

# **AGRICULTURAL RESEARCH FOR DEVELOPMENT**

## **( ARD )**

**EUROPEAN COMMISSION STRATEGY DOCUMENT**

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## INTRODUCTION

### ***Purpose of this document***

Our objective is to provide simple, practical operational guidelines to assist decision making for the consideration of European Commission (EC) support for Agricultural Research for Development (ARD) in partnership with developing countries.

It is a result of an intensive consultation process among the various services of the EC involved in supporting ARD, together with the EU Member States through the European Initiative for Agricultural Research for Development (EIARD).

We will review the main characteristics of ARD and how it fits into the European Commission's policy framework for development aid. We will then present the EC strategy for support to ARD.

The aim is to strengthen and streamline EC investments in ARD, by building on the positive achievements of the past, responding to lessons learned and developing effective tools to put the EC's ARD strategy into practice.

### ***Positive developments - but many problems to be addressed***

Over the past 50 years, many of the poorest countries in the world have made significant progress in terms of development, e.g. :

- ⇒ the absolute number of people who have risen out of poverty has increased markedly in some regions, like East Asia and the Pacific.
- ⇒ devastating famines of the type seen in the first half of last century have been largely eliminated in countries like India and China, and in parts of Africa.
- ⇒ there is more trained human resource capacity in the South to address developmental problems.

But there are no grounds for complacency. For a host of complex reasons, including population growth, over 1.5 billion people continue to live in absolute poverty and more than 800 million people still suffer chronic malnutrition.

### ***Agriculture is a key part of the solution***

In most developing countries, agriculture (defined to include fisheries, forestry and livestock) has played an important role in economic development, and will continue to do so. Today millions of poor people still depend either directly or indirectly on agriculture for their livelihoods. For example, in countries such as Ivory Coast, Kenya and Tanzania, between 50 and 80 per cent of the active people are employed in agriculture.

However, agricultural sustainability faces a number of threats:

- ⇒ accelerating destruction of natural resources: two thirds of all agricultural land has been affected by soil degradation in the last 50 years
- ⇒ declining global bio-diversity: for example, in India the number of rice varieties grown has declined from 30,000 to 100 within 50 years
- ⇒ increasing shortage of water: between 1900 and 1995 global water use increased six-fold, while world population doubled; within the next 25 years water shortages are predicted for 46 countries
- ⇒ many other reasons: climate change, pollution, inadequate policy environments, etc.

## ***Role of Agricultural Research for Development (ARD)***

As often happens with research, not all the knowledge generated through ARD has been successfully applied. Nonetheless, ARD has been instrumental in many developmental advances over the last 50 years.

A recent review undertaken by the Consultative Group on International Agricultural Research (CGIAR) concluded that investment in ARD has been "the best use of international official development assistance bar none"<sup>1</sup>.

But there is no simple guarantee of agricultural sustainability. It calls for the development of new strategies and practices based on knowledge acquisition and research.

With better application of research findings, "owned" by the beneficiaries and relevant to their needs, there is no doubt that ARD will remain an **important developmental instrument in the 21st Century**, provided that an appropriate policy environment exists.

## ***Role of the European Commission and its strategy for ARD***

Since its creation, the EC has included support to ARD in its portfolio of important activities<sup>2</sup>.

This document formalises the EC's strategy for Agricultural Research for Development and makes it available to its institutional partners, in view of facilitating discussions among EC services (particularly EC Delegations) and developing countries representatives when ARD is under consideration.

For the European Commission it means a strategic commitment:

- ⇒ to invest in ARD on a medium term time frame, and reflecting the ongoing international debate on development issues
- ⇒ to ensure coherence and complementarity between potential EU funding instruments (EDF, ALA, MEDA, INCO-DEV etc),
- ⇒ to strengthen EC / Member State ARD co-ordination, mainly through the European Initiative for Agricultural Research for Development (EIARD).

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<sup>1</sup> Maurice Strong, 2000

<sup>2</sup> See evaluation report October 1997, CIRAD – René Billaz and Alain Guyot : Evaluation des projets de recherche développement financés dans les pays A.C.P. par FED 6 et 7 et les lignes budgétaires complémentaires.

# CHAPTER 1 : OVERVIEW OF AGRICULTURAL RESEARCH FOR DEVELOPMENT (ARD)

## 1.1 DEFINITIONS

The factors that affect the livelihoods of poor people are complex.

They include not just their natural assets such as land, water and agricultural systems, but also access to physical assets (e.g. buildings, equipment, roads, electricity), financial assets (capital, loans), human assets (health care, education, nutrition) and social assets (social relationships including political empowerment).

ARD activities are specifically designed to address aspects of poor people's ownership of, access to and utilisation of natural assets, taking into account the wider developmental picture. The aim is to ensure successful application of ARD outputs.

We define Agricultural Research for Development as:

*research into any discipline (biological, technical, social, economic, policy) which can provide new knowledge, help identify appropriate solutions to agricultural problems faced by poor people, and enhance the agro-ecosystems of poor farmers, to improve their livelihoods.*

For example, the **CGIAR**<sup>3</sup>, which is involved in up-stream strategic research, helpfully highlights five priority areas for ARD activities:

- ⇒ **Increasing productivity:** through genetic improvements in plants, livestock, fish, and trees, and through better management practices.
- ⇒ **Managing natural resources:** especially soil and water, and reducing the impact of agriculture on the surrounding environment.
- ⇒ **Preserving biodiversity:** retain, catalogue and make available *in situ* and *ex situ* collections of plant and animal genetic resources, including farmers' varieties, improved varieties, and the wild species from which those varieties were created.
- ⇒ **Improving policies:** streamline and improve policies that strongly influence the spread of new technologies, the management and use of natural resources and the making of end products.
- ⇒ **Capacity building and partnerships:** strengthen national agricultural research in developing countries through close working relationships with national programs, reinforcement of research administration and management skills, and formal training programs for research staff.

