



European  
Commission



# Evaluation of the EU Support to Research and Innovation for Development in Partner Countries (2007-2013)

**Final Report**  
**Volume 3 – ANNEXES 1 TO 8**  
**May 2016**

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**Evaluation of the EU support to research and innovation  
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The opinions expressed in this document represent the authors' points of view  
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# Evaluation of the EU support to research and innovation for development in partner countries (2007-2013)

## Final Report

The report consists of 4 volumes:

**Volume 1 – Main Report**

**Volume 2 – Sector Evaluation Matrices**

**Volume 3 – Annexes 1 to 8**

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**List of acronyms**

AAP	Annual Action Programme
ACP	African, Caribbean and Pacific Group of States
AFS	Afrique du Sud
AIDS	Acquired Immune Deficiency Syndrome
ALA	Asia and Latin America
AMESD	African Monitoring of Environment for Sustainable Development
AMSP	Accompanying Measures for Sugar Protocol
ANDES	Asociación para la Naturaleza y el Desarrollo Sostenible
ANDI	African Network for Drugs and Diagnostics Intervention
ANEP	Agriculture and Nutrition Extension Project
APAARI	Asia Pacific Association of Agricultural Research Institutions
ARD	Agricultural Research for Development
ARV	Anti-Retroviral Drug
ASARECA	Association for Strengthening Agricultural Research in Eastern and Central Africa
ASEAN	Association of Southeast Asian Nations
AU	African Union
AUC	African Union Commission
AURG	African Union Research Grant
AWP	Annual Work Plan
CA	Central Asia
CAADP	Comprehensive Africa Agriculture Development Programme
CCAFS	Climate Change and Food Security
CCAI	Climate Change Adaptation Initiative
CCCA	Cambodian Climate Change Alliance
CCI	Climate Change Initiative
CCS	Carbon Capture and Storage
CCT	Clean Carbon Technologies
CDI	Community-Directed Intervention
CEPAL	Economic Commission for Latin America and the Caribbean
CfP	Call for Proposal
CG	Consultative Group
CGIAR	Consultative Group on International Agricultural Research
CIAT	International Centre for Tropical Agriculture
CIFOR	Center for International Forestry Research
CIMMYT	International Maize and Wheat Improvement Center
CIP	International Potato Centre
CLARA	Cooperación Latino Americana de Redes Avanzadas
CN	Country Note
COM	Communication from the European Commission to other institutions
CORAF	West and Central African Council for Agricultural Research and Development
CPWF	Challenge Programme for Water and Food
CRIS	Common RELEX Information System
CRP	CGIAR Research Programme
CSO	Civil Society Organisation
CSR	Corporate Social Responsibility
DAC	Development Assistance Committee
DANTE	Delivery of Advanced Network Technology to Europe
DCI	Development Co-operation Instrument
DG	European Commission's Directorate-General
DG DEVCO	European Commission's Directorate-General for Development Co-operation
DG ELARG	European Commission's Directorate-General for Enlargement
DG RTD	European Commission's Directorate-General for Research and Innovation
DG SANTE	European Commission's Directorate-General for Health and Food Safety
DR	Democratic Republic
DRC	Democratic Republic of Congo

EACEA	Education, Audiovisual and Culture Executive Agency of the European Commission
EAHEP	EU-Asia Higher Education Platform
EC	European Commission
ECOWAS	Economic Community of West African States
EDCTP	European and Developing Countries Clinical Trials Partnership
EDF	European Development Fund
EIARD	European Initiative for Agricultural Research for Development
EIB	European Investment Bank
EM	Erasmus Mundus
ENP	European Neighbourhood Policy
ENPI	European Neighbourhood and Partnership Instrument
EnvCC	Environment and Climate Change
EO	Earth Observation
EPA	Environmental Protection Authority
EQ	Evaluation Question
ESA-IO	Eastern and Southern Africa and Western Indian Ocean region
EU	European Union
EUD	European Union Delegation
EUR	Euro
EuropeAid	European Commission's Directorate-Generale Development and Cooperation
FAFB	Food, Agriculture & Fisheries, and Biotechnology
FAO	Food and Agriculture Organization of the United Nations
FARA	Forum for Agricultural Research in Africa
FED	Fonds européen de développement
FLEGT	Forest Law Enforcement, Governance and Trade
FP	Framework Programme
FSNA	Food Security, Nutrition and Agriculture
FSTP	Food Security Thematic Programme
FTA	Forests, Trees and Agroforestry
GBS	General Budget Support
GCARD	Global Conferences on Agricultural Research for Development
GCC	Global Climate Change
GCCA	Global Climate Change Alliance
GEANT	Pan-European Research and Education Network
GFAR	Global Forum on Agriculture Research
GFRAS	Global Forum for Rural Advisory Services
GHG	Greenhouse Gas
GIS	Geographic Information Systems
GIZ	Gesellschaft für Internationale Zusammenarbeit
GMES	Global Monitoring for Environment and Security
GPARD	Global Programme on Agricultural Research for Development
GSPoA	Global Strategy and Plan of Action
HE	Higher Education
HEI	Higher Education Institution
HIV	Human Immunodeficiency Virus
HLPD	High-Level Policy Dialogue
HQ	Headquarters
IAS	Invasive Alien Species
ICARDA	International Center for Agricultural Research in the Dry Areas
ICRAF	World Agroforestry Centre (former International Centre for Research in Agroforestry)
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
ICT	Information and Communication Technology
IFAD	International Fund for Agricultural Development
IFCIC	International Fine Cocoa Innovation Centre
IFPRI	International Food Policy Research Institute
IGAD	Intergovernmental Authority on Development

IIED	International Institute for Environment and Development
ILRI	International Livestock Research Institute
IOC	Indian Ocean Commission
IS	Information Society
ISO	International Organization for Standardization
IWMI	International Water Management Institute
JAES	Joint Africa-EU Strategy
JC	Judgement Criterion
JOLISAA	Joint Learning in Innovation Systems in African Agriculture
JRC	Joint Research Centre
LA	Latin America
MDG	Millennium Development Goal
MDTF	Multi-Donor Trust Fund
MEPS	Minimum Energy Performance Standards
MESA	Monitoring of Environment and Security in Africa
MIDIS	Ministerio de Desarrollo e Inclusión Social
MINAGRI	Ministerio de Agricultura
MINAM	Ministerio del Ambiente
MIP	Multi-Annual Indicative Programming
MR	Monitoring Report
MRC	Mekong River Commission
MSc	Master of Science
MSIRI	Mauritius Sugar Industry Research Institute
MTE	Mid-Term Evaluation
MTR	Mid-Term Review
NARI	National Agricultural Research Institutes
NARS	National Agricultural Research Systems
NEPAD	New Partnership for Africa's Development
NGO	Non-Governmental Organisation
NIP	National Indicative Programme
NRENs	National Research & Education Networks
OECD	Organisation for Economic Co-operation and Development
OHS	Organisation Health and Safety
PAEPARD	Platform for African-European partnership on Agricultural Research for Development
PCD	Policy Coherence for Development
PDR	People's Democratic Republic
PhD	Doctor of Philosophy
PMU	Project Management Unit
PP-AP	Pilot Project-Action Préparatoire
PRD	Poverty-Related Disease
PS	Project Synopsis
PSC	Policy Support Component
RECs	Regional Economic Communities
RG	Reference Group
RIP	Regional Indicative Programme
RO	Research Organisation
ROM	Results-Oriented Monitoring
RSA	Regional Strategy Asia
RSP	Regional Strategy Paper
S&TP	Science and Technology Programme
SATNET	Network for Knowledge Transfer on Sustainable Agricultural Technologies and Market Linkages for South and Southeast Asia
SATuRN	South African Treatment and Resistance Network
SBS	Sector Budget Support
SCP	Sustainable Consumption and Production
SERFOR	Servicio Nacional Forestal y de Fauna Silvestre

SICAF	Climate Change, Agriculture, and Food Security Research Programme
SIDS	Small Island Developing States
SIFOR	Smallholder Innovation for Resilience
SISS	Science, Information Society and Space
SME	Small and Medium Enterprise
SPI	Sustainable Product Innovation
SPIN-VCL	Sustainable Product Innovation in Vietnam, Cambodia and Laos
SPP	Sustainable Production Practices
SPSP	Sector Policy Support Programmes
SRF	Strategy and Results Framework
SRI	System of Rice Intensification
SRP	Sugar Research Programme
SSA	Swaziland Sugar Association
STI	Science, Technology and Innovation
STISA	Science, Technology and Innovation Strategy for Africa
TA	Technical Assistance
TACIS	Technical Assistance to the Commonwealth of Independent States
TAP	Technical and Administrative Provision
TAU	Technical Assistance Unit
TB	Tuberculosis
TEIN	Trans-Eurasia Information Network
TK	Traditional Knowledge
ToR	Terms of Reference
TTFSA	Technology Transfer for Food Security in Asia
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UoM	University of Malaya
USA	United States of America
USAID	United States Agency for International Development
USD	US-Dollar
WHO	World Health Organization
WICSCBS	West Indies Central Sugar Cane Breeding Station
YPARD	Young Professionals for Agricultural Development

**Note:** The Evaluation uses the common acronym "EC" to refer to either the "Commission of the European Union" (post-Lisbon Treaty) or the "European Commission" (pre-Lisbon Treaty), as applicable.



EUROPEAN COMMISSION

Directorate-General for Development and Cooperation — EuropeAid Evaluation  
Evaluation unit

**EVALUATION OF**  
**THE EU SUPPORT TO RESEARCH AND**  
**INNOVATION FOR DEVELOPMENT IN PARTNER**  
**COUNTRIES**  
**2007-2013**

**TERMS OF REFERENCE**

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## 1. MANDATE AND OBJECTIVES

Systematic and timely evaluation of its programmes and activities is a priority<sup>1</sup> of the European Union (EU), including legislation and other non-spending activities<sup>2</sup>. Evaluation is key in accounting for the results and the management of the allocated funds, for informing decision making and for promoting a lesson-learning culture throughout the organisation. Focus on **result-oriented approaches** is of primary importance in the context of EU evolving cooperation policy<sup>3</sup>.

The **Evaluation of the EU support to Research and Innovation for Development** is part of the evaluation programme as approved by the Commissioners for Development, and agreed by the Commissioners for Enlargement and European Neighbourhood, and the High Representative for Foreign Affairs and Security Policy.

The main objectives of the evaluation are:

- to provide the relevant external co-operation services of the EU and the wider public with an **independent assessment** of the support provided to Research and development over the period 2007-2013
- to identify key lessons and forward-looking recommendations.

## 2. BACKGROUND

### 2.1 Policy framework

Many of today's major challenges are global in nature: the imperative to maintain economic growth as a driver of prosperity and poverty reduction, the need for international security and social stability, health, responses to the environmental pressures.

Development cooperation in the area of Research and Innovation can play a key role in these areas and thus impact on poverty reduction<sup>4</sup>. By nature, researchers are a global community and the EU has supported areas of development sometimes through dedicated strategies, more often approaches and through support to complementary activities to the multi-annual programmes<sup>5</sup> under the competence of the Directorate general for Research and Innovation (DG RTD).

The TEUF<sup>6</sup> has framed the policy of Research by including a specific provision that requires decisions and activities<sup>7</sup> to be coherent at Union level, and provisions for development co-operation reinforce this principle by recalling that the primary objective

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<sup>1</sup> EU Financial regulation (Art 27 N 215/2008)

<sup>2</sup> SEC(2007)213 "Responding to Strategic Needs: Reinforcing the use of evaluation"

<sup>3</sup> COM (2011) 637 final "Increasing the impact of EU Development Policy: an Agenda for Change"

<sup>4</sup> Research has been recognised by the EU as one of the twelve policy areas which can make an important contribution to development. On 20 September 2007 the first report on EU's Policy coherence for development was issued (PCD). These reports highlight interactions and complementarities between development policy and twelve other EU policies that may impact developing countries, among the twelve is Research.

<sup>5</sup> The main multi-annual programme of reference is the Framework programme 7 (FP7). Yet the objectives of Horizon 2020 (H2020) should be taken into account.

<sup>6</sup> Treaty of the functioning of the EU

<sup>7</sup> Art. 179 of the TEUF identifies a number of activities

of reducing poverty<sup>8</sup> shall be taken into account in implementing policies that may affect developing countries.

The Agenda for Change<sup>9</sup>, defining EU approach to inclusive and sustainable growth crucial to long-term poverty reduction<sup>10</sup>, recognises the role of the capacity-building dimension and exchange of knowledge, the support to sustainable practices in agriculture and the need for safeguarding ecosystems alongside the strengthening of nutritional standards and food security.

The Communication “An EU Policy framework to assist developing countries in addressing food security challenges”<sup>11</sup> calls for more demand-driven research and innovation in the public domain and making sure that innovations are accessible to farmers and suited to their needs.

Europe 2020 strategy<sup>12</sup> in supporting external union policies recalls Research and Innovation as integral part of a comprehensive package in supporting external union policies.

The Communication “Enhancing and focusing EU international co-operation in Research and Innovation”<sup>13</sup> enhances and focuses the EU international co-operation activities in Research and Innovation by using a dual approach of “openness” complemented by “targeted international cooperation activities”, developed on common interest and mutual benefit, optimal scale and scope, partnership and synergy.

Under the European Neighbourhood policy, research and innovation were defined as priorities together by the EU and the partner countries<sup>14</sup>. The Cotonou agreement for African, Caribbean and Pacific partner countries identifies research and technological development as area of support towards regional and economic integration<sup>15</sup>. In the Communication of 2009 it is underlined the need for stepping up the dialogue on science, research, technology and innovation with a view of developing an “EU-Latin America and Caribbean (LAC) knowledge area”<sup>16</sup>, which is in fact reflected into the recent EU-CELAC<sup>17</sup> action plan for 2013-2015, where support to science, research, innovation and technology<sup>18</sup> are identified as priorities.

## **2.2 Development co-operation support to Research and Innovation**

DG Development and co-operation (DG DEVCO) has supported Research and Innovation in the sectors of agriculture, food security and nutrition, health, environment and climate

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<sup>8</sup> Art. 208 of the TEUF

<sup>9</sup> COM (2011) 637

<sup>10</sup> Art. 208 of the EU Treaty set Poverty reduction as paramount objective of EU development co-operation policy.

<sup>11</sup> COM (2010) 127

<sup>12</sup> COM (2010) 2020

<sup>13</sup> COM (2012) 497 “Enhancing and focusing EU international co-operation in research and innovation: a strategic approach”.

<sup>14</sup> COM(2003)104, JOIN (2013)4 and regulation 1638/2006

<sup>15</sup> Cotonou Agreement Art. 29

<sup>16</sup> An EU strategic forum for international cooperation (SFIC) was created to strengthening Science and Technology cooperation with LAC.

<sup>17</sup> In 2010 the Community of Latin American and Caribbean states – CELAC was launched.

<sup>18</sup> Santiago summit, EU-CELAC action plan 2013-2015.

change and Science information society and space<sup>19</sup>. Furthermore, DEVCO has supported activities intertwining with DG RDT programmes.

Main activities supported by DEVCO are identified in:

- **Supporting the application of science and technology** to address food security, nutrition, maternal and child health and infectious diseases, adaptation to climate changes, sustainable use of natural resources;
- **Promoting awareness and capacity building** in the use of Research as a tool for development by encouraging developing countries to a) mainstream research in their development strategies and b) develop autonomous capability to design and implement their own programmes;
- **Participating in regional initiatives** such as the Africa-EU partnership for Science, Information society and Space of the JAES and the dedicated pillar of the Comprehensive African Agriculture Development programme (CAADP);
- **Sustaining and Enhancing dialogue and promoting partner countries participation** in the areas of Research and Innovation, ICT, Space, and Agriculture;
- **Participating in multilateral fora** advocating the use of Science and Innovation as a tool for development.

Co-operation instruments mobilised in support of these activities are the European Development Fund (EDF), the Development co-operation Instrument (DCI –thematic and geographic components), the European Neighbourhood and Partnership Instrument (ENPI).

### 3. THE PURPOSE AND SCOPE OF THE EVALUATION

#### 3.1 The temporal, legal and thematic scope

The evaluation will use the five standard OECD/DAC evaluation criteria, namely relevance, effectiveness, efficiency, impact and sustainability. The evaluation will put particular strength in assessing *policy coherence*<sup>20</sup> of the European Union's interventions and its *visibility*.

The evaluation should be **forward looking**, providing lessons and recommendations in particular as regards the support of Research and Innovation in:

- **Food security, nutrition and agriculture,**
- **Health,**
- **Environment and Climate change**
- **Science, information society and space.**

The evaluation should provide an **overall judgement** of the extent to which the EU development co-operation policy has had a **strategic approach** in supporting research and innovation in these sectors over the period 2007-2013 and if the approach was appropriate to enhance capacity to reach development objectives in the aforementioned fields.

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<sup>19</sup> “Science, information society and space” notably refer to the Africa-EU partnership. Other sectors were supported, notably Energy, but to include it would broaden too much the scope of this evaluation to the detriment of its management within a reasonable time frame and the risk of not reaching the desired level of analysis.

<sup>20</sup> Policy coherence as defined in Art. 208 and Art. 210 of the TUE

This evaluation should provide a **mapping** of the activities and the financial flows undertaken by the EU to support Research and Innovation through its development strategies and activities. The mapping analysis shall be presented by sector, by instrument and by sub-region: Africa, Latin America and Caribbean, Neighbourhood, Asia and Pacific.

The evaluation shall also provide a set of **conclusions** and related **lessons**.

Conclusions and recommendations shall be drawn on:

- the support provided to **capacity building in partner countries**;
- the level of the transfer of **research results** into **social or economic** process likely to **impact on poverty reduction in longer term**<sup>21</sup>,
- the appropriateness of **instruments and modalities** made available,
- the **approaches**, notably **country** versus **regional** as well as **addressing directly** research or through the **inclusions of important components of research activities within sectoral programmes**.

Co-operation **instruments** are the European Development Fund (EDF), the Development co-operation Instrument (DCI –thematic and geographic components), the European Neighbourhood and Partnership Instrument (ENPI).

The evaluation shall provide **recommendations** clear enough to be translated into strategies and into operational choices, by the Commission and EEAS and should be set in the present international context and EU identified co-operation priorities.

### 3.2 The Evaluation questions

These questions are indicative and will be discussed at inception phase.

- How relevant is the development co-operation approach to Research and Innovation in meeting the development policy objectives?
- To what extent EU approaches and activities in support to Research and Innovation have been coherent?
- To what extent has EU support enabled increasing capacities among researchers and researching institutions in partner countries?
- To what extent EU support foster the collaborations leading to the transfer of research and innovation into processes likely to impact on poverty reduction?
- To what extent the external relation services have ensured internal capacities to support research and development?
- To what extent and how the Commission ensured a complementary use of various instruments, geographic and thematic, in supporting research and development?
- To what extent the EU has ensured capitalisation of experience to inform policy decision-making?

## 4. METHODOLOGY

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<sup>21</sup> Art. 208 of the EU Treaty set Poverty reduction as paramount objective of EU development co-operation policy.

The overall methodological guidance to be used is available on:  
[http://ec.europa.eu/europeaid/how/evaluation/methodology/index\\_en.htm](http://ec.europa.eu/europeaid/how/evaluation/methodology/index_en.htm)

### **Evaluation phases**

The evaluation consists of the following phases:

Inception Phase, for the design of the evaluation, main data collection and analysis – including the mapping-, proposal of criteria for selecting case studies;

Desk Phase, to build upon the inception report, collect further data, data analysis and present in details the approach and the tools to the field phase;

Field Phase, visits to the study countries and drafting of case study notes;

Synthesis Phase, drafting of the Final Report, participating in the Final Seminar.

Evaluation Phases:	Methodological Stages:	Deliverables <sup>22</sup> :
1. <u>Inception phase</u>	<ul style="list-style-type: none"> <li>• Evaluation design, data collection and analysis</li> <li>• Mapping</li> <li>• Evaluation questions and judgement criteria and indicators</li> <li>• Proposed criteria for selection of case studies</li> </ul>	➤ <i>Inception report</i>
2. <u>Desk phase</u>	<ul style="list-style-type: none"> <li>• Data collection, interviews</li> <li>• Data analysis</li> <li>• First tentative answers to the Evaluation questions</li> <li>• Detailed approach and tools for the Field phase</li> </ul>	➤ <i>Desk report</i>
3. <u>Field phase</u>	<ul style="list-style-type: none"> <li>• Data collection and corroboration</li> <li>• Preliminary findings</li> </ul>	➤ <i>Slide presentation + case study notes</i>

<sup>22</sup> The contractors must provide, whenever requested and in any case at the end of the evaluation, the list of all document reviewed, data collected and databases built.

