



## **ERA-ARD**

### **Descriptive synthesis of ARD Programmes**

#### **Scope and governance of funding mechanisms for agricultural research for development in Europe**

#### **Task 1.2: Mapping of national ARD programmes**

#### **Task 1.3: Information exchange on governance of ARD programmes.**

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## 1. Introduction

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Sustainable development depends on the capacity of a society to respond to change. Funding mechanisms for agricultural research for development seek to contribute to the development of the capacities for change in developing countries by providing support for the generation, transfer and application of knowledge and know-how.

Within the ERA-ARD project, participating countries aim at developing approaches and institutional arrangements that will facilitate the implementation of joint ARD activities between funding mechanisms (programmes) for agricultural research for development. In a second step ERA-ARD will seek to initiate transnational programmes that take advantage of the comparative advantages of the member countries.

This report is the result of the survey that was carried out in the frame of the ERA-ARD project in 2005 and 2006. It seeks to provide an overview of ongoing programmes in Agricultural research for Development (ARD) and their funding mechanisms. The report provides facts and information that allows the reader to look at Europe's capacity in the field of agricultural research for the south, but also at Europe's contribution to the development of capacities in developing countries.

The results presented will contribute to informed decisions that will lead to the identification and implementation of innovative joint activities and translational programmes that will simultaneously:

- make optimum use of Europe's excellence and capacity
- increase its competitiveness in the field of ARD
- provide mechanisms that efficiently contribute to the development of the capacity of societies in developing countries that will enable them to independently respond to change for the sustainable development of their societies.

If there is a guiding question that might help to interpret the results of this survey and might contribute to decisions for change in support of the MDGs it could be the following:

*“Is it about Europe carrying out research on agriculture for development in DCs or is it about research by societies in DCs in partnership with Europe to contribute to the MDGs?”*



## **2. Executive Summary and Recommendations**

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Based on a very broad definition of ARD, a survey was carried out to estimate the scope and governance of ARD programmes in the ERA-ARD member countries. Resulting data and information was compiled electronically and made available through the ERA-ARD webpage [www.era-ard.org](http://www.era-ard.org) and InfoSys+ <http://era-ard.infosysplus.org> in June 2006. A detailed report was published in August 2006. Data and information provided by the consortium members is not complete. Additional data is expected to provide valuable information of complementarities between national ARD activities. However it is estimated that additional data and information will have little impact on the basic conclusions which affect decisions related to the identification and implementation of joint activities and transnational programmes.

The survey on governance provides information on 85 programmes which fund ARD activities. The accumulated annual budget for ARD amounts to 415.824.000 €.

1812 organisations in the ERA-ARD member countries are involved in ARD and are contributing to 689 ongoing projects.

The main target region of ARD programmes is Africa (44% of total budget) followed by Asia (31%) and Latin America (25%). 27% of the funds is made available for research related to plant production. This includes plant protection and genetic resources. About 15% are dedicated to socioeconomics and environmental research. Investments into research for animal production, aquaculture, forestry, soil, water farming systems and food technology range between 4% and 9%.

ARD programmes support activities on research (52 % of total ARD budget) and capacity development (48%).

At present 52% of the total annual budget is invested in to European Institutions and respectively 24% are invested into International Research Institutes or Developing Countries. Research activities are almost exclusively coordinated by NARCs and IARCs. Research centres in DCs contribute mainly as partners. Very few programmes provide funds for DC led research. This indicates that northern organisations have a clear advantage regarding agenda setting, research planning, knowledge generation and accumulation.

2/3 of the programme managers expressed interest in Joint Activities and strengthened collaboration.

Most partners are involved in formal and informal networks. 2/3 of programme managers expressed interest to strengthen partnerships and development of networks especially with southern partners. Programme managers perceive active involvement of DC partners in agenda setting and planning of research activities as important issues.

Two main problem areas were identified by participants of the survey. Programme managers stated that adjustments between different administrative procedures will be a main problem area in joint research. Impact assessment is perceived as an important other issue, but is difficult to accomplish by individual programmes.

This suggests that ERA-ARD should develop integrating mechanisms that effectively address these problem areas.