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<sup>3</sup> Consultative Group on International Agricultural Research

There is a wide range of ARD topics / activities, responding to various rural development issues, that contribute to delivery in the five priority areas - as Table 1 illustrates:

**Table 1: examples of ARD topics and associated research activities**

EXAMPLES OF ARD TOPICS	ASSOCIATED RESEARCH ACTIVITIES
<b>PLANT PRODUCTION AND PROTECTION</b>	Breeding (Traditional pre-breeding, Genetic Engineering, Selection), Agronomy, Plant Nutrition, Plant Protection, Soil Science, Mechanisation, Horticulture, Production of Planting Material, Forage Production etc.
<b>ANIMAL PRODUCTION AND PROTECTION</b>	Animal Nutrition, Animal Diseases and Parasites, Animal Breeding, Aquaculture, Fisheries, etc.
<b>FORESTRY PRODUCTION AND PROTECTION</b>	Forestry, Agroforestry, Production of Planting Material, etc.
<b>POLICIES, TRADE, LEGISLATION</b>	Food Policies, International Policies, Water Policies, Poverty reduction policies, land tenure, etc.
<b>SOCIO-ECONOMICS</b>	Social Sciences, Agricultural Economics, Farmers organisations, Marketing, etc.
<b>NATURAL RESOURCES MANAGEMENT</b>	Agronomy, Soil Science, Plant Genetic Resources, Animal Genetic Resources, Desertification, Irrigation and Drainage, Climate Change, GIS, Waste Management, etc.
<b>FOOD PROCESSING AND POST-HARVESTING</b>	Handling, Storage, Reduction of losses, Human Nutrition, Food Safety and Quality, etc.
<b>URBAN AND PERI-URBAN</b>	Horticulture, Animal Production, Waste Management, etc.

## 1.2 ACTORS, LEVELS & FUNCTIONS

ARD priority areas, topics and activities are identified, researched and implemented by various **actors** who have specific **functions**, and who operate at various **geographical levels**.

### Actors

Three kinds of actor are involved in overall agricultural research:

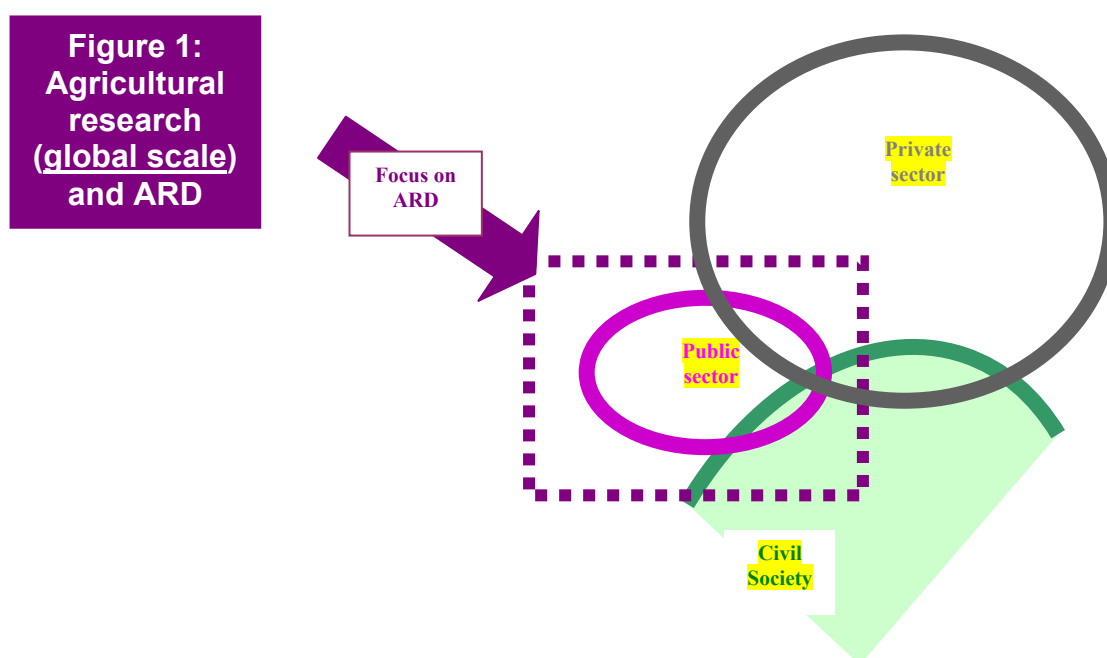
- ⇒ the **private sector**,
- ⇒ the **public sector**
- ⇒ the **civil society**

Overall, the resources allocated by the private sector outrank those provided by the public sector. According to a recent Harvard Business School study, in the United States scientific research funding overall is now two-thirds private

and one-third government funded, the exact reverse of the ratio after World War II.

In the case of Agricultural Research for Development however, the public sector has been the main investor in research directed at small scale agricultural producers, while for industrial crops such as oil palm and coffee, the public and private sectors today have complementary roles.

Finally, the role of civil society (the community at large) in setting research priorities and implementation solutions is increasingly being acknowledged.



### Geographical levels

Within the public sector specifically, actors operate at a range of geographic levels:

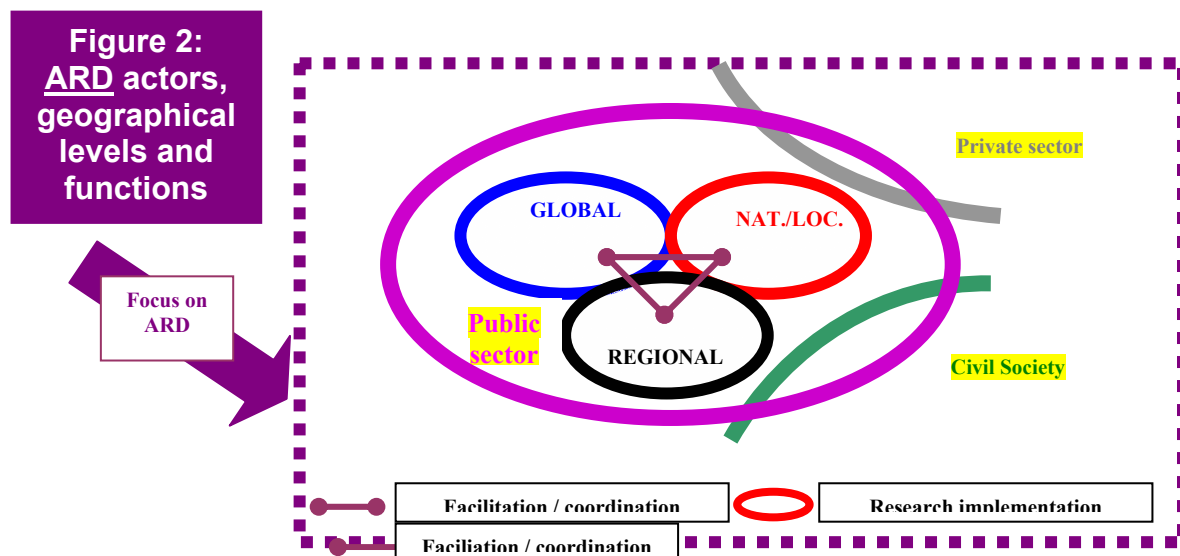
- ⇒ **global**
- ⇒ **regional**
- ⇒ **national / local**

### Functions

At each of the geographical levels within the public sector, actors perform two types of function:

- ⇒ **research implementation** - producing new knowledge and technologies through experiment and studies.

⇒ **facilitation and co-ordination** of research activities - creating the conditions to allow research to be undertaken effectively and efficiently.



**Table 2: Examples of actors involved in the various functions and geographic levels of ARD.**

FUNCTIONS	GEOGRAPHICAL LEVELS		
	Global	Regional	National / Local
<b>Facilitation and Co-ordination</b>	<ul style="list-style-type: none"> <li>- Global Forum on Agricultural Research</li> <li>- Consultative Group on International Agricultural Research</li> </ul>	<ul style="list-style-type: none"> <li>- CORAF,</li> <li>- ASARECA,</li> <li>- SACCAR,</li> <li>- APAARI, etc</li> </ul>	<ul style="list-style-type: none"> <li>- National Agricultural Research Systems</li> <li>- Local authorities</li> </ul>
<b>Research implementation</b>	<ul style="list-style-type: none"> <li>- International Agricultural Research Centres</li> <li>- Partnerships with agricultural Research Institutes (Universities &amp; Research Institutes in the “North”)</li> </ul>	<ul style="list-style-type: none"> <li>- ICIMOD,</li> <li>- CATIE,</li> <li>- SEARCA,</li> <li>- CIRDES,</li> <li>- Regional Collaborative Programmes, etc.</li> </ul>	<ul style="list-style-type: none"> <li>- National Agricultural Research Institutes</li> <li>- Universities,</li> <li>- Private Sector,</li> <li>- Local research organisations,</li> <li>- Agricultural Colleges,</li> <li>- NGOs, etc.</li> </ul>



## CHAPTER 2 : ARD AND EC DEVELOPMENT POLICY

Experience shows that ARD contributes to progress in agriculture, livestock, forestry and fisheries, and thus is a powerful engine for development:

- ⇒ generating income for the rural poor.
- ⇒ increasing food security and improving quality of products.
- ⇒ reducing rural and urban poverty.
- ⇒ protecting the environment.
- ⇒ stimulating development in the rest of the economy.
- ⇒ ensuring more general prosperity through the stimulation of global trade and greater global political stability.

EC support to ARD should continue, and should be part of the new European Community's policy framework for development, as outlined in the following chapters.

### 2.1 THE TREATY ESTABLISHING THE EUROPEAN COMMUNITY

Like any other EC development activity, ARD is subject to four principles set out in the Treaty establishing the European Community, i.e.:

- ⇒ to develop and consolidate democracy
- ⇒ to foster economic and social development
- ⇒ to foster integration of developing countries into the world economy
- ⇒ to fight against poverty

Policies and decisions must also take fully into account the most recent dimension included in the Amsterdam Treaty, which concerns “environmental protection requirements - particularly with a view to promoting sustainable development”.

Development aid in the **rural sector** aimed at supporting **sustainable development** is an essential element in reducing poverty. This can only be achieved if it is economically sound, democratic, socially fair and environment-friendly. Identifying those goals is a clear task for ARD.

### 2.2 EC DEVELOPMENT POLICY

EC development policy is part of a wider international strategy for which a comprehensive view is currently emerging. The strategy adopted by the Development Assistance Committee of the OECD<sup>4</sup>, in which the Community takes part, plays a key role in co-ordinating international efforts.

The Communication COM(2000)212 - EC policy for Development – and the subsequent Declaration of the Council and EC (November 2000) set out the

<sup>4</sup>

Shaping the 21<sup>st</sup> Century: the contribution of Development Co-operation, May 1996.

essential objectives of EC development policy. They confirm that poverty eradication is the central objective. They also instruct the EC to target its development aid for development on six areas of concentration:

1. Trade and development
2. Regional integration and co-operation
3. Support to macro-economic policies
4. Transport
5. Food security and sustainable rural development
6. Institutional capacity-building, good governance and the rule of law

ARD has a vital part to play:

- ⇒ particularly in number 5 - food security and sustainable rural development
- ⇒ but also in numbers 1, 2, 3 and 6, as referred to in the Communication to the Council and Parliament (COM(1997)174) which identifies research as one of the decisive factors in sustainable development and in the integration of developing countries into the world economy.

Recognising the importance of research, both COM(2000)212 and the subsequent EC / Council Declaration assert that it should be promoted by the EC in developing countries.

## **2.3 EC RURAL DEVELOPMENT POLICY**

Analysis of the European Commission's mandate regarding food security and sustainable rural development aid (area of concentration nr. 5 above) highlights six desired results from development co-operation with developing countries.

Please see the Policy Orientation Paper (POP) available on the Internet at:  
<http://europa.eu.int/comm/development/rurpol/>

- (a) more peaceful, equitable, open and democratic rural societies
- (b) more effective and accountable rural institutions
- (c) economic policies enabling rural growth
- (d) enhanced individual assets of rural dwellers
- (e) more sustainable natural resource management
- (f) more coherence between EU agricultural, trade, environmental and immigration policies and the EU's purpose of improving rural livelihood.