Evaluation Phases:	Methodological Stages:	Deliverables <sup>22</sup> :
4. <u>Synthesis phase</u>	<ul style="list-style-type: none"> <li>• Analysis</li> <li>• Judgements and conclusions</li> <li>• Recommendations</li> </ul>	<ul style="list-style-type: none"> <li>➤ <i>Draft final report</i></li> <li>➤ <i>Final report</i></li> <li>➤ <i>Seminar</i></li> </ul>

The Inception report, desk report, field phase reporting and draft final report will be presented and discussed with the Reference group, during a half day meeting in Brussels. The presence of the Team leader and another key expert are required.

The reference group comments shall be taken into account in a revised version of the document or a substantiated explanation shall be provided by the Consultants and recompiled in a dedicated “Response sheet”.

The Final report will be presented in a public seminar.

All reports and case study notes will be written in *English*.

Reports must be written in Arial or Times New Roman minimum 11 and 12 respectively, single spacing. The inception, desk and draft final reports will be delivered electronically<sup>23</sup>. The Final report will be delivered in 80 hard copies accompanied by USB keys. The Executive summary, besides English, shall be also available in French and Spanish and delivered in electronic format. The content of the 80 USB keys will include the Final report with annexes and all linguistic versions of the executive summary.

#### 4.1. Inception phase

A briefing session shall be held in Brussels, between the Team leader and main members of the Reference group, to discuss the evaluation approach and process, including the scope and the work programme.

The evaluation team collects and analyse key documentation, interviews key stakeholders in EU Headquarters and eventually other institutions. Preliminary missions can be envisaged; to the purpose of the offer 4 EU missions should be quoted but may be changed in a longer distance mission.

With the information obtained the consultants will submit to the Evaluation Unit a **draft inception report**, including the following elements:

- (1) Identifying and prioritizing the **co-operation objectives** as observed in relevant documents. The result of this exercise may be presented with the support of diagrams and accompanying narrative texts;
- (2) A **mapping** of the activities for Research and Innovation supported by development cooperation funds;

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<sup>23</sup> The electronic versions of all documents need to be delivered in both editable and not editable format.

- (3) A final set of **evaluation questions**; appropriate **judgement criteria** for each evaluation question and relevant quantitative and qualitative **indicators** for each criterion;
- (4) **Criteria for selecting case studies** (a minimum 10 case studies will have to be carried out)
- (5) Inform on methods for **data collection**, data **corroboration** (cross-checking) and identified **limitations**.
- (6) First data **analysis**.
- (7) A detailed **work plan**, specifying the organisation and the time schedule for the evaluation process.

Following comments on the draft inception report from members of the Reference group evaluators will submit the **final inception report**. The formal approval of the Inception report, by the Evaluation unit, is required to pass on to the next phase.

#### **4.2. Desk phase**

The desk phase builds upon the Inception report information, will complement data collection and analysis. The desk report will include:

- (1) First **tentative answers** to the evaluation questions;
- (2) A **detailed approach to the Field phase**/case studies
- (3) The appropriate **format for country notes**

#### **4.3. Field phase**

The evaluation team is expected to undertake 10 case studies, in 10 different countries and ensuring coverage of all regions.

Any substantial change to the agreed methodology and schedule perceived as being necessary requires a preliminary approval from the Evaluation unit.

At the conclusion of each of the field missions the team should give a detailed on-the-spot de-briefing to the EU Delegation and relevant stakeholders to validate the data and information gathered.

A **country case study note** will be delivered to the Evaluation unit within ten working days after returning from the field. These notes will be published in Annex to the Final report, and should therefore be written in English.

#### **4.4. Synthesis phase and final report**

The Evaluation team shall submit a **draft final report** including the **answers to the evaluation questions** and **an overall judgement** of the EU approaches and results in supporting Research and innovation through development co-operation. The Reference



group will be given a minimum of two weeks to provide comments. The **Final report** shall be resubmitted electronically for approval, along with the Executive summary and its translations, prior the delivery of hard copies and USB keys, which will be distributed during the Seminar. The Final report will be presented in a standard model showing a photo proposed by the Contractor and approved by the contracting authority.

#### **4.5. Seminar**

The Seminar will be in Brussels. It will be a one day event requiring the presence of the Team leader and another key expert of the evaluation team<sup>24</sup>. The minutes of the seminar will have to be drafted by the Evaluation team and delivered to the Evaluation Unit in electronic format, ready for publication.

#### **5. RESPONSIBILITY FOR THE MANAGEMENT OF THE EVALUATION**

The Evaluation unit is responsible for the management and supervision of the evaluation process. The progress of the evaluation will be followed closely by an ad hoc reference group, consisting of representatives of relevant services within the Commission and EEAS.

The Reference group functions are primarily to:

- Discuss draft reports during meetings in Brussels,
- Ensure that all relevant information and documentation is made available
- Discuss and comment the quality of the work done by the evaluation team
- Provide feedback on the findings, conclusions and recommendations of the evaluation.

#### **6. EVALUATION TEAM**

This evaluation team shall be experienced in **development co-operation policy and research and innovation in development** and be familiar with European Union policies, instruments and aid modalities. Taking into account that this evaluation covers the entire regions recipient of EU development aid, expertise in the different geographic areas to be covered should be foreseen in the team composition.

The Evaluation team must prove capacity for strategic thinking, and expertise in the following areas:

- **Research for capacity building and transfer, research implementation, research support activities**
- **Food security, nutrition and agriculture,**
- **Health,**
- **Environment and climate change**
- **Science innovation society and space**<sup>25</sup>

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<sup>24</sup> Logistic aspects of the seminar are not to be included in the offer as they are directly supported by the EU.

<sup>25</sup> see footnote 15

The Evaluation team should also document appropriate training and experience **in evaluation methods and techniques for complex evaluation**. The team coordination provisions should also be clearly described.

The Evaluation team shall have **excellent English writing and editing skills**.

The Contractor remains fully responsible for the quality of the report. Any report which does not meet the required quality will be rejected.

Regarding conflict of interest, experts who have been associated in the design or implementation of programme/projects covered by this evaluation, are excluded from this assignment. Should a conflict of interest be identified in the course of the evaluation, it should be immediately reported to the evaluation manager for further analysis and appropriate measures.

## 7. TIMING

The Evaluation is due to start January 2014. The expected duration is 18 months.

## 8. OFFER

The offer shall be itemised to allow the verification of the fees compliance with the framework contract terms as well as, for items under h to k of the contractual price breakdown model, whether the prices quoted correspond to the market prices.

The offer will be written in English, (font Times New Roman 12 or Arial 11), single spacing. The Total length of sections 2, 3 and 4 of the technical offer (Framework contract, Annexe 1, section 10.3. b) should not exceed 20 pages.

### Technical evaluation criteria

The Contracting authority selects the offer with the best value for money using an 80/20 weighing between technical quality and price. Technical quality is evaluated on the basis of the following grid:

<b>Total score for Organisation and methodology</b>	<b>Maximum</b>
Understanding of ToR	15
Organization of tasks including timing	10
Approach	25
<b>Sub Total</b>	<b>50</b>
<b>Experts/ Expertise:</b>	
Team leader	20
Other experts	20
Expert for quality control	10
<b>Sub Total</b>	<b>50</b>
<b>Overall total score</b>	<b>100</b>



## **9. ANNEXES**

Annex I Key references for the evaluation

Annex II Outline Structure of the Final Evaluation Report

Annex III Quality criteria

Annex IV Timing

## Annex 1: Key documents and references for the evaluation

- Treaty of the European Union and Treaty on the functioning of the EU
- The Cotonou Agreement
- Joint Africa-EU strategy
- The EU and Latin America: Global players in Partnership COM (2009) 495
- “A stronger partnership between the EU and Latin America COM (2005) 636
- The EU-Latin America and the Caribbean Strategic partnership
- Europe 2020 strategy COM (2010) 2020
- Enhancing and focusing EU international co-operation in research and innovation: a strategic approach, COM (2012) 497
- Consultative Group on International Agricultural Research (CGIAR) [www.cgiar.org](http://www.cgiar.org)
- Global Forum on Agricultural research (GFAR) [www.egfar.org](http://www.egfar.org)
- Guidelines for agricultural research in development (2008)
- Communication ERA (2012) 392
- Intra-ACP strategy paper and multiannual indicative programme (2008-2013)
- Indicative programme intra ACP 10 EDF
- Comprehensive African Agricultural development programme (CAADP)
- Forum for Agricultural Research in Africa (FARA) [www.fara-africa.org](http://www.fara-africa.org)
- European initiative for international Agricultural Research (EIARD) [www.eiard.org](http://www.eiard.org)

## **Annex 2: Outline Structure of the Final Evaluation Report**

The overall layout of the **Final report** is:

- Executive summary (1);
- Context of the evaluation and methodology;
- Evaluation questions and their answers (findings);
- Conclusions (2); and
- Recommendations (3).

Length: the final main report may not exceed 70 pages excluding annexes. Each annex must be referenced in the main text. Additional information regarding the activities and the comprehensive aspects of the methodology, including the analysis, must be put in the annexes.

### (1) Executive summary

The executive summary of the evaluation report may not exceed 5 pages (3.000 words). It should be structured as follows:

- a) 1 paragraph explaining the objectives and the challenges of the evaluation;
- b) 1 paragraph explaining the context in which the evaluation takes place;
- c) 1 paragraph referring to the methodology followed, spelling out the main tools used
- d) The overarching conclusion(s);
- e) Main conclusions should be listed and classified in order of importance; and
- f) Main recommendations should be listed according to their importance and priority.

The recommendations have to be explicitly linked to 5 main conclusions.

The chapters on conclusions and recommendations should be drafted taking the following issues into consideration:

### (2) Conclusions

- The conclusions have to be assembled by homogeneous "clusters" (groups). It is not required to set out the conclusions according to the evaluation criteria.
- The general conclusions related to sectorial and transversal issues and the overarching conclusion(s) (for example on poverty reduction).
- Specific conclusions on each financial instrument indicated in section 3.1 (Legal scope). These conclusions will focus on effectiveness, efficiency, added value, complementarity and synergies with other financial instruments.
- The chapter on conclusions must enable to identify lessons learnt, both positive and negative.

### (3) Recommendations

- Recommendations should be substantiated by the conclusions.
- Recommendations have to be grouped in clusters (groups) and presented in order of importance and priority within these clusters.
- The possible conditions of implementation (who? when? how?) have to be specified and key steps/action points should be detailed when possible.

### **Annexes (indicative)**

- Methodological approach;
- Information matrix;
- Case studies notes;
- List of documents consulted;
- List of institutions and persons met;
- People interviewed;
- Results of the focus group, expert panel, etc.;

### **EDITING**

The Final report must:

- be consistent, concise and clear;
  - be well balanced between argumentation, tables and graphs;
  - be free of linguistic errors;
  - include a table of contents indicating the page number of all the chapters listed therein, a list of annexes (whose page numbering shall continue from that in the report) and a complete list in alphabetical order of any abbreviations in the text;
  - contain a summary (in several linguistic versions when required).
  - be typed in single spacing and printed double sided, in DIN-A-4 format.
- The presentation must be well spaced (the use of graphs, tables and small paragraphs is strongly recommended). The graphs must be clear (shades of grey produce better contrasts on a black and white printout).
  - Reports must be glued or stapled; plastic spirals are not acceptable.
  - The contractor is responsible for the quality of translations and their conformity with the original text.

### Annex 3: Quality Assessment Grid

Concerning these criteria, the evaluation report is:	Unacceptable	Poor	Good	Very good	Excellent
<b>1. Meeting needs:</b> Does the evaluation adequately address the information needs of the commissioning body and fit the terms of reference?					
<b>2. Relevant scope:</b> Is the rationale of the policy examined and its set of outputs, results and outcomes/impacts examined fully, including both intended and unexpected policy interactions and consequences?					
<b>3. Defensible design:</b> Is the evaluation design appropriate and adequate to ensure that the full set of findings, along with methodological limitations, is made accessible for answering the main evaluation questions?					
<b>4. Reliable data:</b> To what extent are the primary and secondary data selected adequate? Are they sufficiently reliable for their intended use?					
<b>5. Sound data analysis:</b> Is quantitative information appropriately and systematically analysed according to the state of the art so that evaluation questions are answered in a valid way?					
<b>6. Credible findings:</b> Do findings follow logically from, and are they justified by, the data analysis and interpretations based on carefully described assumptions and rationale?					
<b>7. Validity of the conclusions:</b> Does the report provide clear conclusions? Are conclusions based on credible results?					
<b>8. Usefulness of the recommendations:</b> Are recommendations fair, unbiased by personnel or shareholders' views, and sufficiently detailed to be operationally applicable?					
<b>9. Clearly reported:</b> Does the report clearly describe the policy being evaluated, including its context and purpose, together with the procedures and findings of the evaluation, so that information provided can easily be understood?					
<b>Taking into account the contextual constraints on the evaluation, the overall quality rating of the report is considered.</b>					

The draft and final versions of the Final Report will be assessed using the below “quality grid”. The completed quality grid for the final version of the report will be published on the Internet along with the report



## Annex 4: Timing

To be filled by the contractors and submitted as part of its methodology

<i>Evaluation and Stages</i>	<i>Phases</i>	<i>Notes and Reports</i>	<i>Dates</i>	<i>Meetings/Communications</i>
Inception Phase				
				Briefing session in Brussels
		Draft Inception Report		RG meeting
		Final Inception Report		
Desk phase		Draft Desk Report		RG Meeting
		Final Desk Report		
Field phase				<i>De-briefing with relevant EU Delegation.</i>
Synthesis phase				
		1 <sup>st</sup> Draft Final report		RG Meeting
		Final Report + other deliverables		
Dissemination phase				Dissemination Seminar in Brussels

## 2 Annex 2 – Inventory of DEVCO-financed interventions related to Research and Innovation in third countries in the period 2007-2013

This annex presents the inventory of financial flows in support of Research and Innovation in partner countries undertaken by the EU via DG DEVCO. Part A of the annex outlines the methodology and Part B shows the findings of the inventory analysis. The full list of contracts identified for the inventory is presented in Part C.

### 2.A Inventory methodology

#### 2.A.1 Limits and challenges

The specific and systematic approach used for the elaboration of the inventory of the EU support to R&I has been considered by the evaluation team as the best possible and most comprehensive way of tackling this challenging exercise. However, it is important to make explicit the limits of this approach and the challenges dealt with. The challenges stemmed mainly from the complexity and size of the thematic scope of the evaluation, combined with the type and structure of data available for exploration. As a result, a number of choices had to be made by the team regarding the specific approach to the inventory and the inclusion of contracts and their classification.

The primary source for identifying DG DEVCO financial support to Research and Innovation in partner countries during 2007-2013 is the European Commission's Common RELEX Information System (CRIS)<sup>1,2</sup>, the sole systematic source for identifying EU development support worldwide, and its related interface Data Warehouse. The limits inherent to CRIS for the purpose of an inventory for a thematic evaluation have to be taken into account. These relate in particular to the following aspects:

- The main challenge for conducting the inventory is that, while the situation has improved for more recent entries, still in many cases no DAC sector code has been attributed to the interventions, or the codes have been assigned inconsistently. Mostly for this reason, the Commission, evaluators and others have recognised that solely relying on sectoral codes assigned to contracts in CRIS will not yield sufficiently comprehensive outcomes for establishing an inventory in thematic evaluations. A more innovative approach, such as that outlined below, is required, combining key-word searches with (semi-)manual line-by-line cleaning and classification of data.
- Related challenge is associated with the thematic scope of the evaluation, which, in general for thematic evaluations but especially for the present one, is rather difficult to precisely delineate using the fields available in CRIS – e.g. by financing instrument, budget line, or similar identifier. In addition, the support to R&I as such lacks an overall DEVCO strategy or programming documents, which would facilitate identifying the key areas of action and the related interventions.
- As the primary source for the identification of the interventions falling within the scope of the evaluation is the extract of all CRIS contracts, the results are also affected by the fact that there is rather limited information available for each contract. This especially relates to any information on the content and/or objectives of any intervention, which is mostly limited to the data given in the decision and contract titles. While for selected large interventions it is possible to find more information e.g. on the internet, it is not feasible to carry out such follow-up search individually over thousands of contracts. Therefore, the decision on the inclusion of a specific contract in the inventory is based on incomplete knowledge and is to some extent arbitrary for borderline contracts. This risk has been countered by sharing the draft inventory with key DEVCO Reference Group (RG) staff depending on their geographic and thematic ar-

<sup>1</sup> The CRIS database gathers operational data (decisions, projects, contracts descriptions) and financial data (budget lines, commitments, payments) on the EC's external assistance managed by the EuropeAid Co-operation Office (AIDCO), now DG DEVCO, and DG for External Relations of the European Commission (RELEX), now part of the newly created EEAS, and the DG for Enlargement (ELARG). Since 15 February 2009, CRIS also encompasses data relating to the European Development Funds (previously in the On Line Accounting System - OLAS-database); in addition to data on interventions financed by the general Community budget.

<sup>2</sup> CRIS data extraction used by the evaluation team was done on 5 February 2014.

ea of operation, to cross-check its completeness. The inventory has also been verified during the Field Phase in the countries visited.

- The problem with incomplete information about specific contracts extends also the subsequent step of classification of the interventions. The area of R&I is cross-cutting in nature with respect to thematic sectors. Four focal sectors were stipulated for this evaluation in the ToR, one of which (“Science, Information society and Space”) is rather cross-cutting itself. However, for any further analysis necessary in the evaluation, it was important to distribute the inventory within these sectors to the maximum extent possible. While there was a sound basis for each choice made, it is clear that it mainly relied on information presented in the database and on the interpretation of this information.
- Some interventions, especially larger programmes, can include components, which are research-related and as such are part of the scope of this evaluation. However, as there is no reliable way to identify the share of resources in support of research activities, these programmes are not part of the inventory and the quantitative analysis, but are dealt with qualitatively in the evaluation. These types of programmes are to be distinguished from interventions, where some research was conducted solely as part of the implementation of the project (e.g. a research study to establish a baseline data for monitoring), which are not considered to be within the scope of the evaluation as the primary objective was not to support research in partner countries.

Although a sound and systematic approach was applied, the results remain dependant to a certain extent on limits that concern the CRIS database. However, the data cross-checking with thematic experts and European Commission staff helped the team to obtain the most comprehensive inventory.

### 2.A.2 Data extraction

The user interface of CRIS (or Datawarehouse) does not provide a search option allowing a comprehensive key words screening. Therefore, as a first step, the evaluation team extracted from CRIS the data all interventions financed by the Commission from 2007 to 2013. The team then compiled these data in one single list that was suitable for key word screening. The initial data extraction from CRIS was done at contract level, retrieving all contracts which were signed in 2007-2013 and/or for which there was a disbursement or a rider (and not only decommitments) within that period. This initial extract – with approximately 80,000 contracts - served as the main basis for further filtering and analysis. For each contract, the key database fields were extracted (subject to their availability in the original database), which included among other:

- The decision reference number;
- The decision title;
- The contract reference number;
- The contract benefiting zone;
- The contract title;
- The contract start date (signature by the EC);
- The contract end date (expiry date of the contract);
- The amount contracted (in EUR);
- The amount paid (in EUR), and disbursements to the date of the extraction;
- The DAC sector code;
- The contracting party.

### 2.A.3 Data filtering

In order to identify R&I related interventions, the evaluation team undertook a comprehensive and systematic screening of the information contained in the CRIS-extract obtained in the first step. This screening essentially consisted of three types of filtering applied to the initial dataset, gradually reducing it in order to match the scope of the evaluation as outlined in the ToR:

1. Using the standardised information provided in CRIS fields to remove contracts, which do not comply with the scope defined in the ToR. This related most importantly to the time scope of the evaluation and to the cooperation instruments.
2. Automated key-word search through decision and contract titles, DAC codes and contractors.

3. Manual cleaning of the remaining contracts, based primarily on the decision and contract titles available, removing contracts which did not fall in the scope of the evaluation.

### 2.A.3.1 Time scope

The initial extraction retrieved all contracts, which had any contractual or financial changes within the evaluation period (2007-2013), i.e. contracts with any new contracted amounts, disbursed amounts or decommitted amounts within this period were in the initial selection. Therefore, some contracts were signed and mostly implemented before the evaluation period, while only their disbursements were partially actioned within the relevant time scope. Contracts that only had decommitments in 2007-2013 were eventually removed from the extract.

The evaluation team considered several options to find the most fitting approximation of the inventory to the time scope of the evaluation, without being too restrictive or unjustifiably broad.

The final decision, validated with the DEVCO evaluation manager and the Reference Group, was to remove all contracts, for which more than 50% of disbursements was done before 2007. This approach excluded contracts for which most of their implementation fell before the evaluation period but ensured that contracts substantially implemented and all contracts signed within this period were included in the inventory.

### 2.A.3.2 Domain

In the section on the scope of the evaluation, the ToR indicates the European Development Fund (EDF), the Development co-operation Instrument (DCI – both thematic and geographic components), and the European Neighbourhood and Partnership Instrument (ENPI).