The mapping exercise is expected to structure information in order to facilitate the work of task managers and expert groups, who are in charge of subsequent ERA-ARD activities that will lead to the identification and implementation of future joint research activities and translational programmes.

Results of the discussions at the different ERA-ARD meetings suggest grouping of programmes according to the nature of drivers (initiating organisations) and on a second level according to the type of mechanisms.

*According to this, three groups were defined:*

**EU policy driven programmes:** These are programmes that are mainly driven by a political agenda and which provide core funding and project specific funding for research activities (targeted) of international agricultural research centres (IARCs) and national agricultural research centres in Europe (NARCs). NARCs include ARD specific and non-ARD specific organisations. The main initiators of these programmes are the Ministries of Foreign Affairs, Cooperation and the Ministries of Agriculture.

**Knowledge driven programmes:** These are programmes with the prime objective to contribute to the development of science in general. They provide funds for which predominantly national organisations may apply in the frame of open and restricted calls. In general, these programmes are initiated by the Ministries of Science and Education.

**Southern centred:** These programmes primarily seek to strengthen research organisations and individuals in developing countries. Programmes provide funds for grants and fellowships, university partnerships, courses and calls (open and restricted) for research led by developing country organisations. These programmes are generally initiated by Ministries of Foreign Affairs, Cooperation, Ministries of Science and Education and private Foundations.



**Table 1: Grouping of programmes according to drivers and mechanisms**

Group	Type of funding mechanisms	Drivers - Initiating Organisations	CM with relevant programmes	Number of programmes	
1) EU policy driven programmes:	Support to IARCs	Ministries of Foreign Affaires and Cooperation	AT, BE, CH, DE, DK, ES, FR, UK, IT, NL	24	39
	Support to NARCs	Ministries of Agriculture	AT, CH, DE, DK, FR, UK, HU, IT, NL, PL	15	
2) Knowledge driven programmes:	Calls for EU led research	Ministries of Science and Education	BE, CH, DE, UK, HU, LT, NL, SI	17	17
3) Southern centred programmes	Grants and fellowships	Ministries of Foreign Affaires and Cooperation, Ministries of Science and Education, Foundations	BE, DE, DK	4	27
	University partnerships and courses		AT, BE, CH, DE, ES, FR, UK, NL, SI	18	
	Calls for DC led research		BE, DK, UK	5	

Bearing in mind the results of the survey and also the proposed guiding principles, it is suggested that ERA-ARD facilitates the discussions among representatives of the three groups (1-3) to focus on the different issues defined below. These issues are relevant for actions leading towards joint research activities and transnational programmes.

The proposed issues are:

1. **EU policy driven programmes:** Joint impact assessment and active involvement of DC partners in agenda setting and planning of ARD.
2. **Knowledge driven programmes:** Assure knowledge sharing and support of knowledge systems in DCs.
3. **Southern centred:** Mechanisms for integration and mutual support of different mechanisms.



### 3. Methodology

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Task 1.1 of the ERA-ARD project provided the following ARD definition:

*“ARD includes a broad and amorphous range of research disciplines, fields and themes and at the same time covers the whole knowledge chain (research, knowledge dissemination, capacity development, knowledge utilisation).”*

*The scope of A. R. and D. as concluded by task 1.1 should be remembered:*

*‘Poverty-oriented, applied and participatory, technological-ecological research on plant/animal production systems (primarily plant-oriented and esp. addressing diseases, breeding, biotechnology) on the level of farm/family (esp. addressing agro biodiversity, water, soil and land use)’.*

*At the same time, ‘whilst a poverty alleviation focus is to be retained, it was decided that the geo-focus might include countries in transition or emerging economies and others’.*

In order to allow systematic collection and analysis of data and information, OECD classification of countries was applied to distinguish ARD programmes from other Agricultural Research Programmes.

Based on consultations within the ERA-ARD network a standard questionnaire was developed with the following topics:

1. General information on the funding mechanism
2. Focus: themes, regions, activities
3. Funding: targets and budgets
4. Management: agenda setting, impact assessment
5. Cooperation: experiences, future interest in joint research
6. Approaches for capacity development

The standard questionnaire is available as a Word Document and can be downloaded on the ERA-ARD Website: <http://www.era-ard.org/index.php?call=documents> .

