Plant Production and Plant Protection, FAEF
Santos, L., Dr.	F	Senior Lecturer, Plant Production and Protection

*Former Forum Student:*

Chongo, D., Eng.	M	Lecturer, Plant Production and Plant Protection, and Deputy Dean of Administration, FAEF
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***Outside University:***

Bias, C., Dr.	M	Director, National Agriculture Research Institute (INIA)
Eicher, C., Professor	M	University Distinguished Professor, Emeritus, Agricultural Economics Department, Michigan State University, USA
Mazula, V.M., Dr.	M	Operations Manager, World Vision

***Uganda:******Makerere University:******Administrators:***

Ssebuwufu, M., Professor	M	Vice-Chancellor
Opio-Epelu, M., Professor	M	Deputy Vice-Chancellor, Makerere University
Sabiiti, E.N., Professor	M	Dean, Faculty of Agriculture

***Heads of Departments and Deans of Faculties:***

Bahigwa, G., Dr.	M	Acting Head and Senior research Fellow, EPRC
Bekunda, M., Assoc. Professor	M	Dean Elect, Faculty of Agriculture
Katunguka, S., Mr.	M	Task Manager, I@Mak.com
Kibwika, P., Mr.	M	Acting Head, Department of Agricultural Extension/Education
Kikafunda, J., Dr.	F	Head, Department of Food Science and Technology
Kyamanywa, S., Assoc. Professor	M	Head, Department of Crop Science
Mutetikka, D., Dr.	M	Head, Department of Animal Science
Nabasirye M., Dr.	F	Acting Associate Dean, Faculty of Agriculture
Nakanyike, B.M., Dr.	F	Executive Secretary of I@Mak.Com and Director MISR
Sentongo-Kibarama J., Dr.	M	Head and Associate Dean of Agricultural Engineering
Sserunkuuma, M., Dr.	M	Acting Head, Department of Agricultural Economics
Tenywa, M., Dr.	M	Head, Department of Soil Science

***Forum PIs:***

Bareeba, F.B., Professor	M	Professor, Department of Animal Science
Bashaasha, B., Dr.	M	Lecturer, Department of Agric. Economics
Edema, R., Dr.	M	Lecturer, Department of Crop Science
Ekwamu, A., Professor	M	Internal Forum Coordinator, Crop Science Department
Kiiza, B., Dr.	M	Lecturer, Department of Ag. Economics
Kyamanywa, S., Dr.	M	Associate Professor, Department of Crop Science
Mbowa, S., Dr.	M	Lecturer, Department of Agricultural Economics.
Mugisha, J., Dr.	M	Lecturer Department of Agricultural Economics
Nabasirye, F, Dr.	M	Senior Lecturer, Department of Crop Science
Osiru, D.S.O., Professor	M	Professor, Department of Crop Science
Rubaihayo, Professor	M	Department of Crop Science
Semana, A.R., Dr.	M	Senior Lecturer, Department of Agricultural Economics
Tenywa, J S., Dr.	M	Senior Lecturer, Soil Science Department

***Others in University:***

Byauchanga, J., Dr.	M	Coordinator, Gatsby Foundation, Uganda
Mbaine, S., Dr.	M	Coordinator, USHEPiA
Najjemba, M., Dr.	F	Assistant Coordinator, USHEPiA

***Forum Students at Makerere University:***

Adriko J., Mr.	M	Graduate Student, Department of Crop Science
Amujal, M.A., Ms.	F	Graduate Student, Department of Extension Education
Apio, G.B., Ms.	F	Graduate Student, Department of Crop Science
Asio, M.T., Ms.	F	Graduate Student, Department of Crop Science

Egabu, J., Mr.	M	Graduate Student, Crop Science
Ekiyar, V., Mr.	M	Graduate Student, Department of Agricultural Economics
Engoru, P., Mr.	M	Graduate Student, Department of Extension
Kawuki, R., Mr.	M	Graduate Student, Crop Science
Kazooba, M., Mr.	M	Graduate Student, Department of Agricultural Economics
Kimooone, G., Mr.	M	Graduate Student, Department of Crop Science
Kizito, C., Mr.	M	Graduate Student, Department of Soil Science
Lamo, J., Mr.	M	Graduate Student, Department of Crop Science
Makara, A.M., Mr.	M	Graduate Student, Department of Crop Science
Muhedeza, I., Mr.	M	Graduate Student, Department of Agric. Economics
Mulebeke, R., Mr.	M	Graduate Student, Department of Soil Science
Mulema J., Mr.	M	Graduate Student, Department of Crop Science
Muwanga, S., Mr.	M	Graduate Student, Department of Soil Science
Mwebesa, B., Mr.	M	Graduate Student, Department of Extension
Nakitandwe J., Ms.	F	Graduate Student, Department of Crop Science
Nalukwago, J., Ms.	F	Graduate Student, Department of Extension
Nanteza, S., Ms.	F	Graduate Student, Department of Crop Science
Nantongo, S., Ms.	F	Graduate Student, Department of Crop Science
Obaa, B., Mr.	M	Graduate Student, Department of Extension
Octtwo-Ssemakula H.K.N., Mrs.	F	Graduate Student, Department of Crop Science
Ogwal, R., Mr.	M	Graduate Student, Department of Agricultural Economics
Olupot G., Mr.	M	Graduate Student, Department of Soil Science
Omiat, G., Mr.	M	Graduate Student, Department of Agricultural Economics
Oneka, J., Mr.	M	Graduate Student, Department of Crop Science
Otto, F., Mr.	M	Graduate Student, Department of Crop Science
Owuor, C., Mr.	M	Graduate Student, Department of Soil Science
Rwomushana, I., Mr.	M	Graduate Student, Department of Crop Science
Sadik, K., Mr.	M	Graduate Student, Department of Crop Science
Tatwangire, A., Mr.	M	Graduate Student, Department of Agricultural Economics
Taulya, G., Mr.	M	Graduate Student, Department of Soil Science
Tugume, K.A., Mr.	M	Graduate Student, Department of Crop Science

*Forum Graduates:*

Amoding, A., Ms.	F	Student, Department of Soil Science
Bananuka, J.A., Dr.	M	Assistant Coordinator, Department of Crop Science
Bosio, B., Mr.	M	Student, Department of Crop Science
Byamukhana L.E., Mr.	M	Research Associate, IITA, Uganda
Karungi, J.K.T., Mrs.	F	Assistant Lecturer, Department of Crop Science
Lwanga, L.C.K., Mr.	M	Research Associate, Department of Crop Science, IITA-ESARC
Nahamya, P., Ms.	F	Research Assistant, IFPRI, Uganda
Nampala, P., Mr.	M	Scientific Editor, Makarere African Crop Science Journal
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Sseruwagi, P., Mr.	M	Student, Cells and Molecular, Witwatersrand University
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*Employers of Forum Graduates:*

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Otim-Nape G.W., Dr.	M	Deputy Director General Outreach, NARO

Tikizara, C. , Dr.	M	Director, MEPU, NARO
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Fowler, M., Dr.	M	Sector Policy and Programme Adviser, Ministry of Agriculture, Animal Industry and Fisheries
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Lemaga, B., Dr.	M	Coordinator, PRAPACE, CIP, Uganda
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Saamanya, J., Dr.	M	Commissioner, Department of Animal Production and Marketing, MAAIF
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Mutengwa, C.S., Mr.	M	Student, Crop Science
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Ongile, G.A., Dr.	F	Programme Officer, ACBF
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