Based on this, contracts with domains indicating cooperation with countries and regions covered by DG ELARG (especially domains CARDS and IPA) were removed from the inventory. However, contracts under some domains, which were the predecessors of the ones indicated in the ToR, were included in the inventory, if they sufficiently met the time scope criterion. This decision was made acknowledging the fact that contracts under “old” decisions were made well within the evaluation period – such as e.g. contract nr. 156254 *Support to research and innovation in Ukraine*, signed in 2008, but still under the TACIS domain.

### 2.A.3.3 Keyword screening

The main tool for the identification of contract relating to Research and Innovation was screening the database with a set of relevant keywords. The keywords were chosen in order to capture those EU funded interventions that may be relevant to this evaluation. For the purpose of devising the database query, “wildcards” were used to allow using words in their root-form precise enough to identify the relevant interventions but sufficiently shortened to capture all expressions derived from them. The keywords were also taken from the most relevant languages in CRIS – English, French, Spanish and Portuguese. The keyword search query was applied through contract titles, decision titles and contractors. The following table presents the overview of keywords used.

Table 1 *List of keywords*

<b>Contract title</b>	<b>Decision title</b>	<b>Contractor name</b>
*research*	*research*	*research*
*recherch*	*recherch*	*recherch*
*innovat*	*innovat*	*universi*
*scien*	*scien*	*institut*
*technolog*	*technolog*	*investigac*
*investigac*	*investigac*	*pesquis*
*pesquis*	*pesquis*	
*tecnolog*	*tecnolog*	
*inovaç*	*inovaç*	
*innovac*	*innovac*	

In addition, a preliminary list of contracts related to academic and higher education mobility (see further below) was extracted based on the names of major mobility programmes managed by the Education, Audiovisual and Culture Executive Agency (EACEA), such as Erasmus Mundus, Tempus, and Intra-ACP academic mobility scheme. The scope of this list is clearly too broad since it encompasses academic mobility at all - and not only at doctoral and postdoctoral - levels. While the CRIS data are not apt for applying a narrower filter, the objective is to put stronger weight on doctoral and postdoc-

total mobility (to the extent possible) in the Desk Phase using additional data from the EACEA, if available.

As discussed above, the treatment of DAC sector codes for interventions in CRIS is not entirely comprehensive (not all contracts have DAC sector code assigned) nor is it consistent (either with the DAC instructions or between similar types of contracts within CRIS). Therefore, DAC codes on their own cannot be used to establish a comprehensive inventory overview in any sector. However, relevant DAC codes were used as additional “keywords” to retrieve those contracts, which have these codes assigned.

*Table 2 List of DAC codes*

<b>DAC code</b>	<b>DAC sector</b>	<b>DAC description<sup>3</sup></b>
11182	Educational research	Research and studies on education effectiveness, relevance and quality; systematic evaluation and monitoring.
12182	Medical research	General medical research (excluding basic health research).
23082	Energy research	Including general inventories, surveys.
31182	Agricultural research	Plant breeding, physiology, genetic resources, ecology, taxonomy, disease control, agricultural bio-technology; including live-stock research (animal health, breeding and genetics, nutrition, physiology).
31282	Forestry research	Including artificial regeneration, genetic improvement, production methods, fertilizer, harvesting.
31382	Fishery research	Pilot fish culture; marine/freshwater biological research.
32182	Technological research and development	Including industrial standards; quality management; metrology; testing; accreditation; certification.
41082	Environmental research	Including establishment of databases, inventories/accounts of physical and natural resources; environmental profiles and impact studies if not sector specific.
43082	Research/scientific institutions	When sector cannot be identified.

#### **2.A.4 Data cleaning**

Following the filtering as described in the previous sections, the entire remaining dataset was screened manually (line-by-line), to remove contracts not deemed to fall within the scope of the evaluation. These contracts were usually within the dataset based on the keyword search – especially the keywords used within the contractor field proved to be rather broad-based and yielded a large number of ineligible contracts unrelated to the thematic scope of the evaluation.

As discussed above, this final decision on the inclusion of specific contracts in the inventory was based on the information available within the database itself, mainly in the decision and contract titles. Therefore, the output of the inventory is to some extent affected by the limitations inherent to CRIS and potential errors in the interpretation of the information available. The verification of the inventory list with the relevant DEVCO staff and members of the evaluation team along geographic and thematic lines helped to ensure that no key interventions were missing. For instance, a set of contracts related to the Trans-Eurasia Information Network not previously captured by keyword search was added ex post.

#### **2.A.5 Data classification**

After obtaining the full set of contracts deemed to be relevant and within the scope of or the evaluation, the individual contracts were classified across several dimensions to allow for further analysis to support the development of the approach and methodology for next phases of the evaluation. Once again, the classification was mostly based on the information available in the key fields of the CRIS database. More detailed classification can only be carried out on a selected sample of interventions, for which documents or other data will be obtained.

##### **2.A.5.1 Sectors**

The ToR for this evaluation stipulates four thematic sectors within the scope of the evaluation:

- Food Security, Nutrition and Agriculture (FSNA);

<sup>3</sup> <http://www.oecd.org/dac/stats/dacandcrscodelist.htm>

- Health;
- Environment and Climate Change (EnvCC);
- Science, Information Society and Space (SISS).

Therefore, the first classification of contracts attempted to distribute the available contracts into one of the four sectors. Eventually, two more categories were added for i) contracts which were considered to be within the scope of the evaluation and yet not fitting within any of the four sectors (“Other”), and ii) for academic and higher education mobility contracts (“Mobility”) managed by the EACEA. Due to their particular nature, these mobility contracts - mainly for grants to master students, doctoral and post-doctoral researchers and academic staff - have been treated separately from the main inventory.

The classification was made first at the level of Decision, where the decision as a whole clearly indicated the sector – for example Decision number DCI-FOOD/2011/023-193: *Global Programme on Agricultural Research for Development (GPARD)*. Where the decision was global in nature or not specific enough, sector classification was carried out for each contract under the decision individually – for example Decision number FED/2011/022-053 *ACP Science and Technology programme* contains contracts classified as Environment (*NEED: network of excellence in renewable energy technologies for development*, contract number c-330221) or Agriculture (*International Fine Cocoa Innovation Centre (IFCIC)*, number c-330204). The following table outlines the content of the sectors. The inventory tables in Part C of this annex include all sectors except mobility. Detailed information on the grants disbursed under the mobility schemes are given in the global case study on Higher Education in Annex 3.B.6.

Table 3 Sector classification of the inventory

Sector	Includes
<b>Thematic sectors</b>	
Food Security, Nutrition and Agriculture (FSNA)	Decisions and contracts attributable to the sector Contracts in higher education (support to universities or university networks) where objectives are attributable to the sector (e.g. <i>Development of a Regional Master Programme in Pig Production and Food Security in Caribbean Countries</i> , nr. 320193)
Health	Decisions and contracts attributable to the sector Contracts in higher education (support to universities or university networks) where objectives are attributable to the sector (e.g. <i>European-Asian Postgraduate Curriculum on Biomedical Imaging Research (EAPCoBIR)</i> , nr. 128498)
Environment and Climate Change (EnvCC)	Decisions and contracts attributable to the sector Contracts in higher education (support to universities or university networks) where objectives are attributable to the sector (e.g. <i>Integrated waste management modules for different courses of graduate studies (INVENT)</i> , nr. 141284). Potential R&I contracts under the Global Climate Change Alliance (GCCA) have not been filtered yet and will be included in the Desk Phase.
Science, Information Society and Space (SISS)	Decision and contracts in “science” without being directly attributable to one of the above sectors (e.g. <i>New nanostructures materials and their use for bioaffinity applications and heterogeneous organic reactions in flow-mode</i> , nr. 168617) Decisions and contracts in information and communication technologies (e.g. <i>ACP - Information And Communication Technologies ICT Programme</i> , nr. FED/2007/020-793). Contracts related to Space related technology (global monitoring, satellite technology). Decisions and contracts in higher education (support to universities or university networks), where unattributed to the above sectors (e.g. <i>EDU-LINK - Cooperation Programme In Higher Education</i> , nr. FED/2005/017-570 – those contracts under this decision, not distributed under other sectors.)

Sector	Includes
<b>Other sectors</b>	
Other	Contracts deemed to be within the scope of the evaluation, yet not attributable to the above sectors. Most of these contracts are in the area of innovation, especially innovation for competitiveness and private sector development (e.g. <i>Chile Innovation And Competitiveness Support Programme</i> , nr. DCI-ALA/2007/019-015)
Mobility	Decisions and contracts for academic mobility programmes financed by DEVCO – e.g. Erasmus Mundus, Intra ACP Academic mobility scheme, Tempus. Due to their specific nature and implementation, these contracts were treated separately in the inventory, so as not to skew the overall data presentation for the SISS sector. Requires additional data from EACEA, hence not yet included in the detailed inventory.

### 2.A.5.2 Geographic distribution

To be able to identify the flows of financial support to Research and Innovation as distributed to countries and regions, a geographic classification of contracts was made. This classification was largely based on the “contract benefitting zone” field at contract level available in CRIS.

In the first step, the benefitting zone indicated for each contract was translated from the code available in CRIS to its full expression using country and regional codes from the system. In CRIS, the content of the field “contract benefitting zone” can indicate an individual country, a set of (or even all) countries, a sub-region or a region. The level of the benefitting zone (or type of contract) was hence classified using the values Global, Regional or Country.

In a second step, contracts were also allocated into regions along DEVCO programming lines for further analysis. For regional contracts, the key manual task was here to disentangle the benefitting zone as coded in CRIS into regions of comparable levels. Specifically, three different levels of classification were chosen for regions. The highest level consists of four regions of very large size: (i) Africa, Caribbean and Pacific (ACP) countries; (ii) Asia, (iii) ENP and (iv) Latin America. Subsequently, each of these regions was split into two to five sub-regions. Last, the sub-region Sub-Saharan Africa was further divided into four smaller regions. Some regional contracts covered more than one sub-region and could hence not be assigned to a specific sub-region. Individual countries were already correctly assigned to regions in CRIS. The different regions and sub-regions were reclassified to be mutually exclusive, except for an additional category “Africa” that summarise all R&I support to countries and sub-regions on the African continent and cuts across several sub-regions.

The following table indicates the benefitting zone available in CRIS and the allocation into the regional, sub-regional and level-of-benefitting-zone classifications.

Table 4 Geographic classification

Contract benefitting zone (label in CRIS)	Region allocated	Sub-region allocated	Level of benefitting zone
All countries	Global		Global
<i>Individual Central African countries*</i>	ACP	Sub-Saharan Africa: Central Africa	Country
<i>Individual Caribbean countries</i>		Caribbean	
<i>Individual East African countries*</i>		Sub-Saharan Africa: East Africa	
<i>Individual Pacific countries</i>		Pacific	
<i>Individual Southern African Region* countries</i>		Sub-Saharan Africa: Southern African Region	
<i>Individual West African countries*</i>		Sub-Saharan Africa: West Africa	
ACP Countries		Not available	
African Union*		Not available	Regional
Central Africa Region*		Sub-Saharan Africa: Central Africa	
Central Africa And Sahel Region*		Not available	
East Africa Region*		Sub-Saharan Africa: East Africa	
Eastern, Southern Africa and The Indian Ocean 9EDF		Not available	
General / Enveloppe Administrative / Intérêts (EDF domain)		Not available	
Indian Ocean Region		Not available	
Intra ACP Allocations		Not available	

<b>Contract benefitting zone (label in CRIS)</b>	<b>Region allocated</b>	<b>Sub-region allocated</b>	<b>Level of ben- efitting zone</b>
Pacific Region		Pacific	
Regional EDF		Not available	
REGIONAL EDF – Reserve/Non Re- parti Par Region		Not available	
Southern Africa Region*		Sub-Saharan Africa: Southern African Region	
West Africa Region*		Sub-Saharan Africa: West Africa	
<i>Individual Central Asian countries</i>	Asia	Central Asia	Country
<i>Individual North East Asian countries</i>		North East Asia	
<i>Individual South Asian countries</i>		South Asia	
<i>Individual South East Asian countries</i>		South East Asia	
Central Asia Region		Central Asia	Regional
Gulf states		Gulf	
South Asia Region		South Asia	
South East Asia Region		South East Asia	
Tacis Region		Central Asia (case-by-case check)	
<i>Individual ENP East countries</i>		ENP	
<i>Individual ENP South countries*</i>	ENP South		
Eastern Europe (ENPI East)	ENPI East		Regional
Mediterranean Region*	ENP South		
Proche Et Moyen Orient*	ENP South (verified for all contracts)		
Region Neighbourhood	Not available		
Tacis Region	ENP East (case-by-case check)		
<i>Individual Andean Community Coun- tries and Chile</i>	Latin Ameri- ca		
<i>Individual Central American countries</i>		Central America	
<i>Individual MERCOSUR countries</i>		Mercosur	
Comunidad Andina		Andean Community and Chile	Regional
Latin America Countries		Not available	
Mercosur		Mercosur	
South America Region		Not available	

Note: \* indicate the contract benefitting zones considered as the additional cross-cutting region 'Africa'. Among the ENP South countries, Jordan and the Palestinian Territories were excluded for this region.

Source: CRIS, Particip analysis

### 2.A.5.3 Channels of delivery

Finally, a classification of the funding channel for each contract was carried out, based primarily on the field "Contractor" available in CRIS. Two different categorisations were used for the contractor channel, which provides flexibility in the analysis. The first - more detailed - approach classifies the contractors using 12 different types: 'International Organisation', 'Regional Organisation' and ten types of national contractors. The second approach aggregates the national contractors into only two types based on whether they are located inside or outside the ('National EU' and 'National Non-EU'). The following table presents the categories of contractors used for the classification of the inventory.

For private sector actors, civil society and other organisations, as well for contracts without contractor information ('not available'), the distinction between EU and non-EU was made on a case by case basis, if necessary using data from the websites of these contractors. In the case of firms, the locations used were those of firms' headquarters. For contracts without contractor name in the inventory the channel type was assigned based on information in the contract title wherever possible – this captured most of the contracts with unknown contractors<sup>4</sup>.

<sup>4</sup> Whenever this approach did not work, the next attempt was to look up and impute the most frequent contractor channel among all other contracts belonging to the same decision - which requires that the channel is known for



Table 5 Classification of contractor channels

<b>Channel (detailed classification)</b>	<b>Includes</b>	<b>Channel (simplified classification)</b>
Civil Society (EU) Civil Society (Non-EU)	NGOs and Civil society organisations Non-profit foundations and trusts	National EU National Non-EU
EU Member Institution	Governments and governmental agencies of EU member states	National EU
Government Institution (Non-EU)	Governments and governmental agencies of partner (non-EU) countries	National Non-EU
Individual Consultant (Non-EU)	Contracts concluded with individuals, all assumed to be non-EU in the absence of more detailed information	National Non-EU
International Organisation	International and intergovernmental organisations, including UN agencies, the World Bank group, IFAD, WHO	International
Local Authority (EU) Local Authority (Non-EU)	Local governance authorities	National EU National Non-EU
Private Sector (EU) Private Sector (Non-EU)	Consultancies and other private sector companies, assigned to EU and non-EU based on the location of their headquarters	National EU National Non-EU
Regional Organisation	Intergovernmental regional organisations, such as the African Union, Southern African Development Community secretariat, Secretariat of The Pacific Community, etc.	Regional
Research Institute (EU) Research Institute (Non-EU)	Research institutes based in EU or partner countries	National EU National Non-EU
University (EU) University (Non-EU)	Universities based in EU or partner countries	National EU National Non-EU
Other (EU) Other (Non-EU)	Type of contractor not identifiable (apart from division into EU and non-EU)	National EU National Non-EU
Not available (Non-EU)	Field not indicated in CRIS and channel type not imputable from contract or decision title (assumed to be non-EU)	National Non-EU

## 2.B Inventory findings and analysis

This section presents a synthesis analysis of the resources allocated by DEVCO to support Research and Innovation in partner countries in the period 2007-2013.

The objective of the inventory is twofold. First, it illustrates the *realised* intervention logic, as compared to the *intended* intervention logic coming from the analysis of normative policy (see Volume 1 Section 4 and Volume 2 sector introductions). Second, it compactly illustrates the scale, the sectors and the geographic distribution of EU interventions and their evolution over time using tables and graphs based on objective data, such as contracted funds, year of commitment, budget line, etc. directly extracted from the available Commission database. The source of all data in this section is the CRIS database and the evaluation team analysis, unless otherwise specified.

### Box 1 Clarifications on the terms used

Some clarifications of the wording used are necessary before considering the results of this analysis.

The following terms have been used to characterise the various financial amounts:

- *Allocated amount (related to the financing decisions)*: This refers to the financial amount indicated in the financing decision of an intervention. The details of a financing decision are usually entered in the Commission's financial system at the latest at the formulation stage of an intervention. These sums are found at "Decision level" in the CRIS database and are marked as "allocated amount" in the database.
- *Contracted amount (commitments)*: These sums are found at "contract level" in the CRIS database. They refer to the amount agreed between the EC and a contracting party that will implement part of an intervention.
- *Paid amount (disbursements)*: These amounts refer to the money that was disbursed by the EU to implement the intervention until end 2013 (data as per 5 February 2014). These sums were also found at

at least some of the contracts under a given decision. For the remaining (less than a dozen) contracts, the contractor channel 'National Non-EU' was assigned. The national level is the most common contractor channel whatever the benefitting zone, and 'Non-EU' was chosen for simplicity.

“contract level” in the CRIS database. Funds contracted can be only partially disbursed for two main reasons: i) the contract is still on-going and further disbursements are planned; ii) the intervention funded under the contract was only partially carried out or funds were underspent.

### 2.B.1 Main findings

The inventory constructed in line with the previous methodology shows that DEVCO committed a total of EUR 1,138 million for support to Research and Innovation in partner countries over the evaluation period.

Out of this amount, EUR 1,025 million are associated with the four thematic sectors FSNA, Health, EnvCC and SISS. Food Security, Nutrition and Agriculture represented the largest proportion (511 million EUR) of total commitments. In addition, DEVCO contributed to academic mobility grants for doctoral candidates, post-doctoral researchers and academic staff worth at least EUR 281 million.

In terms of geographic distribution, the primary benefitting zone of contracts was the regional level (relative to the global level and individual countries). Sub-Saharan Africa and Asia received the largest shares of total commitments among all regions, through both regional and individual country contracts. China and South Africa lead the ranking of country-level commitments. Within countries, contracts tend to be a highly concentrated in a specific key sector (different for each country).

The main funding instruments were the geographical domain EDF and the thematic domain DCI-Food. Each thematic sector used three four to major funding instruments. Finally, the inventory reveals that EU support was contracted through a range of different actors/channels, with international organisations, private sector, universities and research institutes at the top of the list for the thematic sectors.

### 2.B.2 Global overview and evolution of commitments

Overall, a total of EUR 1,138 million was found to be committed by DG DEVCO for R&I related interventions in partner countries in the period of 2007-2013. This also includes contracts signed before the evaluation period, but for which most of the disbursements fell within 2007-2013. Therefore, some individual contracts in the inventory are traced back even to the 1990s, while the overwhelming majority of the contracts (both in terms of number of contracts and their aggregated value) were signed since 2005.

Table 6 below shows the time trend in the total amounts contracted for all sectors (excluding mobility discussed further below). The total of committed funds shows a slightly upward trend over the evaluation period, albeit with highly fluctuating individual yearly values, where high peaks were followed by setbacks in the next years. In the years of the evaluation period 2007-2013, the highest commitments were in the years 2008 and 2013 (EUR 233 million and 216 million respectively), while reaching lowest values in 2007 and 2012 (EUR 78 million and 83 million respectively).