ARD can contribute to achieving food security and sustainable rural development through all of these means, particularly (c), (d) and (e).

The small farmer and his/her family are the central point of the EC support to development. By focusing on their development issues, ARD can contribute to

sustainable rural development, food security and poverty reduction . See chart in annex 1.

A few examples are given below to show how ARD themes are relevant to the six results mentioned in this chapter.

**Table 3: Relevance of ARD topics to the POP's six desired results (area 5 "Food Security and Sustainable Rural Development")**

			EC POLICY ORIENTATION PAPER					
			EQUITABLE DEMOCRATIC RURAL SOCIETIES	EFFECTIVE RURAL INSTITUTIONS	SUPPORTING ECO POLICIES TO ENABLE RURAL GROWTH	ENHANCING INDIVIDUAL ASSETS	SUSTAINABLE NATURAL RESOURCES	IMPROVING COHERENCE OF EU POLICIES
A · R · D ·  T H E M E S	1	PLANT PRODUCTION & PROTECTION						
	2	ANIMAL PRODUCTION & PROTECTION						
	3	FORESTRY PRODUCTION & PROTECTION						
	4	POLICIES - TRADE - LEGISLATION						
	5	SOCIO-ECONOMICS						
	6	NATURAL RESOURCES MANAGEMENT (including GRM, Biodiv, Waste management)						
	7	FOOD PROCESSING AND POST-HARVEST (including Food safety and Food quality)						
	8	URBAN AND PERI-URBAN						
			DIRECT RELEVANCE TO EC PRIORITIES					

Table 3 indicates that all agricultural research for development activities are relevant to one or more expected results of the EC Rural development policy and contribute to overall development objectives.

ARD activities can be relevant to EC Development Policy across all areas of concentration, not just food security and sustainable rural development (see table 3bis):

**Table 3bis: Relevance of ARD topics to other areas of concentration in EC Development Policy (in addition to area 5 "Food Security and Sustainable Rural Development")**

			EC DEVELOPMENT POLICY				
			TRADE AND DEVELOPMENT	REGIONAL INTEGRATION AND CO-OPERATION	SUPPORT TO MACRO-ECONOMIC POLICIES	TRANSPORT	CAPACITY BUILDING, GOOD GOVERNANCE AND RULE OF THE LAW
A · R · D ·  T H E M E S	1	PLANT PRODUCTION & PROTECTION					
	2	ANIMAL PRODUCTION & PROTECTION					
	3	FORESTRY PRODUCTION & PROTECTION					
	4	POLICIES - TRADE - LEGISLATION					
	5	SOCIO-ECONOMICS					
	6	NATURAL RESOURCES MANAGEMENT (including GRM, Biodiv, Waste management)					
	7	FOOD PROCESSING AND POST-HARVEST (including Food safety and Food quality)					
	8	URBAN AND PERI-URBAN					

***These tables show why ARD can and must continue to form part of EC aid to support developing countries.***

In the next chapter we look at how the EC can make co-ordinated strategic choices about ARD, and thus support the various actors and functions we have identified at the various geographical levels.

## CHAPTER 3 : KEY STRATEGIC POINTERS

### 3.1 THE EUROPEAN STRATEGY FOR ARD (EIARD)

As agreed in the Treaty, the EC and the Member States should co-ordinate their development aid activities. At the European level, the EU Member States, the Commission, Norway and Switzerland have set up the “European Initiative for Agricultural Research for Development” (EIARD) to co-ordinate their ARD efforts.

EIARD Members agreed on a European strategy for Agricultural Research for Development. Its guidelines are:

- ⇒ support for National Agricultural Research Systems (NARS) in developing countries
- ⇒ support for South-South collaboration on agricultural research via Regional Organisations
- ⇒ support for the setting up of research partnerships
- ⇒ co-ordinated support for International Research Organisations.

**Table 4: EIARD guidelines and ARD levels and functions**

			EIARD GUIDELINES				
			SUPPORT FOR NARS	REGIONAL ORGANISATIONS	PARTNERSHIPS	INTERNATIONAL RESEARCH ORGANISATIONS	
ARD LEVELS AND FUNCTIONS	NATIONAL	IMPLEMENTATION					
		FACILITATION / COORD					
	REGIONAL	IMPLEMENTATION					
		FACILITATION / COORD					
	GLOBAL	IMPLEMENTATION					
		FACILITATION / COORD					
			DIRECT RELEVANCE TO EIARD GUIDELINES				

Table 4 shows that all identified ARD functions and geographic levels can be subject to support from EIARD members including the EC.

### 3.2 EC RESEARCH AND DEVELOPMENT GUIDING PRINCIPLES

The Declarations made at the Council meetings of 1 June 1995 (Development) and 18 October 1995 (Research) set out the main additional guiding principles for implementing ARD.

- ⇒ The beneficiaries of aid should be closely involved in identifying priorities for intervention and arrangements for implementation. Users and researchers should interact as much as possible to ensure the dissemination and wide ownership of results.
- ⇒ The huge differences in scientific potential between countries in the same region require a regional and international approach, seeking synergy between national, regional and international programmes and promoting private sector investment. This option is consistent with the priority given to regional integration in the EU development co-operation policy.

In other words, the EC guiding principles indicate that EC support to ARD should be focused towards:

- ⇒ increased civil society participation (farmers organisations, NGOs, etc.) and private sector involvement (leading to beneficiary participation and ownership)
- ⇒ synergy between national, regional and global levels (ensuring regional integration)

Table 5 shows which ARD levels and functions should be more specifically supported by the EC, as compared with other EIARD members.