Two internet based platforms (**questionnaire and InfoSys+**) were used to collect and analyse data and to exchange information. For data collection, each partner called upon his national structures to provide the necessary information. Resulting data was compiled electronically and made available through the ERA-ARD webpage [www.era-ard.org](http://www.era-ard.org) and InfoSys+ <http://era-ard.infosysplus.org/> . The survey mainly contains data from 2005, while the collection of data on InfoSys+ is an *ongoing process* and data have constantly being updated for the last years. The completed survey has been online and *accessible since June 2006*.

Detailed information on the web-tools that were specifically implemented for the survey on scope and governance can be viewed at <http://www.era-ard.org/index.php?call=links> .



## 4. ARD and General Budgets

52 donor organisations participated in the survey and provided information on 85 funding mechanisms. According to the data collected in InfoSys+ the ERA-ARD member countries provide 136 funding mechanisms. Out of the 85 funding mechanisms, for which information was gathered with the standard questionnaire, 35 are ARD specific and 50 are also used to fund non-ARD activities. The survey found that the total annual budget of the 85 funding mechanisms amounts to 603.663.000 € out of which 415.824.000 € are ARD specific. According to the results of this survey France is providing almost half of the funds.

**85 Funding mechanisms are listed in this Survey**

**Total Annual Budget: 603.663.000 €**

**ARD Annual Budget: 415.824.000 €**

**Table 2: Annual contribution to ARD according to the results of the questionnaire**

<b>Country</b>	<b>Total annual budget (€)</b>	<b>ARD specific annual budget (€)</b>	<b>% of total ERA-ARD annual budget</b>
France	181.882.000	181.882.000	44
Netherlands	65.910.000	41.710.000	10
Germany	97.158.000	41.778.000	10
UK	56.320.000	56.320.000	14
Italy	84.815.000	27.477.000	7
Switzerland	35.317.000	27.368.000	7
Belgium	31.239.000	18.239.000	4
Denmark	25.104.000	15.379.000	4
Austria	4.798.000	2.320.000	1
Hungary	4.600.000	440.000	0
Lithuania	6.000.000	231.000	0
Spain	2.680.000	2.680.000	1
Poland	542.000	0	0
Slovenia	7.298.000	0	0
<b>Total</b>	<b>603.663.000</b>	<b>415.824.000</b>	<b>100</b>





## 5. Europe's ARD capacity: Organisations and Projects

Member-countries of the ERA-ARD network have documented research activities, funding opportunities and organisations.

Presently 136 funding mechanisms have been identified (85 participated in the survey), which contribute towards ARD. According to available data 1812 organisations in the ERA-ARD member countries and are involved in 689 on-going ARD projects.