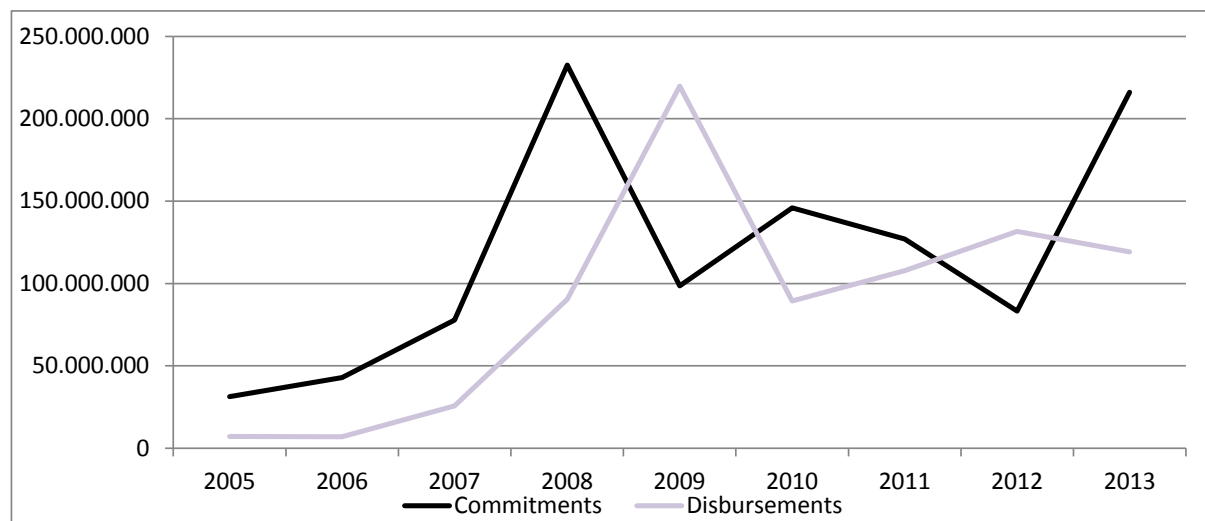
Table 6 Overall commitments for R&I at contract level, all sectors

Year of contract	Total contracted (EUR)	% of total contracted	Number of contracts
1999	2,494,068	0.22%	4
2000	10,298,123	0.90%	8
2001	14,015,566	1.23%	18
2002	17,804,973	1.56%	14
2003	12,496,577	1.10%	27
2004	25,975,379	2.28%	27
2005	31,245,890	2.74%	61
2006	42,913,867	3.77%	41
2007	77,812,763	6.84%	88
2008	232,531,974	20.43%	157
2009	98,517,829	8.65%	121
2010	145,845,423	12.81%	158
2011	127,059,850	11.16%	100
2012	83,176,297	7.31%	86
2013	216,125,813	18.99%	112
<b>Total</b>	<b>1,138,314,391</b>	<b>100.00%</b>	<b>1,022</b>

Source: CRIS, Particip analysis

The next figure below shows that, similarly as for commitments, the global disbursement figures do not show any clear trend. The highest peak was reached in 2009 (EUR 220 million), followed by a relative levelling of the disbursements in the range of EUR 100-130 million per year.

Figure 1 Commitments and disbursements for all sectors (EUR)



Source: CRIS, Particip analysis

In addition, DEVCO contributed to academic mobility grants at doctoral and post-doctoral levels, as well as for academic staff, under the three programmes Erasmus Mundus Action 2, Intra-ACP Mobility and Tempus IV. Yet, the specific funding share of DEVCO for these academic levels and in the countries relevant for this evaluation can only be approximated since the programmes are implemented through the EACEA. On the one hand, a given mobility contract listed in CRIS may also include grants at undergraduate level or in countries beyond the coverage of this study. On the other hand, only aggregated EACEA data on final beneficiaries for each of the three schemes was available. It was not possible to link these data with specific contracts in the R&I inventory, but only to determine the overall value of grants for (post-)doctoral researchers and academic staff: EUR 281 million. Results are shown in Table 7 below, based on data provided by the EACEA in late 2014.

Table 7 *Academic mobility grants at doctoral and post-doctoral levels and for academic staff*

<i>Programme</i>	<i>Total funding in EUR</i>	<i>Beneficiaries included</i>	<i>Years of data</i>
Erasmus Mundus Action 2	237,189,158	Total worldwide scholarship amount for 10,568 doctoral candidates, post-doctoral researches, academic staff, excluding those with nationality from EU-28, EFTA and OECD countries (except Chile, Mexico), Japan, Singapore, Macao, Taiwan, Emirates	2007-2012
Intra-ACP	4,130,513	Total scholarship amount for 205 doctoral candidates and staff in all ACP countries	2011-2012
Tempus IV	39,548,812	Total maximum grants awarded for 41 projects with post-doc focus in Tempus IV countries	2008-2013
<b>Total</b>	<b>280,868,482</b>		

Source: EACEA, *Particip* analysis

Given the limitations explained above, mobility is not included in the remainder of the inventory analysis.

### 2.B.3 Commitments by sector

All contracts in the inventory were classified based on the four thematic sectors of the evaluation:

- Food Security, Nutrition and Agriculture (FSNA);
- Health;
- Environment and Climate Change (EnvCC);
- Science, Information Society and Space (SISS).

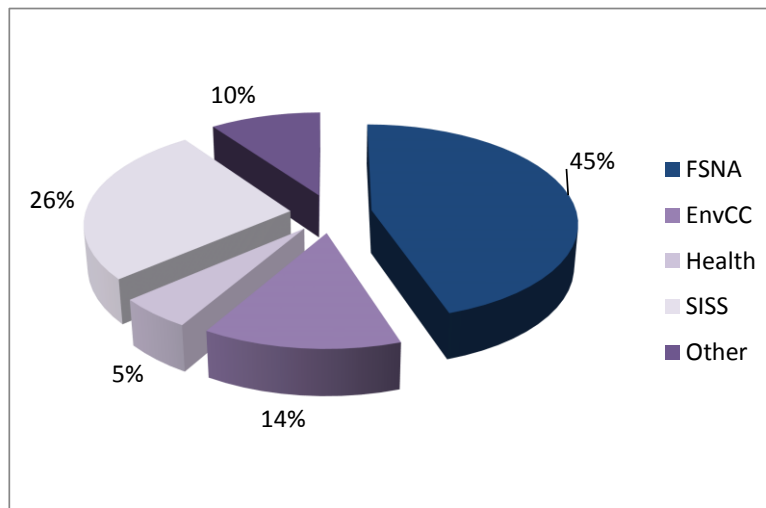
An additional sector ("Other") was added for contracts deemed to be within the scope of the evaluation, yet not attributable to the four key sectors above. The subsequent table and figures present the distribution of the total contracted amounts across sectors.

Table 8 *Total commitments by sector*

<i>Sector</i>	<i>Total contracted (EUR)</i>	<i>Number of contracts</i>
Food Security, Nutrition and Agriculture (FSNA)	511,156,844	381
Health	58,925,013	44
Environment and Climate Change (EnvCC)	154,789,754	110
Science, Information Society and Space (SISS)	300,500,585	421
Other	112,942,196	66
<b>Total</b>	<b>1,138,314,391</b>	<b>1,022</b>

Source: CRIS, *Particip* analysis

Figure 2 Sector allocation of commitments (shares of total contracted amount)



Source: CRIS, Particip analysis

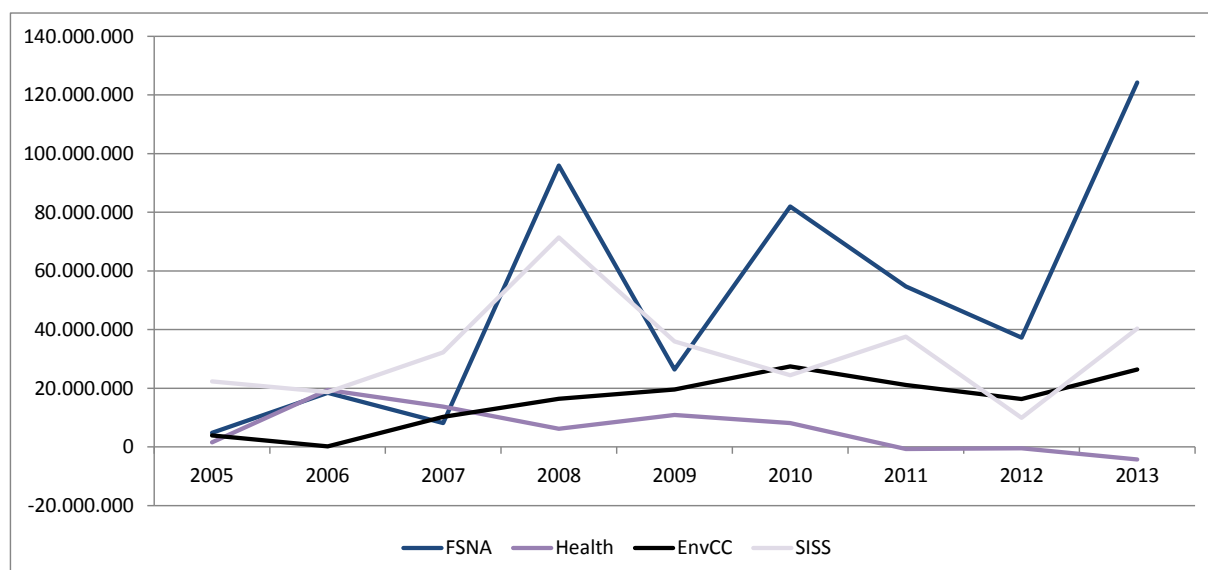
Food Security, Nutrition and Agriculture (FSNA) represent the largest share of commitments of all sectors (EUR 511 million or 45%). Science, Information Society and Space (SISS) received EUR 301 million which represents 26% of total funds committed for all sectors.

The remaining sectors, Environment and Climate Change (EnvCC) and Health, represent comparatively only very small proportion of the funds supporting research and innovation, with EUR 155 million and EUR 59 million respective allocations, or 14% and 5%.

In all sectors together, the average size of an individual contract is EUR 1.1 million, with the lowest average size in SISS (EUR 0.7 million). The size of individual contracts ranges from a few thousand EUR to several million EUR.

Distributing the commitments for individual thematic sectors by yearly allocations, one can see relatively large fluctuations in all sectors. Only FSNA shows a somewhat discernible upward trend, with EUR 61 million of average allocations per year in the period 2007-2013. SISS received average yearly allocations of about EUR 36 million in the same period, albeit with a peak of over EUR 70 million in 2008. Contracts in EnvCC averaged around EUR 20 million per year in 2007-2013, while contracts in Health were even lower at an average of EUR 5 million per year, tapering off into negative numbers (i.e. more decommitments than newly committed amounts) in the last three years of the evaluation period.

Figure 3 Evolution of commitments for thematic sectors (EUR)



Source: CRIS, Particip analysis

## 2.B.4 Geographic distribution

### 2.B.4.1 Geographic scope (level of benefitting zone)

The contracts in the inventory were allocated to three different levels of benefitting zones:

- Global contract (benefitting zone “All countries”);
- Regional contract;
- Individual country contract.

The following table and figures illustrate that regional contracts constitute the majority of all contracts for thematic sectors, both in total financial volume (EUR 546 million or 48%) and in number of contracts. Global contracts represent a relatively small number of contracts (2%) but show a disproportionately larger financial volume (EUR 178 million or 16%). The majority of the global contracts are for contributions to international organisations, and as such have mostly larger than average values.

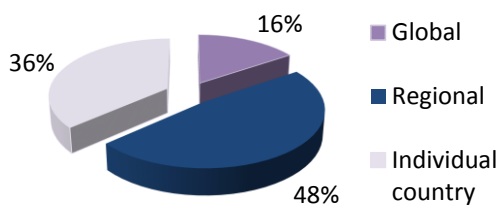
**Table 9** *Geographic scope of commitments for thematic sectors as determined by benefitting zone*

Scope	Total amount contracted (EUR)	Number of contracts
Global	178,235,930	24
Regional	545,591,700	529
Individual country	414,486,761	469
<b>Total</b>	<b>1,138,314,391</b>	<b>1,022</b>

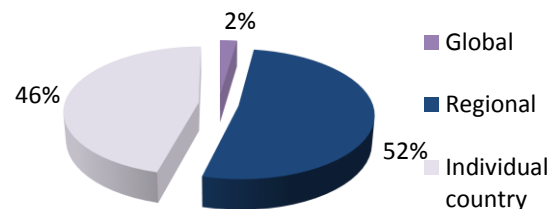
Source: CRIS, Particip analysis

**Figure 4** *Geographic scope of commitments for thematic sectors as determined by benefitting zone*

**Value of contracts:**



**Number of contracts:**



Source: CRIS, Particip analysis

### 2.B.4.2 Commitments by region and thematic sector

Regions are classified at three different levels. At the top level, four regions of very large size are considered: (i) Africa, Caribbean and Pacific (ACP) countries; (ii) Asia, (iii) ENP and (iv) Latin America. Subsequently, each of these regions is split into two to five sub-regions. Last, the sub-region Sub-Saharan Africa is further divided into four smaller regions.

The following table and figure illustrate the distribution of commitments by (highest-level) region. Total commitment per region is composed of contracts to individual countries in the given region, plus contracts to the entire region. Global contracts are not included precisely because they are not linked to specific regions.

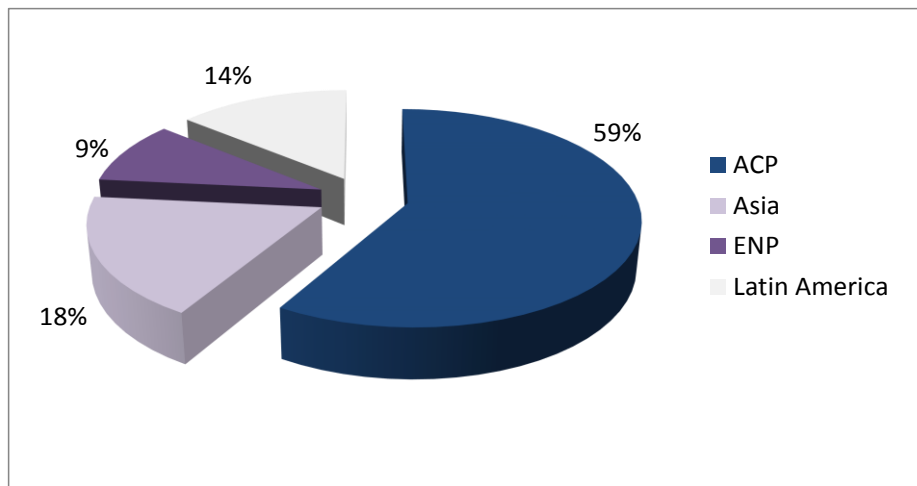
Table 10 Commitments per region (regional and individual country contracts)

Region	Individual country contracts (EUR)	Regional contracts (EUR)	Total (EUR)
ACP	196,973,416	359,134,176	556,107,591
Asia	88,663,237	82,664,304	171,327,542
ENP	81,716,098	8,158,406	89,874,504
Latin America	47,134,010	85,634,814	132,768,824
<b>Total</b>	<b>414,486,761</b>	<b>535,591,700</b>	<b>950,078,461</b>

Source: CRIS, Particip analysis

The figure below is based on total commitments shown in the last column of the previous table. It shows that the ACP region is the biggest recipient of support for R&I, both in terms of individual country and regional contracts, with a share of 59% (EUR 556 million) of all geographically assigned commitments (i.e. related to regional or individual country contracts). The second largest recipient was Asia, with 18% (EUR 171 million) of all commitments.

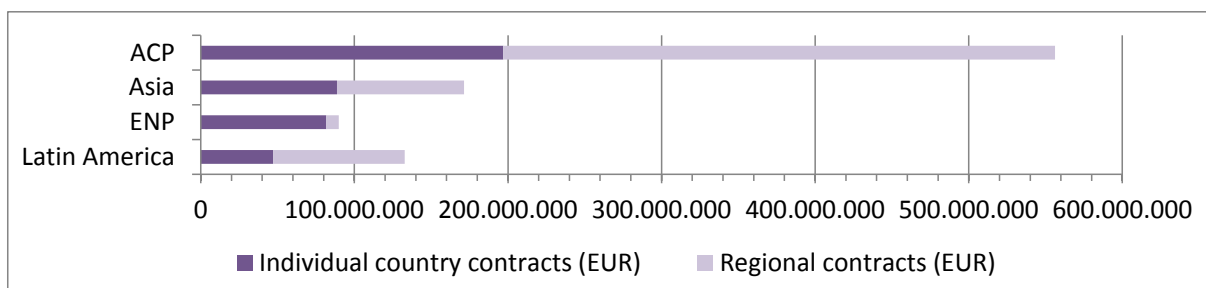
Figure 5 Shares of total commitments (regional plus individual country contracts) per region



Source: CRIS, Particip analysis

The relative weight of individual and regional contracts is depicted in the figure below. At the level of large regions, the ENP region has a remarkably large share of commitments financed through individual country contracts while the other regions employ a more balanced financing model.

Figure 6 Values of total commitments per region (individual country and regional contracts)

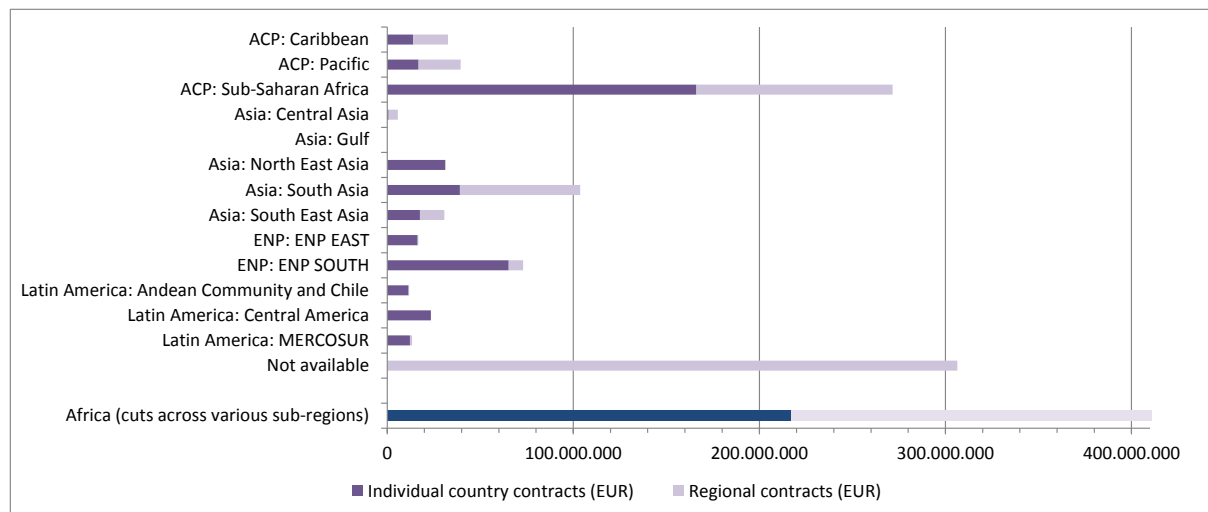


Source: CRIS, Particip analysis

The next figure disaggregates the benefitting zone level by sub-region. Note, however, that half of the regional contracts can only be assigned to large regions (ACP, Asia, ENP, Latin America), but not to specific sub-regions ('Not available'). Yet, the graph provides sufficient data for two key insights. First, while the relative weights of individual country vs. regional contracts do not vary much within large regions, they do if sub-regions are considered. Second, Sub-Saharan Africa is the largest sub-regional

recipient of commitments for R&I with EUR 272 million, followed at some distance by South Asia (EUR 104 million).

**Figure 7** Values of total commitments per sub-region (individual country contracts and contracts to specific sub-regions)

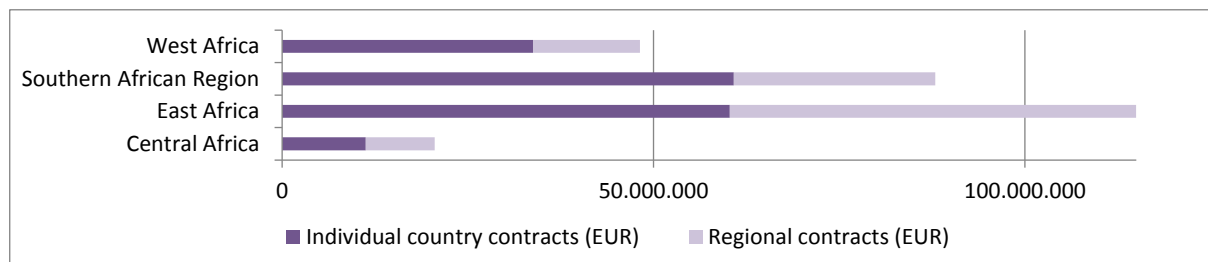


*Note:* Sub-regions are mutually exclusive except for Africa, which includes various sub-regions, specifically all country and regional commitments to: ACP - Sub-Saharan Africa; ENP SOUTH (except country contracts with Jordan and the Palestinian Territory); regional contracts to Central Africa & Sahel Region.

Source: CRIS, Particip analysis

Given its large share in funding and its geographic size, Sub-Saharan Africa is split into further sub-regions, as shown in the figure below. All regional contracts with benefiting zone Sub-Saharan Africa can also be assigned to any of these Sub-Saharan African sub-regions.

**Figure 8** Values of total commitments per sub-region in Sub-Saharan Africa (individual country contracts and contracts to specific sub-regions)



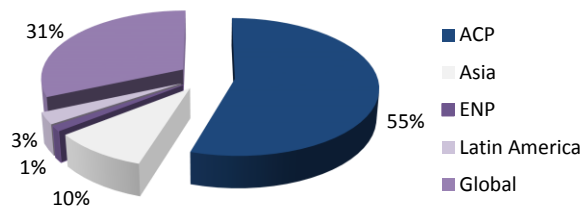
Source: CRIS, Particip analysis

To analyse regional patterns by sector, the set of figures below reverts to the highest-level classification of regions and adds global contracts as an extra category on top of the four regions. The four graphs show the respective distribution of commitments by region for each of the four thematic sectors. Note that the relative regional weights (e.g. for ACP) of all these four sectors altogether differ somewhat from Table 10 above since that table also includes the sector "Other".