Table 5: EIARD guidelines, ARD levels and functions and							EC specific strategic principles for ARD	
			EIARD GUIDELINES				SPECIFIC RELEVANCE TO EC FINANCING	
			SUPPORT FOR NARS	REGIONAL ORGANISATIONS	PARTNERSHIPS	INTERNATIONAL RESEARCH ORGANISATIONS	BENEF PARTICIP + OWNERSHIP	REGIONAL INTEGRATION
ARD LEVELS AND FUNCTIONS	NATIONAL	IMPLEMENTATION						
		FACILITATION / COORD	●				1	
	REGIONAL	IMPLEMENTATION	●					4
		FACILITATION / COORD	●				2	
	GLOBAL	IMPLEMENTATION	●					5
		FACILITATION / COORD	●				3	
			DIRECT RELEVANCE TO EIARD GUIDELINES				DIRECT RELEVANCE TO EC FINANCIAL SUPPORT	

The relationships between the two main EC guiding principles are illustrated in annex 2.

### 3.3 EC STRATEGIC CHOICES

As indicated in table 5, the key strategic pointers, particularly the EIARD Guidelines and the EC specific guiding principles for ARD, lead to focusing EC support for ARD on:

- ⇒ research co-ordination / facilitation functions at national, regional and global levels (boxes 1, 2 and 3)
- ⇒ research implementation functions at regional and global levels (boxes 4 and 5).

Therefore there are three strategic choices for EC support to ARD:

**Support to setting up / strengthening genuine National Agricultural Research Systems (NARS) at national level,**

**Support to research activities of regional interest and their co-ordination at regional level**

**Support to co-ordination and / or implementation of research of international public goods nature at global level**

For the EC, ***support to research activities of transboundary interest and their co-ordination at regional level is the primary strategic choice:***

- ⇒ this choice answers best the principles we have outlined
- ⇒ it responds to the principle of subsidiarity
- ⇒ it takes into account EC advantages (e.g. regional co-operation focus, political and economic weight, grant aid, etc.) and limitations (lack of staff, financial and procurement procedures, etc.),
- ⇒ it creates the necessary framework of intervention to facilitate EC involvement in and follow-up of activities
- ⇒ it bridges and complements other sources of aid for ARD at national, regional and/or global levels, either multilateral (UN Agencies, World Bank and Regional Development Banks, etc.) or bilateral, particularly from the EU Member states.

The essential links across the three levels of intervention we have identified, and their respective importance for the EC, are illustrated on the chart in annex 3.

In particular:

- ⇒ **At national / local level**, the National Agricultural Research Institute occupies a prominent position in expressing national research priorities and in setting up and implementing the national research agenda. The other civil society and private sector actors of the NARS (shown in table 2) often can only bring very limited (if any) inputs, resulting in a lack of synergies, duplication of effort, loss of efficiency in ARD programs and unsatisfactory implementation of research outputs by the

beneficiaries. Therefore the EC should, at national and local levels, support the establishment / strengthening of genuine NARS that truly represent all the parties that must be involved.

⇒ **At regional level**, the EC should continue to support:

- the establishment and/or strengthening of "light" regional organisations involved in co-ordinating and facilitating agricultural research agenda setting of regional importance,
- research implementation carried out at national level, within the framework of agreed regional strategy and priorities defined by its NARS members who are the "owners" of the regional level.

The aim is to assist the creation of a critical mass of researchers linked through networks, providing economies of scale. It will also support capacity building and strengthening of NARS.

Basic funding should be provided by the countries or NARS involved. Additional resources provided by the EC will be mobilised:

- through traditional project and programme type funding for major priority issues, in a decreasing way over years to ensure long term financial sustainability
- and/or through competitive funding mechanisms.

Limited resources will also be allocated to research institutions with regional remits which are involved in the implementation of regional priorities.

⇒ **At global level**, agricultural research of international public good nature carried out by International Agricultural Research Centres will continue to be supported, as well as partnerships between institutes of developed and developing countries. Facilitation and co-ordination mechanisms at international level (CGIAR, GFAR) in which genuine NARS and operational Regional Organisations can participate effectively, should also be supported to ensure synergy between national, regional and international levels.

Strategic choices apply to all the financial tools that the EC can mobilise to support agricultural research in developing countries:

- ⇒ geographical budget lines: Asia, Latin America, Mediterranean, TACIS, etc.
- ⇒ thematic budget lines: environment, food security, NGOs, etc.
- ⇒ European Development Fund: national, regional and intra-A.C.P. funds
- ⇒ and INCO-DEV and future support made available by DG Research.

Facilitation and co-ordination activities clearly come under development co-operation, while research implementation can be supported by various sources of EC funds:

⇒ **Development resources** should target research activities that can be undertaken by developing country research institutions, or that only require scientific assistance for technology transfer and adaptation, with short to medium-term expected results directly identifiable through objectively verifiable indicators, when



⇒ **Basic and strategic research activities** that support long term development objectives and that necessitate partnership arrangements with 'Northern' institutions can be supported through resources mobilised under the EC scientific policy and its international co-operation dimension, as defined in Communication COM(2001)94 dated 21/02/01.

These two types of research activities are indispensable because complementary in the knowledge production continuum that is vital for sustainable development.

Financial support to the regional level (ARD co-ordination, facilitation and implementation through networks at national level) and ARD carried out at global level by International Research Centres will most likely be the two main EC investments in ARD.

EC support specifically to the CGIAR Centres is subject to another document available at DG Development / Unit B-4 dated March (FR) / April (EN) 2000<sup>5</sup>.

In specific circumstances, other ARD activities may be considered on a case-by-case basis (e.g. research implementation at national level, but after careful consideration of the subsidiarity principle).

Having defined the main strategic choices for EC support to ARD, some guidelines for implementation are presented below. They are of special relevance to EDF resources, and to activities that may not have specific selection project or programme procedures. As regards EC scientific policy funds, implementation modalities are detailed in the on-going PCRD<sup>6</sup>, as set out in the Amsterdam Treaty.

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<sup>6</sup> Programme Cadre de Recherche - Développement

## CHAPTER 4 : IMPLEMENTATION OF EC STRATEGIC CHOICES

This chapter sets out the principles used to deal with the presentation and assessment of ARD proposals submitted to the Commission for funding. It will be of interest to EC partners in developing countries, and to EC services and delegations themselves.