**Table 3: Number of organisations, funding mechanisms and research projects involved in ARD**

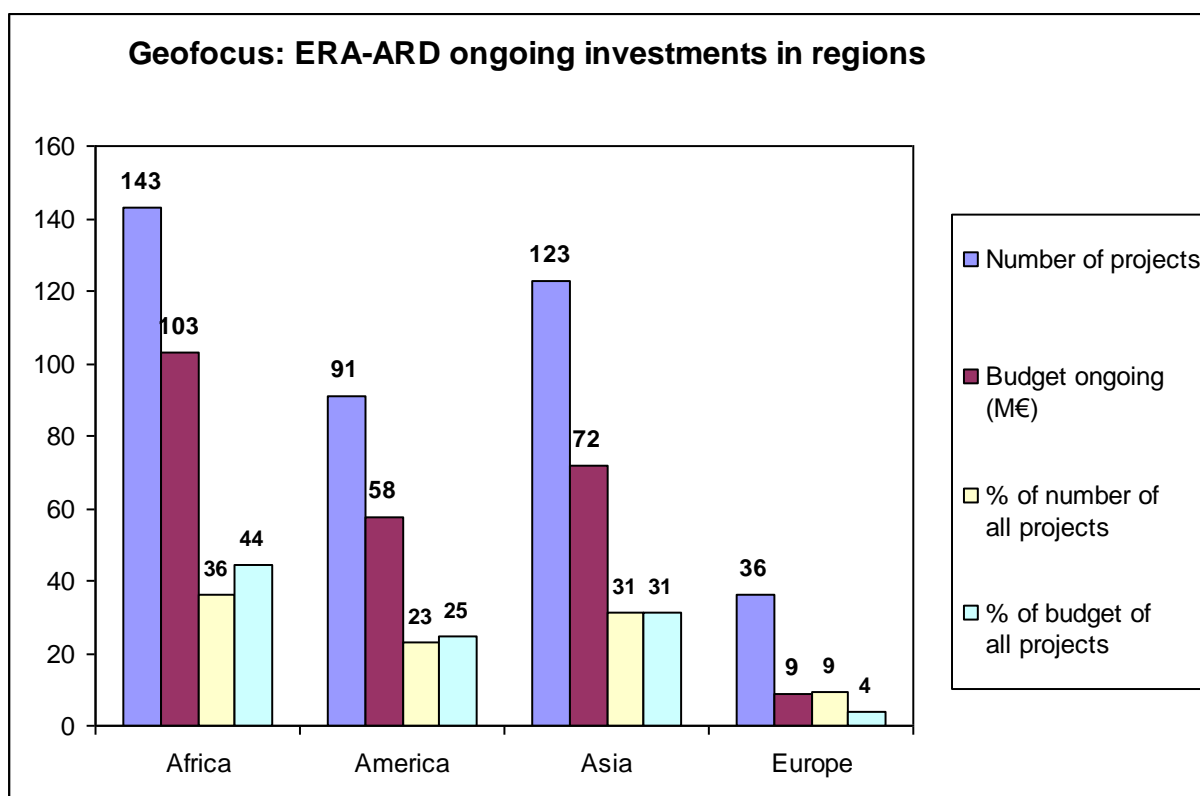
	Country	Number organisations	Number of funding opportunities	Number of ARD projects coordinated	Projects funded by	Projects with partners in the ERA-ARD member country	Projects carried out in the ERA-ARD member country
1	Austria	130	8	74	7	54	16
2	Belgium	209	24	175	209	118	2
3	Denmark	35	8	5	6	6	1
4	France	102	10	45	46	29	3
5	Germany	549	35	143	245	186	24
6	Hungary	31	2	1		1	1
7	Italy	94	10	22	3	2	3
8	Lithuania	18	1			1	1
9	Netherlands	84	10	2		12	2
10	Poland	84				1	2
11	Slovenia	35		15	5	7	3
12	Spain	68		2		4	1
13	Switzerland	124	14	91	94	37	41
14	UK	249	14	114	131	78	6
	<b>Total</b>	<b>1812</b>	<b>136</b>	<b>689</b>	<b>746</b>	<b>536</b>	<b>106</b>