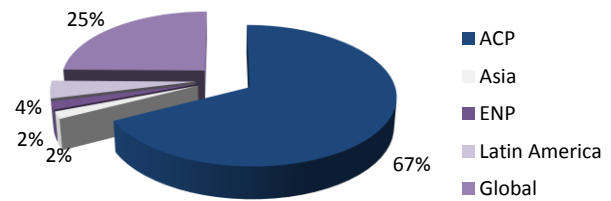


Figure 9 Commitments per region by thematic sector (shares of contracted amounts)

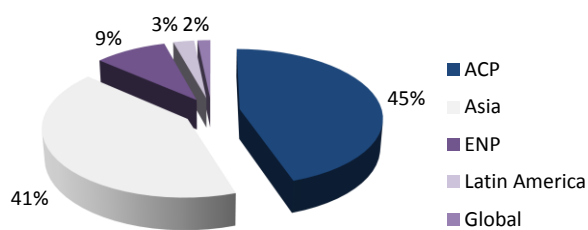
**Food Security, Nutrition and Agriculture:**



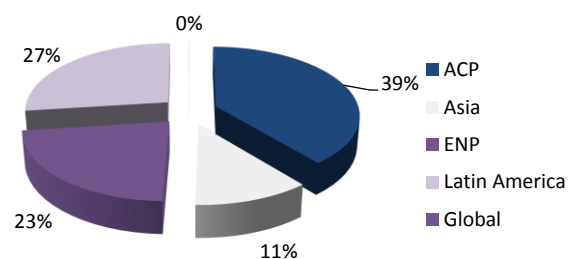
**Health:**



**Environment and Climate Change:**



**Science, Information Society, Space:**



Source: CRIS, Particip analysis

In Food Security, Nutrition and Agriculture, 55% of the total amount was committed to the ACP region and 31% through global contracts. This geographic distribution is broadly similar for Health. In contrast, for Environment and Climate Change, commitments are almost evenly spread between the ACP region and Asia (45% and 41% respectively), while the volume of global contracts is negligible. Global contracts also do not play any important role in SISS either. The SISS sector shows the most even regional distribution of commitments.

### 2.B.4.3 Allocation by country

The following table presents the 15 countries (out of 82 in total) with the highest commitments through individual country contracts, and the distribution of these funds among the sectors. Each of these 15 countries received individual commitments of more than EUR 10 million for R&I. The list is headed by South Africa, China and Mexico. A common pattern is that country-specific support tends to be focused on one, at most two key sectors per country. Numbers in shaded cells indicate the sector with the largest weight in the given country (row).

Table 11 Top 15 countries receiving EU support for R&I (individual country contracts), and its distribution within sectors

Country	No. of contracts	Total contracted (EUR)	FSNA	Health	Env CC	SISS	Other
SOUTH AFRICA	7	34,377,348	0%	11%	1%	1%	87%
CHINA	77	29,120,760	2%	0%	67%	29%	2%
MEXICO	16	18,159,303	0%	0%	0%	56%	44%
ALGERIA	6	16,624,473	7%	0%	0%	93%	0%
BANGLADESH	9	15,819,702	77%	0%	16%	7%	0%
KENYA	11	15,531,579	86%	0%	14%	0%	0%
UGANDA	4	15,323,972	69%	31%	0%	0%	0%
EGYPT	41	15,002,600	8%	8%	5%	78%	1%
TUNISIA	11	14,405,190	0%	0%	18%	81%	1%
JORDAN	20	14,309,972	0%	0%	52%	48%	0%
UKRAINE	11	12,689,815	0%	0%	4%	92%	3%
INDIA	6	12,659,958	0%	0%	19%	58%	23%
ETHIOPIA	6	12,158,212	18%	0%	82%	0%	0%
PAPUA NEW GUINEA	9	11,066,421	49%	0%	7%	44%	0%
TANZANIA	4	10,490,413	52%	48%	0%	0%	0%

Source: CRIS, Particip analysis

### 2.B.5 Distribution by domain

The EU support to R&I in partner countries was funded by a variety of financing instruments, both geographic and thematic. The following table shows the distribution of funding instruments for each sector, as well as for all sectors together (last column). Each cell shows the percentage of total commitments in the given sector financed through the instrument listed in the row (percentages hence add up vertically, not horizontally). The shaded cells highlight instruments that have financed more than 10% of total commitments in the given sector (column). Empty cells indicate that the corresponding funding instrument was not used in the sector.

Table 12 Distribution of commitments by domain and sector (shares of contracted amounts)

Domain	FSNA	Health	EnvCC	SISS	Other	All sectors
AFS	0.41%	3.48%		0.36%		0.46%
ALA		2.56%	0.52%	7.07%	0.61%	2.13%
ASIE	1.12%	1.61%	3.04%	2.57%	11.28%	2.80%
BAN	0.20%			0.56%		0.24%
DCI-AFS	0.38%		0.32%	0.91%	26.53%	3.09%
DCI-ALA	0.59%	1.26%	2.00%	19.15%	25.04%	8.14%
DCI-ASIE	0.34%		27.54%	3.90%	12.53%	6.17%
DCI-EDUC					1.45%	0.14%
DCI-ENV	0.29%		34.47%			4.82%
DCI-FOOD	58.95%					26.47%
DCI-NSAPVD		0.29%		0.13%	1.74%	0.22%
DCI-SUCRE	1.43%			0.07%		0.66%
ENPI	0.25%		6.50%	12.41%	0.13%	4.29%
ENV			1.18%			0.16%
FED	33.24%	16.26%	21.79%	37.12%	19.64%	30.48%
FOOD	2.25%					1.01%
MED	0.21%	1.93%	0.47%	6.47%	0.24%	1.99%
PP-AP		28.19%	1.11%	5.51%		3.06%
SANTE		44.44%				2.30%
SUCRE	0.25%					0.11%
TACIS	0.07%		1.07%	3.76%	0.81%	1.25%
<b>Grand Total</b>	<b>100.00%</b>	<b>100.00%</b>	<b>100.00%</b>	<b>100.00%</b>	<b>100.00%</b>	<b>100.00%</b>

Source: CRIS, Particip analysis

As evident from the last column, 30% of the total contracted amount was financed through the EDF/FED and more than one quarter through the DCI food security instrument.

This distribution was predictably different when the total was separated according to the thematic sectors:

- In Food Security, Nutrition and Agriculture, the main instrument used was the thematic food security instrument under the DCI (59%), followed by the EDF with one third of the contracted amounts (33%).
- Similarly to FSNA, nearly half (44%) of the funding for Health is dominated by a thematic instrument, in this case SANTE. The key difference with FSNA is that, in Health, Pilot Projects & Preparatory Actions (PP-AP) account for a much larger share (28%) while EDF funding is lower (16%).
- In EnvCC, the thematic instrument (DCI-ENV) dominates again (34%) but the geographic instruments DCI-ASIE and EDF also play an important role (28% and 22% respectively).
- In contrast, the SISS sector was mostly funded via the EDF (37%), geographic allocations under the DCI for Latin America (19%) and the ENPI (12%).

## 2.B.6 Distribution by channel of delivery

The following tables illustrate the distribution of contracted amounts for all sectors by channel of delivery, i.e. contractors. As explained in the methodological section of this annex, two different categorisations for the contractor channel were used. The first - more disaggregated - classification uses 12 different types of contractors: 'International Organisation', 'Regional Organisation' and ten types of national contractors. The second approach aggregates the national contractors into only two types based on whether they are located inside or outside the ('National EU' and 'National Non-EU').

In the tables below, cells with percentage numbers indicate the shares of total commitment for R&I (grand total of 1.138 billion EUR) financed through the given channel. The shaded cells indicate channels with shares of more than 5%. Cells in bold summarise the sub-totals for the four categories International Organisation, Regional Organisation, National EU and National Non-EU.

The largest type of contractor is International Organisations, which was the channel for 27% of total commitments. EU-based private sector firms and universities followed with 14% and 12%, respectively. It is worth noting that the combined value of commitments for universities and research institutes was just about one third of the total value of the inventory.

Table 13 Contracted amounts: international and regional channels

Type of contractor	Contracted amount (EUR)	% of grand total contracted
International (Organisation)	307,666,033	27.03%
Regional (Organisation)	44,249,010	3.89%

Source: CRIS, Particip analysis

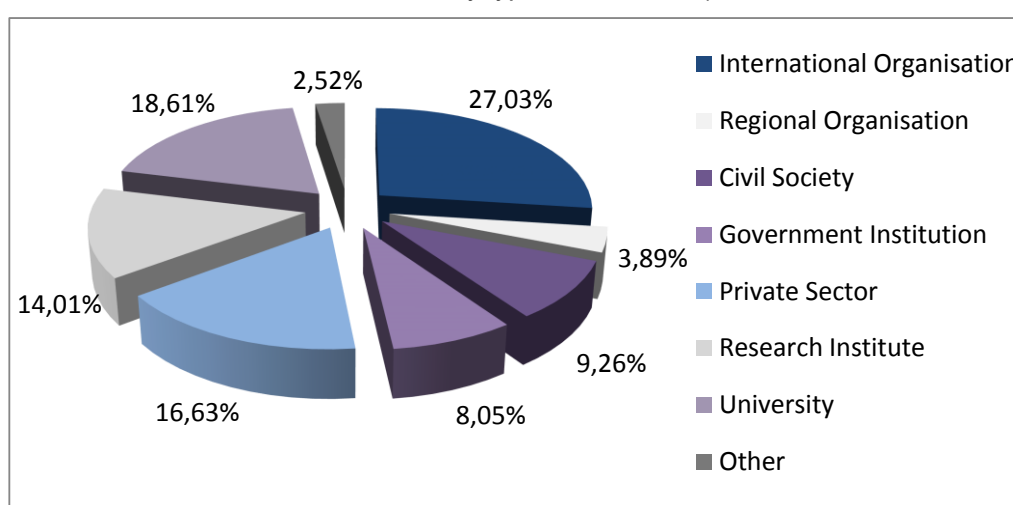
Table 14 Contracted amounts: national channels

Type of contractor (detailed classification)	National EU		National Non-EU	
	Contracted amount (EUR)	% of grand total contracted	Contracted amount (EUR)	% of grand total contracted
Civil Society	74,103,214	6.51%	31,279,983	2.75%
EU Member State	12,495,757	1.10%	-	-
Government Institution	-	-	91,682,274	8.05%
Individual Consultant	-	-	4,097,822	0.36%
Local Authority	1,259,505	0.11%	2,629,211	0.23%
Not Available	-	-	1,457,805	0.13%
Other	2,307,942	0.20%	4,469,780	0.39%
Private Sector	156,297,420	13.73%	32,983,930	2.90%
Research Institute	74,116,297	6.51%	85,323,713	7.50%
University	136,286,864	11.97%	75,607,831	6.64%
<b>Sub-total</b>	<b>456,866,999</b>	<b>40.14%</b>	<b>329,532,348</b>	<b>28.95%</b>

Source: CRIS, Particip analysis

Based on the previous table, the figure below depicts the distribution of contract amounts by detailed contractor channel (without separating EU vs. Non-EU locations for contractors at the national level).

Figure 10 Distribution of commitments by type of contractor (shares of contracted amounts)

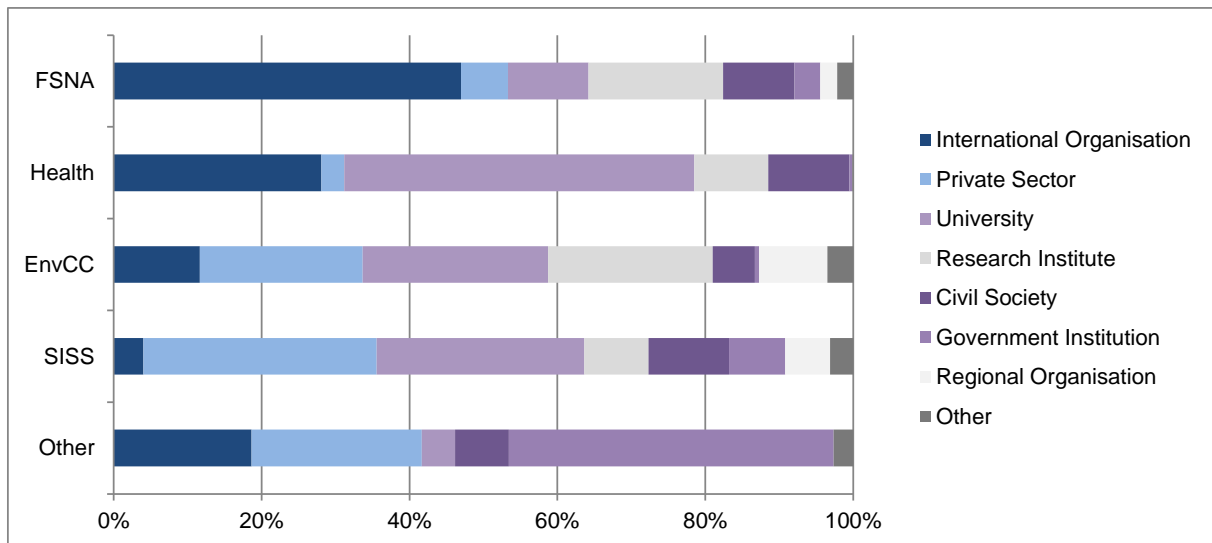


Source: CRIS, Particip analysis

Finally, the following figure shows the use of funding channels in each sector. The graph reveals that the contractor class 'International Organisations' dominates commitments in the FSNA sector, where-

as Health, EnvCC and SISS have relative high shares contracted through Universities and Research Institutes.

Figure 11 Distribution of contracted amounts by sector and type of contractor



Source: CRIS, Particip analysis

## 2.C Detailed inventory table

The following table lists all contracts identified for the inventory according to the methodology described in Annex 2.A above. Contracts are sorted by sector and, within sectors, by contract number.

Table 15 Inventory of DEVCO-financed contracts related to Research and Innovation

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
FSNA	ASIE/1998/002-571	108962	2005	Organic Farming: Ethical, Economical, Scientific and Technical Aspects in a Global Perspective (HRD and CD)	Country	CHINA	Asia	Natl. EU	632.009
FSNA	ASIE/2004/006-130	110005	2005	The Re-establishment of Human Resources, Curricula, Systems and Institutions at the Agricultural Faculty of the Syiah Kuala University in Aceh	Regional		Asia	Natl. EU	731.244
FSNA	ASIE/1998/002-571	110999	2005	A management and QA framework to support ICT-based learning in sustainable livelihoods in the Himalayan region	Country	NEPAL	Asia	Natl. EU	528.286
FSNA	ASIE/2002/004-032	114285	2006	(Open (Re)source for Commerce in Horticulture aided by species Identification Systems (Orchis	Regional		Asia	Natl. EU	282.142
FSNA	ASIE/2006/017-485	128010	2007	New Technologies for Safe Food: Challenges and Business Opportunities EU-ASIA. (TECHFOOD EU-ASIA)	Regional		Asia	Natl. EU	397.119
FSNA	ASIE/2006/017-074	129036	2007	Tackling BIOSECURITY between Europe and Asia: innovative detection, containment and control tools of Invasive Alien Species potentially affecting food production and trade	Regional		Asia	Natl. EU	651.753
FSNA	FOOD/2006/018-077	132003	2007	Programme intégré de recherche-action-plaidoyer pour le renforcement institutionnel et l'appui aux communautés de base dans la prise en charge des problématiques de nutrition et de planification familiale de la région de Tahoua, Niger	Country	NIGER	ACP	Natl. EU	1.039.383
FSNA	TACIS/2005/017-100	139099	2007	Euregio Karelia NP - DEVELOPMENT OF POTATO TECHNOLOGY IN THE REPUBLIC OF KARELIA 2007 - 2009	Country	RUSSIAN FEDERATION	ENP	Natl. EU	122.263
FSNA	TACIS/2005/017-100	140470	2007	NP LIT/POL/KAL: Support to the development of agricultural production on polder lands of the "Neighbourhood region"	Country	RUSSIAN FEDERATION	ENP	Natl. non-EU	256.448
FSNA	ASIE/2006/017-074	141176	2007	The Conversion of Local feeds into Human Food by the Ruminant	Regional		Asia	Natl. EU	579.509
FSNA	SUCRE/2006/018-256	142601	2007	Etude de faisabilité d'un programme d'appui à la recherche sucrière en Cote d'Ivoire	Country	CÔTE D'IVOIRE	ACP	Natl. EU	84.199
FSNA	ASIE/2004/006-246	142999	2007	Supervision of the Construction of New Central Veterinary Diagnostic and Research Laboratory (CVDRL), Ancillary Works and a Border Inspection Post, and partial rehabilitation of existing CVDRL Building under the AHDP (Afghanistan)	Country	AFGHANISTAN	Asia	Natl. EU	566.888
FSNA	FOOD/2006/018-464	144075	2007	Partenariat et innovations agropastorales pour relever la fertilité des sols des zones peuplées de l'Ouest du Burkina Faso (le cas de la province du Tuy): projet fertipartenaires	Country	BURKINA FASO	ACP	Natl. EU	1.186.594

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
FSNA	FOOD/2006/018-464	144084	2007	Projet d'appui à la sécurité alimentaire par la fertilité des sols dans les régions du centre nord et du plateau central au Burkina Faso PASAF	Country	BURKINA FASO	ACP	Natl. EU	1.792.115
FSNA	FOOD/2006/018-464	144103	2007	Projet d'amélioration de la fertilité des sols dans 30 villages de Koubritenga	Country	BURKINA FASO	ACP	Regional	1.220.826
FSNA	FOOD/2006/018-464	144105	2007	Projet d'amélioration durable de la sécurité alimentaire par la fertilisation des sols dans la province du Nayala BF	Country	BURKINA FASO	ACP	Natl. EU	1.051.432
FSNA	ASIE/2004/006-246	144598	2007	Design and construction of a Veterinary Diagnostic and Research Laboratory (CVDRL) and Ancillary Works in Kabul – under the Animal Health Development Programme (AHDP) for Afghanistan	Country	AFGHANISTAN	Asia	Natl. non-EU	1.340.784
FSNA	FOOD/2006/018-250	145720	2008	National Food Security Nutritional Surveillance Project	Country	BANGLADESH	Asia	Natl. non-EU	5.220.838
FSNA	DCI-FOOD/2008/023-939	148750	2008	2008-2010 EC contribution to the Consultative Group on International Agricultural Research (CGIAR).	Global		Global	International	67.403.727
FSNA	SUCRE/2006/018-550	148777	2008	Strengthening Research and Extension Support Services for Fiji Sugar Industry	Country	FIJI	ACP	Natl. non-EU	596.000
FSNA	DCI-FOOD/2008/019-807	153441	2008	Formulation mission FSTP Agri research AAP 2009	Regional		ACP	Natl. EU	93.631
FSNA	DCI-FOOD/2008/019-807	161175	2008	Identification & Formulation mission of global agricultural research programmes (Global non-CGIAR 2009-2010)	Global		Global	Natl. EU	31.068
FSNA	MED/2006/018-252	169438	2009	Traceability For Agriculture Competitiveness	Country	EGYPT	ENP	Natl. non-EU	315.406
FSNA	MED/2006/018-252	169452	2009	Development of Recombinant Poultry Vaccines	Country	EGYPT	ENP	Natl. non-EU	163.978
FSNA	DCI-SUCRE/2007/019-208	172211	2008	MISE EN OEUVRE DU PROGRAMME DE RECHERCHE AGRONOMIQUE SUR LA CANNE à SUCRE EN CÔTE D'IVOIRE- PRC.	Country	CÔTE D'IVOIRE	ACP	Natl. EU	812.900
FSNA	FED/1994/006-414	172969	2000	WORKPLAN 2000	Regional		ACP	Natl. non-EU	959.710
FSNA	FED/1994/006-414	172980	2002	( EX 07 P372 C035 ) WP 15052002-31122002	Regional		ACP	Natl. non-EU	370.943
FSNA	FED/1998/014-137	176559	1999	DARUDEC NAM/ARD/24/99-4 Y. + RIDER 1DEL. NOTE 5427 OF 28.4.99 + 6039 OF 13.10.99	Country	NAMIBIA	ACP	Natl. non-EU	2.332.602
FSNA	FED/1998/014-137	176560	1999	START-UP WP/CE 15.7.-14.10.99-27.12.99DEL. NOTE 5719 OF 16.7.99	Country	NAMIBIA	ACP	Natl. non-EU	49.501
FSNA	FED/1998/014-137	176561	2000	INTERIM WP/CE 28.12.99-31.3.2000DEL. NOTE 6813-28.12.99, SCR-D-2 FAX OF 11.1.2000	Country	NAMIBIA	ACP	Natl. non-EU	176.038
FSNA	FED/1998/014-137	176562	2000	WP/CE 1.4.2000-31.3.2001 / IMPREST ACCOUNT	Country	NAMIBIA	ACP	Natl. non-EU	583.815
FSNA	FED/1998/014-137	176564	2001	JOHS.GRAM-HANSSEN PRODUCT LTD NAM/ARD/05/2001 3.861.458 NAD	Country	NAMIBIA	ACP	Natl. EU	595.309