Depending on the source of funds targeted, the EC delegations can provide developing countries' institutions with the appropriate format to submit an ARD proposal.

It is useful for partners and delegations to have a common view on how proposals for funding are analysed and assessed - always assuming that requests are eligible for funding [e.g. ARD is part of the PRSP<sup>7</sup> / CSP<sup>8</sup> (for A.C.P. countries) / CSS<sup>9</sup> (for other developing countries) and will therefore contribute to poverty reduction in the considered area/country]..

There are two steps to be followed:

- Step 1) Requests will be analysed to make sure they contribute to EC development objectives. A key factor is the extent to which the main principles that guide EC funded programmes in ARD are respected. The EC Delegations that receive the proposal will carry out initial screening that may lead to exclude some proposals or to request for re-formulation those that would not match these criteria.
- Step 2) Detailed assessment of the proposed programme, with advice from external independent experts on:
- the relevance of the proposal to beneficiary needs
  - the methodology to be applied
  - the adequacy between objectives and means (equipment, human resources, costs, etc.)
  - and the application of the results by the beneficiaries to address their needs.

### 4.1 STEP 1: SCREENING AGAINST EC GUIDING PRINCIPLES

The first analysis of an ARD proposed programme should assess if it will contribute to EC Development objectives presented in chapter 2:

- to develop and consolidate democracy
- to foster economic and social development
- to foster integration of developing countries into the world economy
- to fight against poverty

And specifically with regard to rural development, whether it will lead to one of more of these six desired outcomes:

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<sup>7</sup> Poverty Reduction Strategy Papers

<sup>8</sup> Country Strategy Papers

<sup>9</sup> Country Support Strategy

- more peaceful, equitable, open and democratic rural societies
- more effective and accountable rural institutions
- economic policies enabling rural growth
- enhanced individual assets of rural dwellers
- more sustainable natural resource management
- more coherence between EU agricultural, trade, environmental and immigration policies and the EU's purpose of improving rural livelihood.

Any ARD programme that would not have a direct impact on one or more of these desired outcomes will not be eligible for funding. Building on the positive achievement of the past, lessons learnt and principles exposed in chapter 3, the principles associated with these six outcomes are set out in more detail for ARD proposals in the table below.

EXPECTED EC RURAL DEVELOPMENT RESULTS	KEY PRINCIPLES FOR EC FUNDED ARD PROGRAMMES
1. <b>more peaceful, equitable, open and democratic rural societies</b>	<ol style="list-style-type: none"> <li>Equitable access to natural resources is encouraged</li> <li>Gender equity is ensured</li> <li>Partnerships and co-ordination are fostered at local, national, regional and global level</li> </ol>
2. <b>more effective and accountable rural institutions</b>	<ol style="list-style-type: none"> <li>Civil society is fully involved in all the stages of ARD activities, particularly in priority setting, research implementation, evaluation and results dissemination</li> <li>Training of ARD personnel is included in all activities</li> <li>Other factors that enable researchers to make effective contributions to development, such as research management, facilities maintenance, provision of operating costs, etc. are considered</li> <li>Integrated interdisciplinary approach, involving a broad range of scientists (biology, socio-economy, technology, ecology, environment, etc.) is encouraged</li> <li>Capacity for preparing and implementing ARD activities in partnership with research institutions in the North and the South is supported</li> <li>Political will and a conducive administrative environment will sustain the programme after the end of external assistance</li> </ol>
3. <b>economic policies enabling rural growth</b>	<ol style="list-style-type: none"> <li>National ARD policies are fully integrated into wider national, sub-regional and regional development policy frameworks</li> <li>Private sector capacities in agricultural research, technology development and extension are encouraged</li> <li>Institutional and regulatory frameworks for multilateral agreement implementation and enhancement of the performance of the ARD system are strengthened</li> <li>Improved productivity of work is encouraged</li> <li>Economic distortions are reduced and the end products can be absorbed by the market</li> </ol>
4. <b>enhanced individual assets of rural dwellers</b>	<ol style="list-style-type: none"> <li>The research agenda setting makes use of social and economic sciences as well as natural and biological sciences and technology, to meet key needs of the beneficiaries</li> <li>Research programmes aim to capture the benefits of new developments in science in order to improve subsistence and commercial production systems</li> <li>Training of personnel from developing countries is an essential element</li> <li>Special attention will be given to research related to human health issues, including malnutrition</li> </ol>
5. <b>more sustainable natural resource management</b>	<ol style="list-style-type: none"> <li>Research on productivity gains are undertaken within the context of environmental sustainability</li> <li>Sustainable natural resource management primarily aimed by ARD programmes, including:</li> <li>Sustainable management of genetic resources,</li> <li>ex- and in-situ collections</li> <li>genetic improvement methodologies</li> </ol>
6. <b>more coherence between EU agricultural, trade, environmental and immigration policies and the EU's purpose of improving rural livelihood</b>	<ol style="list-style-type: none"> <li>Long term, sustainable and consistent investment policies for public funding for ARD are ensured in the North as well as in the South</li> <li>Full co-ordination amongst the donor community is ensured to avoid duplications and overlaps</li> <li>Recurrent costs taken care of at the end of the programme.</li> </ol>

## 4.2 STEP 2: DETAILED ASSESSMENT OF THE PROPOSAL

If the proposed ARD programme fulfils most of the general eligibility criteria for EC support, the next step is to ensure that its scientific quality is adequate to achieve the proposed results. It should also be checked for development and management issues. Therefore the EC delegation in charge can request expert assessment to evaluate the proposal from a number of perspectives:

- ⇒ Is the program designed with the participation of intended beneficiaries and in response to their specific and defined needs?
- ⇒ Does the program effectively focus on small farmers?
- ⇒ Is it likely to contribute to rural poverty alleviation?
- ⇒ Will the programme contribute to improving knowledge and techniques, as well as ensuring their adoption by the target groups? And are the technologies proposed adapted to the targeted farmers?
- ⇒ Are dimensions such as social, economic, local and personal producer strategies for food security, environmental, national policy taken into account?
- ⇒ Should the question raised be better treated at another level (local, national, regional, global)?
- ⇒ Do the references cited in the proposal show that the request is relevant to current ARD state of the art, and that it does not replicate known research?
- ⇒ Is the team presenting the programme best placed to conduct research on the proposed issues?
- ⇒ Do the individual scientists or teams involved have the necessary capabilities (or can acquire them) to carry out the programme?
- ⇒ Are adequate scientific, technical and social partnerships foreseen?
- ⇒ Does the programme promote inter-institutional co-operation with other stakeholders?
- ⇒ Can the equipment and methods to be employed in the programme lead to the expected results?
- ⇒ Are the work programme, budget, human resources and timetable, as well as management procedures, adequate to achieve the expected results of the programme?
- ⇒ Are proper monitoring and evaluation systems incorporated, including farmers' perspectives?

It is highly recommended that the EC Delegation in charge organises a special mechanism to mobilise external and independent expertise to bring specialised advice in order to address these questions.

Expert opinion should guide the EC in making the final decision on financial support to any proposed programme.

## CONCLUSIONS

1. **General conclusion:** Agricultural research can make a vital contribution to sustainable development and the fight against poverty. The Commission fully recognises the importance of Agricultural Research for Development, and therefore proposes to continue supporting it.

Working from the relevant Commission texts, we have described the actors, functions and levels involved in making EC strategic choices for support to ARD:

- ⇒ The Commission proposes to concentrate its support towards regional research structures, addressing common problems in an efficient manner
- ⇒ The Commission will also support ARD activities carried out at international level through specialised institutions, according to their comparative advantages and specific know-how in issues related to international public goods, such as methods of genetic improvement, genetic resources management, running of large *ex situ* genetic collections, and the formulation of international policies (see document available at DG Development / Unit B - 4 dated March (FR) / April (EN) 2000<sup>10</sup>)
- ⇒ At national and local levels, the EC could consider proposals for the establishment or strengthening of broad-based National Agricultural Research Systems so that they can truly represent all stakeholders.

Careful consideration should be given to linkages across the three geographic levels set out above in order to contribute fully to poverty reduction through demand driven research, sustainable funding solutions, and appropriate division of roles and responsibilities between the private and public sectors.

The EC has at its disposal a variety of financing instruments with which it can support ARD. Each has its own particular characteristics and advantages but, to a considerable extent, they depend on each other for success. Thus, the EC should take care to use its various financial instruments adequately, and take advantage of their complementarity:

- ⇒ **EDF and ALA / MEDA / TACIS** budgets generally contribute to helping developing countries implement their own research agenda as expressed in national or regional strategies.
- ⇒ **Other EC resources** such as thematic budget lines can help non-governmental or non-institutional partners to make their own contributions to ARD and to facilitate inter-regional collaboration

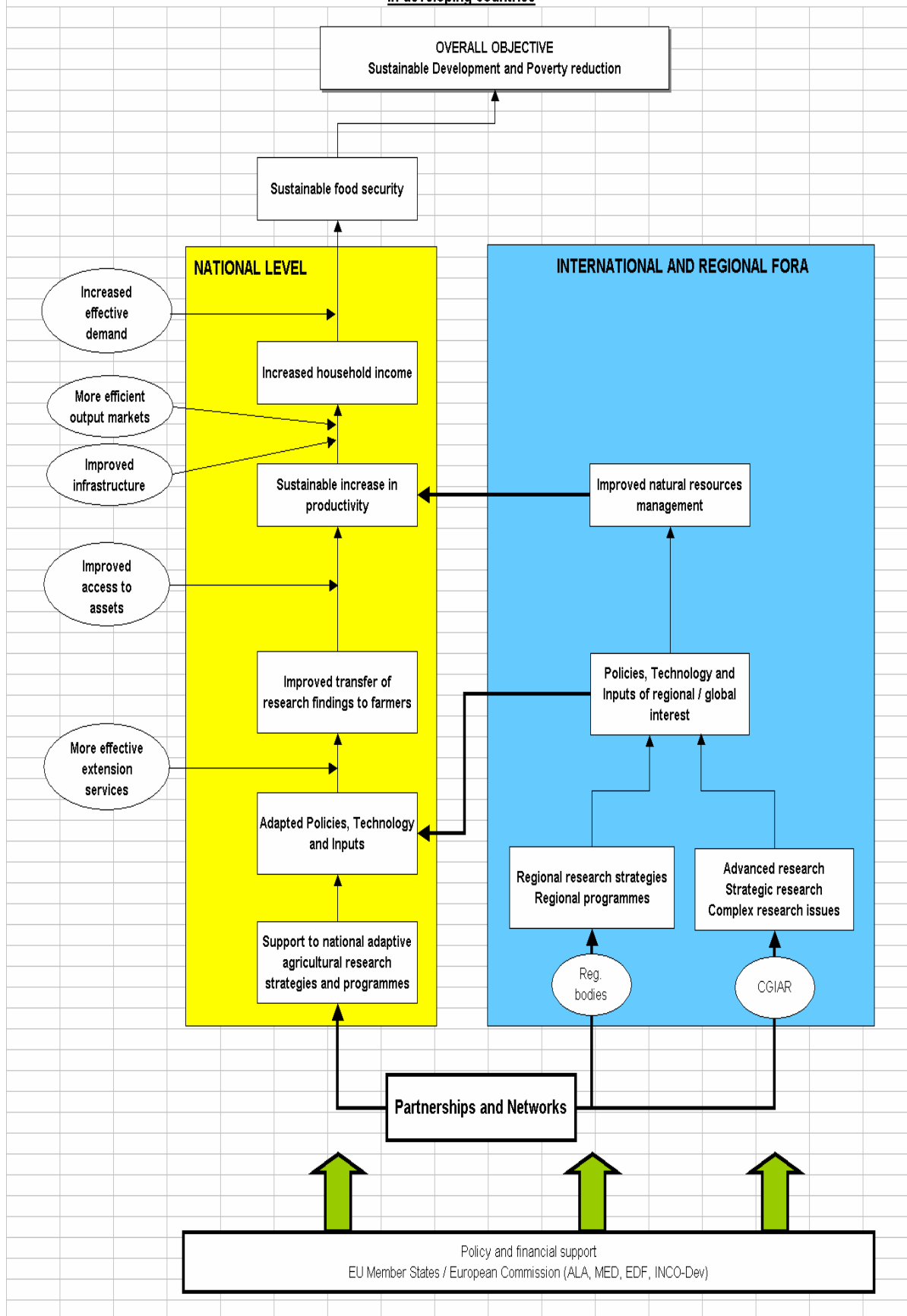
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<sup>10</sup> Please contact the following address: [Philippe.Vialatte@cec.eu.int](mailto:Philippe.Vialatte@cec.eu.int)