## 6. Scope of ARD

### 6.1. Target regions

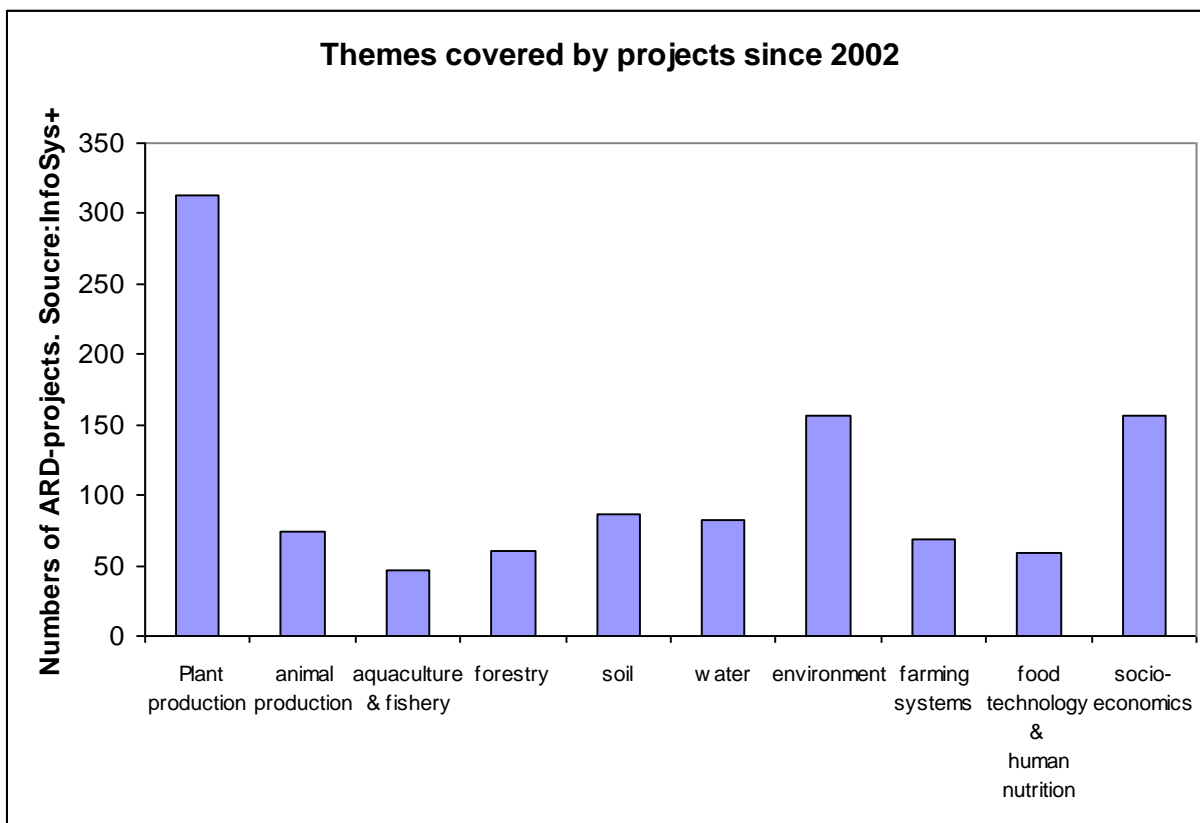
The main target region of ARD programmes is Africa (44% of total budget) followed by Asia (31%) and Latin America (25%).



Graph 1: Geofocus of ERA-ARD investments

### 6.2. Thematic priorities

27% of the total budget is made available for research related to plant production. This includes plant protection and genetic resources. About 15% are dedicated to socioeconomics and environmental research. Investments into research for animal production, aquaculture, forestry, soil, water farming systems and food technology range between 4% and 9%.



**Graph 2: Investments into ARD Themes in Million EUROS**

### **6.3. Activity scope**

Programmes which invest into ARD provide almost equal shares for capacity development and research activities.

Activity Scope (estimated relative importance in % of total ARD budget):