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
FSNA	FED/1998/014-137	176565	2001	AWP 2001/2002 - MIN AGRI WATER & RURAL DEV - 11.207.700 NAD	Country	NAMIBIA	ACP	Natl. non-EU	718.755
FSNA	FED/1998/014-137	176566	2001	NAM/ARD/10/2001 - UNIT EXPORT LTD - 301.545,27	Country	NAMIBIA	ACP	Natl. EU	63.345
FSNA	FED/1998/014-137	176567	2001	NAM/ARD/23/2001 - GFA TERRA SYSTEMS - 267.361 NAD	Country	NAMIBIA	ACP	Natl. EU	38.437
FSNA	FED/1998/014-137	176568	2002	CE 1/4/02-31/03/03 -MIN OF AGRI, WATER & RUR.DEV- 17.455.816	Country	NAMIBIA	ACP	Natl. non-EU	1.459.919
FSNA	FED/1998/014-137	176569	2003	WP 2003/2004; MINISTRY OF AGRICULTURE 9,701,000 NAD	Country	NAMIBIA	ACP	Natl. non-EU	1.065.001
FSNA	FED/1999/014-302	180834	2001	PROT.ACC.RIZ: INERA/PAFR-017/01/MEF/MAGR RECHERCHE INTRANTS	Country	BURKINA FASO	ACP	Natl. non-EU	4.215
FSNA	FED/1999/014-302	180837	2001	C.I.D.R.: CONTR. SERV. 40/01/MEF/MA/CC-PASA-CVECA DU 22.8.01	Country	BURKINA FASO	ACP	Natl. EU	883.935
FSNA	FED/1999/014-312	181026	2003	FAO/INSTITUTE FOR ANIMAL HEALTH (GRANT CONTRACT ON RINDERPEST PACE RESEARCH PROGRAMME 1.4.2003 - 31.10.2004)	Regional		ACP	Natl. EU	388.912
FSNA	FED/1999/014-312	181082	2000	( EX 07 P744 C010 ) CIRAD-EMVT KES 169.164.875	Regional		ACP	Natl. EU	1.657.645
FSNA	FED/1999/014-407	181842	2000	CIRAD-EMVT:CONTR.BK/165/00/PROCORDEL DU 28.4.2000: 2 EXPERTS	Regional		ACP	Natl. EU	1.175.757
FSNA	FED/1999/014-407	181856	2004	CIRDES DEVIS-PROGRAMME N. 08/2004 (12 MOIS)	Regional		ACP	Natl. non-EU	735.157
FSNA	FED/2000/015-200	184151	2003	DP 01- APPUI FILIERE RIZ-COMPOS.RECHERCHE/ACTION(62 933 700)	Country	MALI	ACP	Natl. non-EU	66.088
FSNA	FED/2000/015-200	184165	2005	DP 2 RECHERCHE FILIERE RIZ-COMPOSANTE RECHERCHE ACTION AGRO	Country	MALI	ACP	Natl. non-EU	65.676
FSNA	FED/2000/015-200	184170	2006	APPUI A LA FILIERE RIZ - RECHERCHE/ACTION	Country	MALI	ACP	Natl. non-EU	83.674
FSNA	FED/2000/015-202	184188	2002	IRAM DEVELOPPEMENT (MARCHE SERVICES DU 30.11.01 : PAFRIZ)	Country	NIGER	ACP	Natl. EU	1.072.092
FSNA	FED/2000/014-986	185261	2000	IBRD & IDA - AGRICULTURAL RESEARCH CGIAR	Regional		ACP	International	5.531.644
FSNA	FED/2000/014-986	185262	2002	CGIAR AGREEMENT	Regional		ACP	International	1.180.000
FSNA	FED/2000/014-986	185263	2001	IBRD AND IDA	Regional		ACP	International	4.536.813
FSNA	FED/2000/014-986	185264	2002	CGIAR AGREEMENT (PARTIAL) - SEE ALSO 8 TPS 086	Regional		ACP	International	3.400.000
FSNA	FED/2000/015-048	185532	2001	DEMARRAGE PARAO - 5000.000 XOF	Regional		ACP	Natl. non-EU	1.637
FSNA	FED/2000/015-048	185533	2001	CERAAS: C.D.ETUDE DU 29.06.2001: ETUDE/DEFINITION AGRO-PHYS.	Regional		ACP	Natl. non-EU	441.659
FSNA	FED/2000/015-048	185534	2001	ADRAO: CONTR. DE SUBVENTION NO. SUBV/ROC/2001/14 DU 25.6.01	Regional		ACP	Natl. non-EU	1.867.892
FSNA	FED/2000/015-048	185535	2001	AUDIT-CICE-26.170.000 XOF	Regional		ACP	Natl. non-EU	35.187



Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
FSNA	FED/2000/015-048	185536	2001	APPUI INST-CORAF- 55.556.518 XOF	Regional		ACP	Natl. non-EU	83.910
FSNA	FED/2000/015-048	185537	2001	AUDIT-CICE- _35.028.600 XOF	Regional		ACP	Natl. non-EU	8.293
FSNA	FED/2000/015-048	185538	2002	CONTRAT DE SUBVENTION CORAF	Regional		ACP	Natl. non-EU	730.981
FSNA	FED/2000/015-048	185539	2002	CONTRAT DE SERVICE - BOUBACAR HANE	Regional		ACP	Natl. non-EU	2.593
FSNA	FED/2000/015-048	185540	2003	CONTRAT DE SUBVENTION CORAF (CERAAS)	Regional		ACP	Natl. non-EU	843.154
FSNA	FED/2000/015-048	185541	2003	APPUI INSTITUTIONNEL CORAF	Regional		ACP	Natl. non-EU	88.518
FSNA	FED/2000/015-048	185542	2004	FONDS COMPETITIF REGIONAL CORAF	Regional		ACP	Natl. non-EU	291.132
FSNA	FED/2000/015-048	185543	2004	APPUI INSTITUTIONNEL AU PROG ACTIVITES DU S.E. CORAF	Regional		ACP	Natl. non-EU	955.158
FSNA	FED/2000/015-048	185544	2004	ACTION DE CONSOLIDATION CERAAS	Regional		ACP	Natl. non-EU	688.467
FSNA	FED/2000/015-102	185810	2001	START-UP WORJ PLAN JUNE 2001-DECEMBER 2001	Regional		ACP	Natl. non-EU	53.377
FSNA	FED/2000/015-102	185811	2002	WP CAB-INTERNATIONAL CORNET	Regional		ACP	International	507.767
FSNA	FED/2000/015-102	185812	2002	WP 1/10/2002-31/12/2003	Regional		ACP	Natl. EU	205.221
FSNA	FED/2000/015-102	185813	2002	GFA TERRA SYSTEMS	Regional		ACP	Natl. EU	2.386.755
FSNA	FED/2000/015-102	185814	2003	DR ABDELMONEIM TAHA; ASA SEC/RSU/SC/010; UGX 385,174,251.00	Regional		ACP	Natl. non-EU	172.453
FSNA	FED/2000/015-102	185815	2003	MRS D MUKHEBI; ASA-RPS/CU-001; USH 234,388,532.00	Regional		ACP	Natl. non-EU	107.144
FSNA	FED/2000/015-102	185816	2003	ICRAF; ASA-RSP/CU-003; USH 300,149,611.00	Regional		ACP	Natl. non-EU	92.122
FSNA	FED/2000/015-102	185817	2003	CIMMYT; ASA-RSP/CU-002; USH 300,149,611.00	Regional		ACP	Natl. non-EU	98.272
FSNA	FED/2000/015-102	185818	2003	CAB INTERNATIONAL; ASA-RSP/CU-006; USH 300,149,611.00	Regional		ACP	International	94.681
FSNA	FED/2000/015-102	185819	2003	ICRISAT; ASA-RSP/CU-004; UGX 300,149,611.00	Regional		ACP	Natl. non-EU	98.272
FSNA	FED/2000/015-102	185820	2003	START UP WORK PROGRAMME; ICRAF; 01/09 TO 31/12/03; EUR 50,000.00	Regional		ACP	Natl. non-EU	38.594
FSNA	FED/2000/015-102	185821	2003	START-UP WORK PLAN; CIMMYT; 01/09 TO 31/12/03; EUR 50,000.00	Regional		ACP	Natl. non-EU	33.025
FSNA	FED/2000/015-102	185822	2003	WP/CE 01/08/03 TO 31/12/03; BARNESA; EUR 120,000.00	Regional		ACP	Natl. EU	29.113
FSNA	FED/2000/015-102	185823	2003	WP/CE 1 OCT - 31 DEC 2003; CORNET; EUR 50,000.00	Regional		ACP	International	21.496
FSNA	FED/2000/015-102	185824	2003	START UP WORK PROGR; 01/08/03 TO 31/12/03; RAIN; EUR 69,310.00	Regional		ACP	Natl. non-EU	32.752
FSNA	FED/2000/015-102	185825	2003	MDF TRAINING AND CONSULTANCY BV; ASA-RSP/TRA-001;UGX 42,684,465	Regional		ACP	Natl. EU	18.268
FSNA	FED/2000/015-102	185826	2003	SART-UP WP; ICRISAT; 01/10/03 TO 31/12/03; EUR 50,000.00;	Regional		ACP	Natl. non-EU	35.195

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
FSNA	FED/2000/015-102	185827	2003	ERNST & YOUNG; AUDIT OF WP/CE 2001-2003; ASA-RSP/AUD-001; UGX 15,752,500.00	Regional		ACP	Natl. EU	7.448
FSNA	FED/2000/015-102	185828	2003	START UP WP SWMNET; 01/10/03 - 31/12/03; ICRISAT; EUR 50,000.00	Regional		ACP	Natl. non-EU	32.878
FSNA	FED/2000/015-102	185829	2003	ICRISAT; ECARSAM NETWORK; ASA-RSP/CU-005; UGX 300,149,611.00	Regional		ACP	Natl. non-EU	98.272
FSNA	FED/2000/015-102	185830	2004	WP/CE (01/01/04-31/12/04); ASARECA SECR;	Regional		ACP	Natl. non-EU	566.684
FSNA	FED/2000/015-102	185832	2004	WP - REGIONAL PROGRAMME TO SUPPORT AGRICULTURAL RESEARCH IN EAST AFRICA - SWMNET WORK PROGRAM 2004	Regional		ACP	Natl. non-EU	198.017
FSNA	FED/2000/015-102	185833	2004	TOFNET REGIONAL PROGRAM TO SUPPORT AGRICULTURAL RESEARCH IN EAST AFRICA WORK PROGRAM 2004	Regional		ACP	Natl. non-EU	168.580
FSNA	FED/2000/015-102	185834	2004	ECARSAM REGIONAL PROGRAM TO SUPPORT AGRICULTURAL ACTIVITIES IN EA- ECARSAM WORK PROGRAM 2004	Regional		ACP	Regional	76.239
FSNA	FED/2000/015-102	185835	2004	ECAMAW REGIONAL PROGRAM TO SUPPORT AGRICULTURAL ACTIVITIES IN EA- ECAMAW WORK PROGRAM 2004	Regional		ACP	Regional	140.034
FSNA	FED/2000/015-102	185836	2004	CORNET REGIONAL PROGRAM TO SUPPORT AGRICULTURAL ACTIVITIES IN EA- WORK PROGRAM 2004 CORNET	Regional		ACP	International	133.048
FSNA	FED/2000/015-102	185837	2004	WORK PROGRAM 2004 RAIN - REGIONAL PROGRAM TO SUPPORT AGRICULTURAL RESEARCH IN EAST AFRICA	Regional		ACP	Natl. non-EU	275.516
FSNA	FED/2000/015-102	185838	2004	WORK PROGRAM FOR A-AARNET FROM 1 MAY 2004 TO 31 DEC 2004	Regional		ACP	Regional	251.518
FSNA	FED/2000/015-102	185839	2004	WORK PROGRAM BARNESA 1 JUN 04 - 31 DEC 04 / ASARECA	Regional		ACP	Natl. EU	32.280
FSNA	FED/2000/015-102	185840	2004	LANDELL MILLS, PROGRAM REVIEW AND MONITORING PANEL	Regional		ACP	Natl. EU	192.042
FSNA	FED/2000/015-102	185841	2004	ILRI-INTERNATIONAL LIVESTOCK RESEARCH INSTITUTE FOR COORDINATION OF ACTIVITIES WITHIN A-AARNET	Regional		ACP	Regional	50.166
FSNA	FED/2000/015-102	185842	2004	ASARECE CGS (COMPETITIVE GRANT SYSTEM 2005-2007)	Regional		ACP	Natl. non-EU	2.105.407
FSNA	FED/2000/015-102	185843	2004	SUPPORT TO REGIONAL AGRICULTURAL RESEARCH FOR DEVELOPMENT	Regional		ACP	Natl. non-EU	5.735.046
FSNA	FED/2000/015-102	185844	2005	MID TERM EVALUATION OF THE REGIONAL PROGRAMME TO SUPPORT AGRICULTURAL RESEARCH IN EAST AFRICA	Regional		ACP	Natl. EU	81.334

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
FSNA	FED/2000/015-102	185845	2005	GRANT AGREEMENT WITH INIBAP TO COORDINATE ACTIVITIES WITHIN BARNESA NETWORK	Regional		ACP	Natl. EU	49.036
FSNA	FED/2000/015-102	185846	2005	ERNST & YOUNG AUDIT OF ASARECA WP 2004/2005	Regional		ACP	Natl. EU	29.723
FSNA	FED/2000/015-102	185847	2007	PROGRAM ESTIMATE FOR PERIOD JULY TO DECEMBER 2007	Regional		ACP	Natl. non-EU	111.805
FSNA	FED/2000/015-102	185848	2008	WORLD BANK/MULTI DONOR TRUST FUND FOR SUPPORT TO THE ASARECA ASSOCIATION OF STRENGTHENING AGRICULTURE RESEARCH IN E/C AFRICA	Regional		ACP	International	14.000.000
FSNA	FED/2001/015-643	186953	2006	EIDWIAN-BIAS LTD. - SUPPLY OF COFFEE BY PRODUCTS RESEARCH GLASS WARE	Country	ETHIOPIA	ACP	Natl. EU	44.191
FSNA	FED/2002/015-849	187712	2003	SADC TA GOPA CONSULTANTS	Regional		ACP	Natl. EU	612.868
FSNA	FED/2002/015-849	187713	2003	SADC START UP WORK PROGRAMME 7/5/2003-31/8/2003	Regional		ACP	Regional	9.024
FSNA	FED/2002/015-849	187714	2003	SADC 1ST WORK PROGRAMME -1/11/03-31/03/04	Regional		ACP	Regional	172.259
FSNA	FED/2002/015-849	187715	2004	SADC TA ALFRED MAPIKI- REGIONAL RESEARCH & TRAINING OFFICER	Regional		ACP	Natl. non-EU	183.238
FSNA	FED/2002/015-849	187716	2005	PROGRAMME ESTIMATE NO. SADC/8/018/02 1/04/2005 - 31/03/2006	Regional		ACP	Regional	498.791
FSNA	FED/2002/015-849	187717	2005	AGRISYSTEMS - PROJECT REVIEW	Regional		ACP	Natl. EU	54.034
FSNA	FED/2002/015-849	187718	2006	PROGRAMME ESTIMATE NO.3 STARTING FROM 01 JULY 2006 - 31 MARCH 2007	Regional		ACP	Regional	245.047
FSNA	FED/2003/016-361	190040	2004	SADC START UP PROGRAMME ESTIMATE 1/11/2004 - 30/04/2005	Regional		ACP	Regional	16.505
FSNA	FED/2003/016-361	190041	2005	NR INTERNATIONAL - PRERATION AND LAUNCH OF CALL FOR PROPOSAL FOR THE SADC AGRICULTURE RESEARCH COMPETITIVE FUND	Regional		ACP	Natl. EU	128.102
FSNA	FED/2003/016-361	190042	2005	CONSULTANCY TO PREPARE AND LAUNCH A CALL FOR PROPOSALS FOR THE SADC ICART REGIONAL TRAINING COMPONENT	Regional		ACP	Natl. EU	78.853
FSNA	FED/2003/016-361	190043	2005	COWI - SHORT TERM TECHNICAL ASSISTANCE TO SADC FANR DIRECTORATE	Regional		ACP	Natl. EU	126.902
FSNA	FED/2003/016-361	190044	2005	KRISHAN J. BHEERICK - TA, REGIONAL INFORMATION COMMUNICATION AND TRAINING OFFICER	Regional		ACP	Natl. non-EU	276.061
FSNA	FED/2003/016-361	190045	2005	PAUL JESSEN - TA, REGIONAL PROJECT COORDINATOR	Regional		ACP	Natl. non-EU	60.809
FSNA	FED/2003/016-361	190046	2006	PROGRAMME ESTIMATE NO 2 FOR 01/02/2006 - 31/03/2007	Regional		ACP	Regional	291.098

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FSNA	FED/2003/016-361	190047	2006	TRANSTEC SA -SPECIFIC CONTRACT NR 2006/119729 (CONSULTANCY TO ASSESS PROPOSALS FOR THE SADC ICART CRARF	Regional		ACP	Natl. EU	64.748
FSNA	FED/2003/016-361	190048	2006	HTSPE LTD - SITUATION ANALYSIS TO ASSESS AND FORMULATESUPPORT STRATEGIES FOR THE NARS IN SADC	Regional		ACP	Natl. EU	171.461
FSNA	FED/2003/016-361	190049	2006	UNIVERSITY OF GREENWICH-ICART CRARF- LINKING THE PRODUCTION& MARKETING CHAIN	Regional		ACP	Natl. EU	557.905
FSNA	FED/2003/016-361	190050	2006	UNIVERSITY OF GRRENWICH- ICART CRARF (OPTIMISING THE INDIGENOUS USE OF PESTICIDAL PLANTS)	Regional		ACP	Natl. EU	669.620
FSNA	FED/2003/016-361	190051	2006	UNIVERSITY OF GREENWICH-ICART CRARF (DEVELOPMENT OF ECOLOGICALLY-BASED RODENT MANAGEMENT FOR SADC REGION.ACRONYM:ECORAT	Regional		ACP	Natl. EU	619.436
FSNA	FED/2003/016-361	190052	2006	ICART/CRARF UNIVERSITY OF GREENWICH (ENVIRONMENTAL & HUMAN HEALTH IMPACT ASSESSMENT OF QUELEA BIRD CONTROL)	Regional		ACP	Natl. EU	407.495
FSNA	FED/2003/016-361	190053	2006	ICART/CRARF WORLD VISION DEUTSCHLAND E.V. (AGRICULTURAL RESEARCH & CAPACITY BUILDING PROG.(ARCB) FOR POST-CONFLICT REGIO	Regional		ACP	Natl. EU	785.431
FSNA	FED/2003/016-361	190054	2006	ICART-CRARF CAB INTERNATIONAL (CABI) COMMUNITY BASED ARMYWORM FORECASTING (CBAF) IN MALAWI, TANZANIA & ZIMBABWE	Regional		ACP	International	893.810
FSNA	FED/2003/016-361	190055	2006	ICART/CRARF ICRISAT (LIVESTOCK & LIVELIHOODS- IMPROVING MARKET PARTICIPATION BY SMALL-SCALE LIVESTOCK PRODUCERS)	Regional		ACP	Natl. non-EU	836.779
FSNA	FED/2003/016-361	190056	2006	PROGRAMME ESTIMATE NO.3 STARTING FROM 01 APRIL 2007 - 31 MARCH 2009	Regional		ACP	Regional	572.119
FSNA	FED/2003/016-361	190060	2006	UNIVERSITY OF ZAMBIA (STRENGTHENING PARTICIPATORY PLANT BREEDING & SEED SYSTEMS TO IMPROVE PRODUCTIVITY)	Regional		ACP	Natl. non-EU	242.780
FSNA	FED/2003/016-361	190061	2006	MONICA MURATA (TECHNICAL ASSISTANCE - PROJECT MONITORING AND EVALUATION OFFICER)	Regional		ACP	Natl. non-EU	191.720
FSNA	FED/2003/016-361	190062	2008	DANISH AGRICULTURAL: MID-TERM REVIEW OF ICART PROJECT	Regional		ACP	Natl. EU	59.602
FSNA	FED/2003/016-438	190697	2007	ITALTREND/TA TO NARO FOR RATIONALISATION OF AGRIC RESEARCH INSTITUTES AND PROGRAMMES	Country	UGANDA	ACP	Natl. EU	39.081