- ⇒ **ARD resources mobilised by DG Research** are aimed at mobilising capabilities from the "North" to support efforts carried out in collaboration with the "South" concerning basic and strategic scientific research.
2. **Geographical priorities:** In line with the central objectives of poverty reduction and food security, priority for rural development programs in general and ARD in particular, will be given to the least developed countries and to those regions where rural poverty is most severe and affects most people. These regions are mainly Sub-Saharan Africa and South Asia.
3. **Specific Points relating to Biotechnology:** Biotechnology is an important element of ARD. It has the potential to increase productivity of both crops and livestock, through increasing yields, introducing pest and disease resistance, and improving the nutritional quality of the end product. Given the projected increase in demand for cereals and meat over the next 20 years, it is likely that Biotechnology will play an increasingly important role in achieving improved food security and poverty reduction. However there are a number of legitimate concerns raised in this field and the EC Communication "Life Sciences and Biotechnology" under preparation will give the framework of possible future Community interventions.
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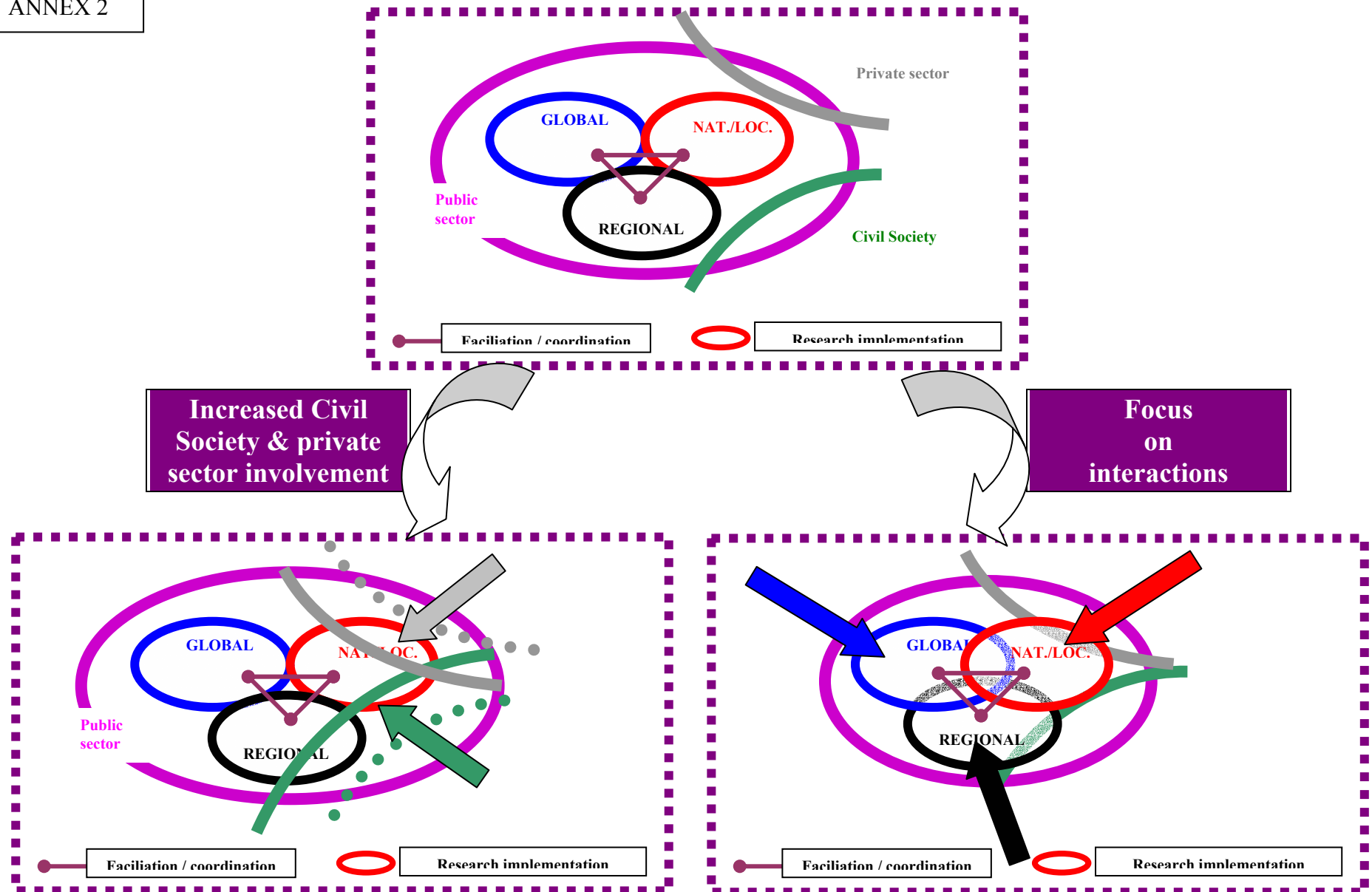
# ANNEX 1

## A European Commission and Member States strategy to support agricultural research in developing countries





ANNEX 2



## Rationale of EC and MS support to ARD

**OVERALL OBJECTIVE :** Coordinated and effective agricultural research for developing countries implemented at the most appropriate level