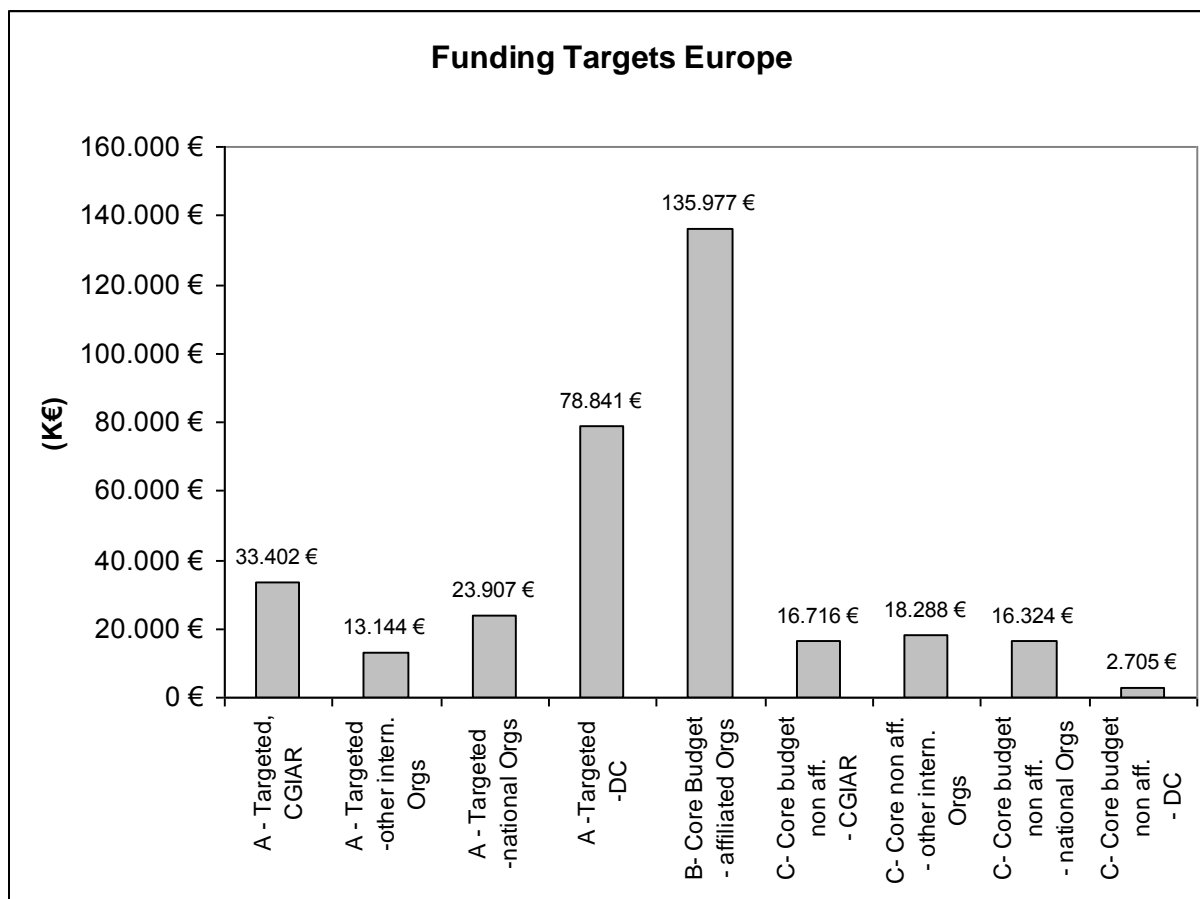
- |   |      |
|---|------|
| 1. Capacity building of institutions (institution building) | 18 % |
| 2. Capacity building of individuals (training)              | 30 % |
| 3. Research   | 52 % |

## **7. Type of funding mechanisms and beneficiaries**

The analysis suggests that about half of the investments into ARD remain in Europe and shares of about a quarter respectively are invested into international agricultural research centres (CGIAR) and the organisations of DCs.



The share that goes to southern partners might be bigger since they might benefit from indirect funding in the frame of cooperative project with northern or international coordinators.



**Graph 3: Funding mechanisms with A Targeted funding, B-Core Budget going to affiliated organisations, C-Core Budget going to non-affiliated organisations**

The different types of funding mechanisms can be grouped according to beneficiaries:

**CGIAR, international** (A - Targeted, CGIAR, A - Targeted budget -other intern. Orgs, C- Core budget non affiliated- CGIAR, C- Core budget non aff. - other intern. Orgs)

**Europe** (A - Targeted budget -national Orgs, B- Core Budget - affiliated Orgs, C- Core budget non aff. - national Orgs)

**Developing Countries,** (A -Targeted – DC, C- Core budget non aff. – DC)

In the table below the result of this categorisation suggest that:

*At present **52%** of the total annual budget is invested in to European Institutions and respectively **24%** are invested into International Research Institutes or Developing Countries.*



**Table 4: Beneficiaries of ARD funding**

	Estimated (m€) Questionnaire	Percentage of Total
CGIAR, international Organisations	82 €	24
Europe	176 €	52
Organisations in Developing Countries	82 €	24
<b>TOTAL</b>	<b>340 €</b>	<b>100</b>

## 8. Southern Centred, EU-Centred, CGIAR-Centred

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The objective of this chapter is to provide information on the impact of ARD governance on the distribution of knowledge development. In which regions is knowledge generated and accumulated?