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FSNA	FED/2004/016-545	191216	2004	DEVIS PROGRAMME 1 01/11/04 AU 31/10/05	Regional		ACP	Natl. non-EU	650.728
FSNA	FED/2004/016-545	191217	2005	CARBAP DP 2	Regional		ACP	Natl. non-EU	610.880
FSNA	FED/2004/016-545	191218	2006	DEVIS PROGRAMME 3 DU 01/11/2006 AU 31/10/2007	Regional		ACP	Natl. non-EU	602.965
FSNA	FED/2004/017-382	192479	2007	FEASIBILITY STUDY TO DEFINE THE PROGRAMME FOR "SUPORT TO RESEARCH IN THE ACP SUGAR CANE SECTOR"	Regional		ACP	Natl. EU	99.075
FSNA	FED/2004/016-967	193253	2007	GRANT CONTRACT - IRD - 57,040,038.00 XPF	Country	FRENCH POLYNESIA	ACP	Natl. EU	484.959
FSNA	FED/2005/017-570	193996	2008	GRANT: DEVELOPING EDUCATIONS SKILLS AND CAPACITY IN FORENSIC AWARENESS AND FORENSIC SCIENCE IN SOUTHERN AFRICAN DEV.COM.	Regional		ACP	Natl. EU	377.045
FSNA	FED/2005/017-570	194005	2008	GARNT: VALUE CHAINS FOR POVERTY REDUCTION IN THE AGRI-FOODSECTOR-PROBLEM-BASED LEARNING IN HIGHER EDUCATION (VALUELEAD	Regional		ACP	Natl. EU	441.344
FSNA	FED/2006/017-958	195095	2006	FAO RELANCE AGRICOLE	Country	DR CONGO	ACP	International	7.915.000
FSNA	FED/2006/017-913	195439	2007	GRANT TO KARI	Country	KENYA	ACP	Natl. non-EU	5.263.000
FSNA	FED/2006/017-913	195440	2008	NATURAL RESOURCES INTERNATIONAL TECHNICAL ASSISTANCE	Country	KENYA	ACP	Natl. EU	1.152.027
FSNA	FED/2006/018-696	196872	2007	IRAZ-RELANCE INSTITUT DE RECHERCHE AGRONOMIQUE & ZOOTECHNIQUE	Regional		ACP	Natl. non-EU	190.287
FSNA	FED/2007/020-772	197161	2008	PARTICIP - TA FOR ICART II	Regional		ACP	Natl. EU	675.647
FSNA	FED/2007/020-772	197162	2008	SADC - ICART2 PE NO. 1 (1/10/2008-30/09/2009) COMPLEMENTARY PHASE	Regional		ACP	Regional	885.946
FSNA	FED/2007/020-827	197614	2008	UNIVERSITA DEGLI STUDI DI UDINE: LINKING INSTITUTIONS FOR VETERINARY EDUCATION - LIVE - GRANT CONTRACT	Regional		ACP	Natl. EU	490.000
FSNA	FED/2007/020-827	197616	2008	UNIVERSITY OF ALICANTE: EUROPEAN-AFRICAN NETWORK TO IMPROVE HEI IN AGRICULTURE AND FORESTRY BASED ON NEW MARKET NEEDS	Regional		ACP	Natl. EU	406.813
FSNA	FED/2007/020-827	197621	2008	MAKERERE UNIVERSITY: STRENGTHENING AGRICULTURE AND RURAL INNOVATION SYSTEMS IN EASTERN, CENTRAL AND SOUTHERN AFRICA	Regional		ACP	Natl. non-EU	452.747
FSNA	FED/2007/020-827	197625	2008	COVENTRY UNIVERSITY: INSTITUTIONAL CAPACITY BUILDING FOR ORGANIC AGRICULTURE IN WEST AFRICA	Regional		ACP	Natl. EU	494.412
FSNA	FED/2007/020-827	197633	2008	JUSTUS LIEBIG UNIVERSITY GIESSEN: HENNA - ESTABLISHMENT OF HIGHER EDUCATION NETWORK FOR APPLIED NUTRITION	Regional		ACP	Natl. EU	442.945
FSNA	FED/1999/014-613	198071	2006	TRANSTEC - TA - DESIGN AND IMPLEMENTATION APPLIED RESEARCH & EXTENSION IN SELECTED CROPS	Country	MOZAMBIQUE	ACP	Natl. EU	123.014

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FSNA	FED/1996/006-280	198819	2000	( EX 07 P578 C008 ) FITCA REGIONAL RESEARCH PROGRAMME 100% E	Regional		ACP	Regional	188.468
FSNA	FED/2008/019-834	199116	2008	ITALTREND - TECHNICAL ASSISTANCE FOR THE PREPARATION OF TENDER DOSSIER FOR THE ACP SUGAR RESEARCH PROGRAMME - CC BENEF 1	Regional		ACP	Natl. EU	20.000
FSNA	DCI-FOOD/2008/020-582	199950	2009	Fostering European aid effectiveness for Agricultural Research for Development" (called the FSTP EIARD project)	Global		Global	Natl. EU	1.197.176
FSNA	DCI-FOOD/2009/023-961	200096	2009	Support to Association for Strengthening Agricultural Research in Eastern and Central Africa- ASARECA	Regional		ACP	International	4.000.000
FSNA	FED/2006/017-913	205982	2009	Financial and Systems Audit of KASAL	Country	KENYA	ACP	Natl. non-EU	56.127
FSNA	BAN/2002/003-443	209285	2009	Provision of Technical Extension and Research Services to Jamaica's Banana and Plantain industry	Country	JAMAICA	ACP	Natl. non-EU	100.000
FSNA	FED/2003/016-361	209546	2009	Audit of Programme-estimates of SAD Regional training project (8 ACP RAU 5), ICART (9 ACP SAD 10), PRINT (9 ACP SAD 2) and TCF (9 ACP SAD 5)	Regional		ACP	Natl. EU	9.309
FSNA	FED/2000/015-102	210618	2009	Programme Review and Monitoring Panel (PRMP) for ASARECA	Regional		ACP	Natl. EU	180.638
FSNA	DCI-FOOD/2009/021-078	211536	2009	Misión de Identificación/Formulación de un programa de investigación agrícola FSTP - Región andina	Regional		LA	Natl. EU	171.217
FSNA	DCI-FOOD/2009/021-494	213015	2009	Low cost 'Fridges' for Rural Africa: Poverty reduction and food security using indigenous post-harvest technology	Country	MOZAMBIQUE	ACP	Natl. non-EU	1.361.786
FSNA	MED/2006/018-252	214418	2009	Commercial Production of Enhanced Bio-Control Agents for combating Soil Borne Pathogens in Egypt.	Country	EGYPT	ENP	Natl. non-EU	199.853
FSNA	DCI-FOOD/2009/021-078	215418	2009	Technology Transfer for Food Security in South-East Asia	Regional		Asia	Natl. EU	98.258
FSNA	MED/2006/018-252	215447	2009	Micro and Nanotechnology Based Wireless Sensors for Agriculture and Water Management	Country	EGYPT	ENP	Natl. non-EU	396.669
FSNA	FED/2006/018-593	217055	2009	Réseau d'analyse des facteurs d'offres vivrières de marché et de diversification agricole	Regional		ACP	Natl. EU	820.000
FSNA	FED/2006/018-593	217064	2009	African Dryland Alliance for Pesticial-Plant Technologies (ADAPT): A network for optimising and promoting the use of indigenous botanical knowledge for food security and poverty alleviation in Africa	Regional		ACP	Natl. EU	989.204
FSNA	FED/2006/018-593	217066	2009	Capacity building in South Africa, Namibia and Ghana to create sustainable, non-food bio-oil supply chains	Regional		ACP	Natl. EU	857.055

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FSNA	FED/2006/018-593	217080	2009	Shifting from outreach to engagement: Transforming universities' response to current development trends in agricultural research and training in Eastern, Central and Southern Africa	Regional		ACP	Natl. non-EU	996.999
FSNA	DCI-FOOD/2008/019-749	218588	2009	Strengthened knowledge and research capacity to sustainably increase agricultural productivity and food security in DPRK	Country	DPR KOREA	Asia	International	331.909
FSNA	FED/2006/018-593	218779	2009	Capacity development for research planning, programming and implementation in agricultural R&D institutions of Western Pacific countries	Country	PAPUA NEW GUINEA	ACP	Natl. non-EU	731.399
FSNA	FED/2006/018-593	218781	2009	Capacity Building in Core Research-Related Competencies and Networking among Staff of Agricultural Research Institutions in Three Western Pacific countries.	Country	PAPUA NEW GUINEA	ACP	Natl. non-EU	901.886
FSNA	FED/2006/018-593	218784	2009	Strengthening Capacity for Yam Research-for-development in Central and Western Africa	Regional		ACP	Natl. non-EU	541.776
FSNA	FED/2006/018-593	218786	2009	Policy and support actions for Southern African natural product partnership	Regional		ACP	Natl. non-EU	945.353
FSNA	FED/2006/018-593	218788	2009	Developing capacity for participatory and marker assisted plant breeding to mitigate low crop productivity and poor food security	Regional		ACP	Natl. non-EU	785.072
FSNA	AFS/2006/018-197	219015	2009	African Weeds of Rice	Country	BENIN	ACP	Natl. EU	622.200
FSNA	AFS/2006/018-197	219019	2009	GVal - Sécurité Alimentaire - Renforcer les capacités de Gestion et de Valorisation de la recherche dans la domaine de la Sécurité Alimentaire en Afrique de l'Ouest	Regional		ACP	Natl. EU	849.736
FSNA	AFS/2006/018-197	219020	2009	Caribbean Fine Cocoa Forum	Regional		ACP	Natl. non-EU	624.096
FSNA	DCI-FOOD/2008/019-726	219471	2009	"innovation Africa"	Regional		ACP	Natl. EU	735.710
FSNA	FED/2007/020-772	219642	2009	SADC - ICART2 PE NO. 2 (20/10/2009 - 16/12/2010) COMPLEMENTARY PHASE	Regional		ACP	Regional	1.367.053
FSNA	FED/2007/020-853	219726	2009	Service Contract for the recruitment of a Coordination Unit	Regional		ACP	Natl. EU	3.501.250
FSNA	DCI-ENV/2009/020-656	219911	2010	Promotion of sustainable development strategies in the renewable energy technologies sector through piloting of demonstration projects based on usage of solar energy and agricultural wastes.	Country	MOLDOVA	ENP	Natl. non-EU	1.500.000
FSNA	FED/2001/015-643	220254	2009	Supply of laboratory material and equipment - Lot 2: Equipment for biotechnology laboratory	Country	ETHIOPIA	ACP	Natl. EU	213.465
FSNA	FED/2006/018-593	221814	2009	Agricultural and environmental Benefits from Biochar use in ACP Countries	Regional		ACP	Natl. EU	839.738

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FSNA	DCI-FOOD/2010/024-536	222822	2010	Strengthening pro-poor agricultural innovation for food security in the Andean region : AAP 2010	Regional		LA	International	5.000.000
FSNA	DCI-FOOD/2009/021-494	224125	2009	Improvement of food security and nutritional status in Maasai steppes of northern Tanzania, by applying sustainable farming technologies	Country	TANZANIA	ACP	Natl. EU	1.499.446
FSNA	SUCRE/2006/018-550	224931	2009	Programme Estimate 2	Country	FIJI	ACP	Natl. non-EU	596.000
FSNA	FED/2006/017-913	227549	2010	Mid-term Evaluation of Kenya Arid and Semiarid Lands Research Programme (KASAL)	Country	KENYA	ACP	Natl. EU	83.949
FSNA	DCI-FOOD/2009/021-076	230178	2010	Agro-ecology based aggradation-conservation agriculture (ABACO): Targeting innovations to combat soil degradation and food insecurity in semi-arid Africa	Regional		ACP	Natl. non-EU	3.000.000
FSNA	DCI-FOOD/2009/021-076	230224	2010	Adaptation and Dissemination of the 'Push-Pull' Technology (ADOPT): a conservation agriculture approach for smallholder cereal-livestock production in drier areas to withstand climate change	Regional		ACP	Natl. non-EU	2.999.976
FSNA	DCI-FOOD/2009/021-076	230238	2011	Agricultural innovation for smallholder farmers in the Greater Mekong Subregion to improve food security, in the context of impact and adaptation to climate change and in favour of economic development	Regional		Asia	Natl. non-EU	1.785.562
FSNA	DCI-FOOD/2009/021-076	230267	2010	Adapting clonally propagated crops to climatic and commercial changes.	Global		Global	Regional	2.999.188
FSNA	DCI-FOOD/2009/021-076	230309	2010	Building resilience to climate change through strengthening adaptive small scale farming systems in rainfed areas in Bangladesh, India and Nepal	Regional		Asia	Natl. EU	2.689.542
FSNA	DCI-FOOD/2009/021-076	230420	2010	Seguridad alimentaria, políticas y nuevos modelos de negocios entre pequeñas/os productores y mercados en tres contextos de América Latina	Regional		LA	Natl. EU	2.179.436
FSNA	DCI-FOOD/2009/021-454	231116	2010	Proyecto de reconversión de la producción de camélidos sudamericanos en zonas altoandinas pobres de Ayacucho y Huancavelica.	Country	PERU	LA	Natl. non-EU	1.000.000
FSNA	DCI-FOOD/2009/021-454	231144	2010	Organización de un sistema local de innovación y extensión agraria para el desarrollo sostenible de la actividad alpaquera, en la macro región de Ayacucho y Apurímac.	Country	PERU	LA	Natl. EU	862.414
FSNA	DCI-ASIE/2009/020-600	234221	2010	Enabling more effective and equitable NRM to improve rural livelihoods security: a programme of research	Country	AFGHANISTAN	Asia	Natl. non-EU	1.458.055
FSNA	DCI-FOOD/2009/021-087	234875	2010	Support to the Public Nutrition Department of the Ministry of Public Health.	Country	AFGHANISTAN	Asia	Natl. EU	152.956



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FSNA	DCI-FOOD/2009/021-340	235394	2010	Food Security and Sustainable Farming Approaches in Mongolia	Country	MONGOLIA	Asia	Natl. EU	738.561
FSNA	DCI-FOOD/2009/021-340	235397	2010	Enhancing Food and Nutrition Security for Vulnerable Segments of the Population of Mongolia through Capacity Building in Small-Scale Vegetable Production	Country	MONGOLIA	Asia	International	982.054
FSNA	FED/2007/020-853	238752	2010	Swaziland - ACP Sugar RP - Increasing Sugar Cane yields for Smallholders farmers through Improvements in Irrigation Scheduling	Regional		ACP	Natl. non-EU	219.270
FSNA	FED/2008/020-954	239654	2010	Improvement of the competitiveness of the Tanzanian Tea Sector	Country	TANZANIA	ACP	Natl. non-EU	2.000.000
FSNA	BAN/2008/020-244	240772	2010	Establishment of a Spice Research Station and Farming Systems	Country	GRENADA	ACP	Natl. non-EU	243.002
FSNA	FED/2008/020-954	240963	2010	Increasing the Competitiveness of the Tanzania's Coffee sub-sector for sustainable poverty reduction - Coffee Research and Technology Support Programme (CRTSP) II	Country	TANZANIA	ACP	Natl. non-EU	2.000.000
FSNA	SUCRE/2006/018-550	241134	2010	Audit of PE 1 for Sugar Research Institute	Country	FIJI	ACP	Natl. EU	6.460
FSNA	FED/2007/020-853	242079	2010	Mauritius - ACP Sugar RP - Contract	Country	MAURITIUS	ACP	Natl. non-EU	5.848.353
FSNA	DCI-FOOD/2009/021-787	242574	2010	CO-INNOVACIÓN en procesos agrarios para fortalecer la soberanía alimentaria en Cuba	Country	CUBA	ACP	Natl. EU	1.000.000
FSNA	DCI-ASIE/2009/020-525	242684	2010	Trade Standard Compliance and Innovations for Agri-Food Supply Chains in Thailand and Neighbouring Countries	Country	THAILAND	Asia	Natl. non-EU	280.208
FSNA	DCI-FOOD/2009/021-102	242720	2010	Support to food security and livelihoods through community based natural resource management in Southern Sudan	Country	SOUTH SUDAN	ACP	Natl. EU	1.017.000
FSNA	FED/2003/016-361	244885	2010	Final Evaluation of the Implementation & Coordination of Agricultural Research and Training (ICART) project	Regional		ACP	Natl. EU	99.875
FSNA	DCI-ALA/2010/021-526	245566	2010	La Universidad en el campo: Programa de Formación Superior Agropecuario para jóvenes rurales	Regional		LA	Natl. non-EU	1.179.950
FSNA	DCI-FOOD/2010/024-000	246357	2010	2010 EC contribution to the Consultative Group on International Agricultural Research (CGIAR).	Global		Global	International	17.500.000
FSNA	BAN/2008/020-244	247357	2010	Expenditure verification - SFA 2008 - Establishment of a Spice Research Station and Farming System	Country	GRENADA	ACP	Natl. EU	4.850
FSNA	FED/2007/020-853	247866	2010	Developing and introducing an alternative method to determine dextran in sugarcane juice and raw sugar	Regional		ACP	Natl. non-EU	1.183.324
FSNA	FED/2007/020-853	247871	2010	Improving Capacity and Speed of Sugar Cane Breeding in the Caribbean by Investing in State-of-the Art Laboratory Equipment	Regional		ACP	Natl. non-EU	952.017
FSNA	DCI-FOOD/2009/021-102	248649	2010	Farmer-preferred technology for improved food security in Eritrea	Country	ERITREA	ACP	Natl. non-EU	142.538

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FSNA	DCI-FOOD/2009/021-102	248670	2010	Rehabilitation of Geleb Nursery	Country	ERITREA	ACP	Natl. EU	670.000
FSNA	DCI-FOOD/2009/021-102	249049	2010	Increasing Food Security and sustainable Development through Conservation Agriculture In Eritrea's Cereal Based Cropping System	Country	ERITREA	ACP	Natl. non-EU	420.000
FSNA	BAN/2008/020-219	249061	2010	Relancamento da cultura da banana e diversificacao da producao agricola na Ilha de Santiago	Country	CAPE VERDE	ACP	Natl. EU	438.095
FSNA	DCI-FOOD/2009/021-087	249540	2010	Stewardship role of the MoPH in addressing Nutrition: training for key-staff. Kabul-Afghanistan	Country	AFGHANISTAN	Asia	Natl. EU	181.219
FSNA	BAN/2007/019-389	251251	2010	Strengthening of the capacity of the producer organisations in the bee farming sector to manage American Foulbrood Disease in partnership with the MAF and upgrading the technical and business management skills of bee	Country	JAMAICA	ACP	Regional	234.282
FSNA	DCI-FOOD/2009/021-102	251937	2010	Food Security & Livelihoods Support of War & Drought Affected Populations in the Red Sea State	Country	SUDAN	ACP	Natl. EU	1.100.000
FSNA	DCI-FOOD/2009/021-087	252343	2010	Bolstering the Nutrition Components of BPHS-EPHS in Kunar Province	Country	AFGHANISTAN	Asia	Natl. EU	175.135
FSNA	DCI-FOOD/2009/021-087	252354	2010	Bolstering the Nutrition Components of BPHS-EPHS in Nuristan	Country	AFGHANISTAN	Asia	Natl. EU	398.297
FSNA	DCI-FOOD/2009/021-087	252504	2010	Integrated community based management of acute malnutrition in Kunduz	Country	AFGHANISTAN	Asia	Natl. EU	399.934
FSNA	DCI-FOOD/2009/021-087	252586	2010	Bolstering the Nutrition Component of BPHS-EPHS in Laghman Province	Country	AFGHANISTAN	Asia	Natl. EU	258.076
FSNA	FED/2007/020-772	252592	2010	Audit FWC EuropeAid 127444- Order form n.5	Regional		ACP	Natl. EU	92.952
FSNA	DCI-FOOD/2009/021-087	252682	2010	Bolstering the Nutrition Components of BPHS in Ghor province	Country	AFGHANISTAN	Asia	International	238.041
FSNA	DCI-FOOD/2009/021-076	252886	2010	Production durable du manioc en Afrique Centrale et intégration au marché	Regional		ACP	Natl. non-EU	2.995.741
FSNA	FED/2006/017-958	252895	2010	Evaluation finale projet REAFOR - relance de la recherche agricole et forestière	Country	DR CONGO	ACP	Natl. EU	47.285
FSNA	DCI-FOOD/2010/022-144	252990	2010	PRACTICAL APPLICATION OF CGIAR RESEARCH RESULTS BY SMALLHOLDER FARMERS	Global		Global	Natl. EU	299.962
FSNA	DCI-FOOD/2009/021-102	253041	2010	Linking Education To School Lunches, Using Nutrition to Conquer Hunger (LET'S LUNCH)	Country	SUDAN	ACP	Natl. non-EU	287.710
FSNA	DCI-FOOD/2010/021-996	254052	2010	EVALUATION OF PROJECT PROPOSALS SUBMITTED UNDER THE TECHNOLOGY TRANSFER FOR FOOD SECURITY IN ASIA PROGRAMME	Regional		Asia	Natl. EU	71.069