For analysis, all ongoing projects (339) funded by the ERA-ARD members were classified according to the following criteria:

Who is coordinating? (Eligibility)

Who are the partners?

According to this, southern organisations, EU organisations, CGIAR and international organisations were attributed to projects as coordinator or as partners. Due to the large contribution of France (CIRAD) we differentiated between CIRAD and the other EU organisations.

*This analysis shows that southern partners are almost exclusively involved in projects coordinated by northern partners and international organisations. Very few European programmes, which participated in the survey, support projects that are coordinated by southern organisations.*

*This indicates that northern organisations have a clear advantage regarding agenda setting, research planning, knowledge generation and accumulation.*



**Table 5: Investments into ARD, classified according to “Southern Centred, EU-Centred, CG-centred**

	<i>Estimated (m€) Questionnaire</i>	<i>Estimated (m€) InfoSys+</i>
Coordinators in EU, ERA-ARD members excluding France with Southern partners	82	25
Coordinators in EU, CIRAD with Southern partners	129	146
EU-Centred with EU partners or no partners	47	57
CG-Centred	81	61
<b>TOTAL</b>	<b>339</b>	<b>289</b>

**Table 6: Conclusion of table above**

<i>Coordination</i>	<i>Estimated (m€) Questionnaire</i>	<i>Estimated (m€) InfoSys+</i>
CGIAR-centred	81	61
Europe-centred	258	228
Southern centred	0	0
<b>TOTAL</b>	<b>339</b>	<b>289</b>

## **9. Interest in future joint research and investment**

### **9.1. Partnership**

*Most partners are involved in formal and informal networks. 2/3 of programme managers expressed interest to strengthen partnerships and development of networks especially with southern partners.*

Ranking according to level of interest for involvement of partners was:

1. Partners in developing countries
2. National Organizations
3. European partners
4. International Organizations

*Programme manager perceive active involvement of DC partners in agenda setting and planning of research activities as important issues.*



## **9.2. Exchange Activities**

In order to foster exchange among the research community, programme managers are willing to contribute through following activities (ranking):

1. Support for systematic information exchange
2. Support human resources
3. Funding for national institutions
4. Funds for researchers from other countries
5. Support infrastructure

## **9.3. Joint activities**

*2/3 of the programme managers expressed interest in Joint Activities and strengthened collaboration.*

The main benefits of transnational collaboration were seen in the following expected outputs listed below (ranking of expected effect of improved collaboration):

1. Improved information exchange
2. Improved research quality
3. Strengthened strategic impact of research
4. Improved positioning of your national research institutions
5. Strengthened research in developing countries
6. Improve the chances of achieving the goals of sustainable development
7. Avoid duplication
8. Others

## **9.4. Problem area: administrative procedures**

*Programme managers stated that adjustments between different administrative procedures will be the main problem area in joint research.*

The main difficulties related to transnational cooperation are:

1. Disharmony of diverse programme management procedures
2. No financial flexibility
3. Absence of a consistent national ARD strategy (national fragmentation)



### 9.5. Problem area: M & E, Impact Assessment

According to the programme managers, M&E concentrates on the evaluation of “Activities”, “Compliance to the program”, “Output” and “Outcomes” and less on “Impact” and “appropriateness of objectives, targets and Socio-economic justification”.

The impact assessment is carried out by (ranking):

1. External Experts
2. Self evaluation
3. Stakeholder evaluation
4. Publication impact

Specific instruments for monitoring and evaluation are applied by programme managers to analyse different aspects of project activities. Only 45 programme managers provided information on M&E procedures.

*Impact assessment is perceived as an important issue, but is difficult to accomplish by individual programmes.*

**Table 7: Monitoring and evaluation activities**

<b>Aspect</b>	<b>% of 45 programmes</b>
Output	84
Outcomes	77
Activities	95
Compliance to the programme	93
<i>Impact</i>	46
Appropriateness of objectives, targets and Socio-economic justification	42
Other	17