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FSNA	DCI-FOOD/2009/021-076	254073	2010	Amélioration des revenus et de la sécurité alimentaire des producteurs à travers des systèmes de production biologique diversifiés	Global		Global	Natl. non-EU	2.959.124
FSNA	FED/2009/021-612	254866	2010	Projet de lutte contre la malnutrition et de recherche-action en filets de sécurité en Mauritanie.	Country	MAURITANIA	ACP	Natl. EU	450.000
FSNA	DCI-FOOD/2009/021-102	255936	2010	Strengthening the scaling up and impact of innovative food security approaches for PLWHIV in Zambia	Country	ZAMBIA	ACP	Natl. EU	403.681
FSNA	DCI-FOOD/2009/021-102	256103	2010	Action on HIV, Nutrition and Food Security in the Copperbelt	Country	ZAMBIA	ACP	Natl. EU	396.940
FSNA	DCI-FOOD/2009/021-393	256302	2010	Micro and small enterprise development to achieve food security, food safety and self reliance for urban poor in Phnom Penh	Country	CAMBODIA	Asia	International	1.000.000
FSNA	DCI-FOOD/2009/021-102	256310	2010	Project for the Reduction of Nutritional Vulnerability (PRUVEN II)	Country	ZAMBIA	ACP	Natl. EU	368.285
FSNA	FED/2007/020-853	256336	2010	A comparative study of Family and individual mass selection method as early selection criteria and Nobilisation of erianthus species	Regional		ACP	Natl. non-EU	799.765
FSNA	DCI-FOOD/2009/021-102	256463	2010	The Transfer of Research Output of Sweet Potato to Farmers to Improve Households Food Insecurity	Global		Global	Natl. non-EU	390.000
FSNA	DCI-FOOD/2009/021-102	256580	2010	The Food Security and Nutrition Support Project for Vulnerable Households (FSNV)	Country	ZAMBIA	ACP	Natl. EU	440.467
FSNA	DCI-FOOD/2009/021-076	257394	2010	Generation and adaptation of improved agricultural technologies to mitigate climate change-imposed risks to food production within vulnerable smallholder farming communities in Western Pacific countries.	Country	PAPUA NEW GUINEA	ACP	Natl. non-EU	2.928.009
FSNA	DCI-FOOD/2009/021-102	257433	2010	Project for the Introduction and Dissemination of Innovative Food Security Practices in Central Equatoria State	Country	SOUTH SUDAN	ACP	Natl. non-EU	932.966
FSNA	DCI-FOOD/2009/021-393	257953	2010	Innovative approaches to food insecurity for urban and peri-urban poor in Siem Reap, Cambodia (INFOSE)	Country	CAMBODIA	Asia	Natl. EU	1.000.000
FSNA	DCI-FOOD/2009/021-102	258198	2010	Programme d'appui à l'amélioration du système d'information sur la sécurité alimentaire au Tchad (PASISAT)	Country	CHAD	ACP	Natl. EU	843.579
FSNA	DCI-FOOD/2009/021-102	258745	2010	Projet pour l'amélioration de l'information sur la sécurité alimentaire dans le Brakna et le Gorgol	Country	MAURITANIA	ACP	Natl. EU	500.000
FSNA	DCI-FOOD/2009/021-102	258749	2010	Projet pour l'Emergence d'un Plaidoyer pour la Sécurité Alimentaire Régional au Guidimakha (PEPSAR-Guidimakha)	Country	MAURITANIA	ACP	Natl. EU	250.000
FSNA	DCI-FOOD/2009/021-102	259189	2010	Agriculture Diversification and Food Security Project	Country	ZAMBIA	ACP	Natl. non-EU	335.977

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FSNA	DCI-FOOD/2010/021-972	260307	2011	Amélioration de la sécurité alimentaire par la consolidation du dispositif d'information au niveau local et le renforcement des capacités des organisations rurales du District d'Ati	Country	CHAD	ACP	Natl. EU	900.000
FSNA	DCI-FOOD/2010/021-996	261086	2011	"Network for Knowledge Transfer on Sustainable Agricultural Technologies and Improved Market Linkages in South and South East Asia" (SATNET ASIA)	Regional		Asia	International	2.560.565
FSNA	DCI-FOOD/2010/021-996	261122	2011	Agriculture and Nutrition Extension Project (ANE)	Regional		Asia	Natl. EU	3.644.677
FSNA	DCI-FOOD/2010/021-996	261127	2011	Intra-regional transfer of biologically-based plant protection technology to improve livelihoods of small holder maize farmers in the Greater Mekong sub-region	Regional		Asia	Natl. non-EU	2.490.836
FSNA	FED/2009/021-482	263079	2011	Prefeasibility Study for Sugarcane Research and Technology Center	Country	MOZAMBIQUE	ACP	Natl. non-EU	9.500
FSNA	DCI-SUCRE/2008/020-035	263558	2011	Formation sur la canne à sucre et le processus de fabrication du Sucre	Country	CONGO	ACP	Natl. non-EU	8.990
FSNA	BAN/2008/020-090	267139	2011	ATF 2008 CARBAP Analyse de la prévalence du virus du bunchy top des bananiers (Banana Bunchy Top Virus - BBTV)	Country	CAMEROON	ACP	Natl. non-EU	20.000
FSNA	DCI-SUCRE/2009/021-104	267150	2011	Programme de recherche agronomique sur la canne à sucre	Country	CÔTE D'IVOIRE	ACP	Natl. EU	875.000
FSNA	ENPI/2007/019-249	267571	2011	Preparation of a twinning project fiche for reforming the institutional and legislative framework of the Agriculture Research Centre	Country	EGYPT	ENP	Natl. EU	154.960
FSNA	DCI-FOOD/2010/021-972	270018	2011	Innovative approaches to cash delivery for the Malawi Social Cash Transfer Programme	Country	MALAWI	ACP	Natl. EU	2.719.408
FSNA	DCI-FOOD/2010/021-972	270127	2011	AMELIORATION SECURITE ALIMENTAIRE, PROMOTION ECONOMIQUES FILIERES AGRICOLES ET FORESTIERES	Country	GUINEA-BISSAU	ACP	Natl. non-EU	523.683
FSNA	DCI-FOOD/2010/021-972	270553	2011	Gestión del conocimiento sobre hambre y alimentación, usando metodologías innovadoras, para fortalecer las instituciones locales, reforzar las capacidades técnicas y sensibilizar a la opinión pública para articular acciones locales con polític	Country	NICARAGUA	LA	Natl. EU	748.887
FSNA	DCI-FOOD/2010/021-972	271835	2011	Iniciativas locales de bajo costo para la producción sostenible de aves criollas	Country	NICARAGUA	LA	Natl. EU	746.237
FSNA	DCI-FOOD/2010/021-972	273767	2011	Comunidades lideran la institucionalización de la soberanía y seguridad alimentaria	Country	NICARAGUA	LA	Natl. EU	667.829
FSNA	DCI-SUCRE/2009/021-090	275477	2011	SUGAR REFORM SUPPORT PROJECT-KESREF (SRSP-K) PE1	Country	KENYA	ACP	Natl. non-EU	197.608
FSNA	DCI-FOOD/2010/021-972	275543	2011	Nubanale di Batcharabu: vamos acabar com a fome	Country	GUINEA-BISSAU	ACP	Natl. non-EU	950.601

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FSNA	DCI-FOOD/2010/021-972	275747	2011	Programa Descentralizado de Segurança Alimentar e Nutricional nas Regiões da Guiné-Bissau II (PDSA/GB)	Country	GUINEA-BISSAU	ACP	Natl. EU	549.963
FSNA	DCI-FOOD/2010/021-972	275980	2011	Projet d'appui aux coopératives agricoles et aux groupements de producteurs semenciers des Régions Bolama-Bijagos, Oio, Cacheu, Quinara et Tombali-Guinée Bissau	Country	GUINEA-BISSAU	ACP	Natl. EU	612.000
FSNA	DCI-SUCRE/2010/022-223	275984	2012	Institutional Support to Strengthen the Sugar Industry Research and Development Institute (SIRDI)	Country	BELIZE	ACP	Regional	2.498.350
FSNA	DCI-FOOD/2010/021-996	276257	2011	Technology Transfer for Food Security in Asia -Production of publications	Regional		Asia	Natl. EU	70.374
FSNA	DCI-FOOD/2010/021-996	277743	2011	Promoting appropriate technology for smallholders to increase food security among indigenous peoples in Cambodia and Lao PDR	Regional		Asia	Natl. EU	3.062.627
FSNA	DCI-FOOD/2010/021-996	277888	2011	Sustainable Technology Transfer to Enhance Productivity for Ultra Poor – STEP UP	Country	BANGLADESH	Asia	Natl. EU	3.996.000
FSNA	DCI-FOOD/2010/021-996	278175	2011	Secure water to secure food and nutrition	Regional		Asia	Natl. EU	1.977.137
FSNA	DCI-FOOD/2010/021-972	278185	2011	"Ensuring a better future for small scale farmers and rural women in the olive sector"	Country	PALESTINIAN TERRITORY	ENP	Natl. non-EU	824.091
FSNA	DCI-FOOD/2010/021-972	278280	2011	Unlocking the potential of the Moringa cake as food supplement to increase the productivity and profitability of poultry and fresh water fish in Sierra Leone	Country	SIERRA LEONE	ACP	Natl. EU	879.082
FSNA	DCI-FOOD/2010/021-972	278326	2011	"From grove to market - developing the value chain for subsistence and small farmers in the oPt"	Country	PALESTINIAN TERRITORY	ENP	Natl. EU	1.100.000
FSNA	DCI-FOOD/2010/021-972	278423	2011	Food Poverty Reduction Initiative in the Moyamba District	Country	SIERRA LEONE	ACP	Natl. EU	800.000
FSNA	DCI-ALA/2010/021-526	279160	2011	Fomento del emprendimiento en la educación superior para mejorar la inserción de los profesionales al mercado laboral del sector agroalimentario potenciando el desarrollo socioeconómico de la región Latinoamericana	Regional		LA	Natl. non-EU	849.044
FSNA	DCI-FOOD/2010/021-972	279379	2011	Support to agricultural markets in Somalia	Country	SOMALIA	ACP	International	2.200.000
FSNA	DCI-FOOD/2011/023-193	279754	2011	Improving the Management of Trypanosomiasis in Smallholder Livestock Production Systems in Tse-Tse Infested Sub-Saharan Africa	Regional		ACP	Natl. EU	2.994.878
FSNA	DCI-FOOD/2011/023-578	279840	2011	Support to Association for Strengthening Agricultural Research in Eastern and Central Africa - ASARECA	Regional		ACP	International	5.000.000
FSNA	DCI-FOOD/2010/021-996	280170	2011	Cross-border transfer of agricultural technologies, institutional and market development	Country	BANGLADESH	Asia	Natl. EU	2.970.000

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FSNA	FED/2009/021-575	280510	2012	Enhanced food security through preservation and improvement of genetic diversity of sweet potato and aibika in Papua New Guinea and Solomon Islands	Country	PAPUA NEW GUINEA	ACP	Natl. non-EU	492.582
FSNA	DCI-FOOD/2010/021-972	280794	2011	Projet de mise en place d'un système d'information sur la sécurité alimentaire et nutritionnelle en Mauritanie	Country	MAURITANIA	ACP	International	500.000
FSNA	DCI-FOOD/2010/021-972	280800	2011	Projet d'Information et de COncertationStratégique sur la Sécurité Alimentaire enAssaba (PICOSA)	Country	MAURITANIA	ACP	Natl. non-EU	222.716
FSNA	FED/2009/021-575	281139	2012	Developing sustainable disease management strategies to improve vegetable production towards self sufficiency and food security in the Caribbean region	Regional		ACP	Natl. non-EU	498.970
FSNA	FED/2009/021-575	281144	2012	Enhancing productivity of land and labour through small scale mechanisation for subsistence farmers	Country	PAPUA NEW GUINEA	ACP	Natl. non-EU	390.234
FSNA	DCI-FOOD/2010/022-292	281361	2011	African Agricultural Research Meeting	Regional		ACP	Natl. EU	31.040
FSNA	DCI-FOOD/2010/021-972	281473	2011	Innovative and 'nutrition-sensitive' Food Security intervention for Improved Nutrition.	Country	MYANMAR	Asia	Natl. EU	1.012.500
FSNA	DCI-FOOD/2010/021-972	281668	2011	Local Plants for Global Markets - Developing organic and fair trade certified high value crops and under - utilized plants to improve sustainable agriculture practices and food security in Zimbabwe	Country	ZIMBABWE	ACP	Natl. EU	800.000
FSNA	DCI-FOOD/2010/021-972	281890	2011	Strategic Institutional Support to PARSEL (Partnerships in South East Lowveld)	Country	ZIMBABWE	ACP	Natl. non-EU	1.274.078
FSNA	DCI-FOOD/2010/021-972	281977	2011	Promoting the adoption of drought-tolerant potato varieties, soybean processing units and multi-story home gardening in Myanmar	Country	MYANMAR	Asia	Natl. EU	1.185.909
FSNA	DCI-FOOD/2010/021-972	282350	2011	Innovative approaches to food insecurity in Timor-Leste	Country	TIMOR-LESTE	ACP	Natl. EU	1.100.000
FSNA	DCI-FOOD/2010/021-972	282576	2011	EC Project to improve the livelihoods for most vulnerable households in Southern Ethiopia	Country	ETHIOPIA	ACP	Natl. EU	1.876.556
FSNA	DCI-FOOD/2010/021-972	282797	2011	Establishing a sustainable National Information and Early Warning System (NIEWS) on Food Security in Timor-Leste	Country	TIMOR-LESTE	ACP	International	1.052.000
FSNA	FED/2009/021-575	282938	2012	Improving Caribbean food security in the context of Climate Change	Regional		ACP	Natl. non-EU	500.000
FSNA	FED/2011/022-302	284150	2012	Préparation, Organisation and Reporting of the Meeting Agricultural Research Africa 20-22 March 2012, Brussels	Regional		ACP	Natl. EU	9.700
FSNA	DCI-FOOD/2011/023-193	287315	2012	Smallholder Innovation for Resilience: strengthening Innovation Systems for Food security in the face of climate change.	Global		Global	Natl. EU	2.338.158

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FSNA	FED/2009/021-575	288876	2012	Assessment and preparation of contracts for the 2nd Call for Proposals for African Union Research Grants	Regional		ACP	Natl. EU	169.610
FSNA	FED/2009/021-575	288903	2012	Validation and dissemination of bio intensive eco-friendly management strategies for thrips – a critical constraint to cowpea production in Africa	Regional		ACP	Natl. non-EU	746.451
FSNA	FED/2009/021-575	288950	2012	Improving Indigenous Chicken Productivity for Enhanced Livelihood and Food Security in Sub-Saharan Africa (INCIP)	Regional		ACP	Natl. non-EU	749.097
FSNA	FED/2009/021-575	288953	2012	Contribution à la relance de la productivité agricole en zones post-conflit et alentours (Sénégal, Gambie et Guinée Bissau)	Regional		ACP	Natl. non-EU	545.049
FSNA	FED/2009/021-575	288957	2012	Enhancing food security and well-being of rural African households through improved synergy between Agro-Forestry Systems and Food-crops (AFS 4 Food)	Regional		ACP	Natl. EU	748.712
FSNA	FED/2009/021-575	288958	2012	Potential of distributed grid-connected solar Photovoltaic (PV) systems in rural electrification in Africa	Regional		ACP	Natl. non-EU	747.245
FSNA	DCI-SUCRE/2008/020-035	289293	2012	Assistance Technique de court terme au Centre de Recherche Agronomique de Loudima	Country	CONGO	ACP	Natl. EU	99.930
FSNA	DCI-SUCRE/2009/021-104	289586	2012	Evaluation du programme d'appui à la recherche cannière en cours et élaboration du programme de pérenisation de la recherche	Country	CÔTE D'IVOIRE	ACP	Natl. EU	121.300
FSNA	FED/2009/021-575	290490	2012	Optimisation of Cocoa pollination for increased Cocoa Yields and Income Generation	Regional		ACP	Natl. non-EU	499.463
FSNA	DCI-FOOD/2011/023-193	290635	2012	Improving the livelihoods of small holder cassava farmers through better access to growth markets (CassavaGmarkets)	Global		Global	Natl. EU	2.888.488
FSNA	FED/2007/020-772	291164	2012	expenditure verification of 5 grant contracts for ICART	Regional		ACP	Natl. EU	43.000
FSNA	FED/2010/022-067	291241	2012	ASAL- Agricultural Productivity Research Project (ASAL-APRP)	Country	KENYA	ACP	Natl. non-EU	4.000.000
FSNA	DCI-SUCRE/2008/020-035	291286	2012	Formation sur la canne à sucre	Country	CONGO	ACP	Natl. non-EU	23.750
FSNA	FED/2010/021-422	292032	2013	Appui à la recherche cotonnière axée sur l'amélioration des revenus	Country	CÔTE D'IVOIRE	ACP	Natl. non-EU	2.726.348
FSNA	DCI-SUCRE/2011/023-247	293435	2012	Cane Variety Research and quality seedcane available to growers	Country	FIJI	ACP	Natl. non-EU	1.000.000
FSNA	ENPI/2010/022-856	295474	2012	Renforcement des capacités du Centre National de Recherche pour le développement de la Pêche et de l'Aquaculture (CNRDPA)	Country	ALGERIA	ENP	Natl. non-EU	1.140.000
FSNA	DCI-SUCRE/2009/021-090	300210	2012	Supply, Delivery, Installation and Commissioning of Instruments for Bioscience Laboratory	Country	KENYA	ACP	Natl. EU	120.713

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FSNA	DCI-ALA/2008/019-481	302582	2012	Innovación productiva e industrial para la deshidratación de frutas y hortalizas	Country	PARAGUAY	LA	Natl. non-EU	163.889
FSNA	DCI-SUCRE/2009/021-090	302657	2012	SUGAR REFORM SUPPORT PROJECT-KESREF PE 2	Country	KENYA	ACP	Natl. non-EU	457.142
FSNA	DCI-FOOD/2012/024-531	304472	2012	Additional support to the Forum for Agricultural research in Africa - Rider to the contract 2008/148721	Regional		ACP	International	4.000.000
FSNA	DCI-FOOD/2013/026-784	304546	2013	Support to the "Centre for Coordination of Agricultural Research and Development for Southern Africa" (CCARDESA) Medium Term Operational Plan 2013-2018	Regional		ACP	International	5.000.000
FSNA	DCI-FOOD/2011/023-193	304690	2012	Increasing yields of Millet and Sorghum by a new and sustainable seed technology developed in Sahel	Country	BURKINA FASO	ACP	Natl. EU	1.602.827
FSNA	DCI-FOOD/2011/023-193	304801	2012	Sustaining and Enhancing the Momentum for Innovation and Learning around the System of Rice Intensification (SRI) in the Lower Mekong River Basin	Regional		Asia	Natl. non-EU	2.908.471
FSNA	DCI-FOOD/2011/023-193	304807	2012	Supporting smallholder farmers in Southern Africa to better manage climate related risks to crop production and post harvesting handling	Regional		ACP	International	2.093.099
FSNA	FED/2009/021-575	305956	2012	Using IWRM best practices to develop Appropriate Capacity and Training for the benefit of Sub-Saharan Africa Water Security [ACT4SSAWS]	Regional		ACP	Natl. non-EU	651.279
FSNA	FED/2009/021-575	305963	2012	ICT tools for the enhancement of irrigation efficiency in West Africa	Regional		ACP	Natl. EU	748.636
FSNA	FED/2009/021-575	305966	2012	Adaptation of small-scale biogas digesters for use in rural households in Sub-Saharan Africa	Regional		ACP	Natl. non-EU	748.865
FSNA	FED/2009/021-575	305975	2012	Vers une production durable et innovante de biocarburants en adéquation avec les potentiels et les besoins de l'Afrique : PRONOVABIO	Regional		ACP	Natl. non-EU	748.897
FSNA	FED/2009/021-575	305980	2012	Improved management and technological innovation in African tilapia farms and hatcheries	Regional		ACP	Natl. non-EU	748.496
FSNA	FED/2009/021-575	306030	2012	Limiting the impact of Cassava Brown Streak Disease on smallholders, women and the cassava value chain (LimitCBSD)	Regional		ACP	Natl. EU	620.893
FSNA	FED/2009/021-575	306031	2012	Amélioration de l'après récolte et valorisation du fonio en Afrique (Aval Fonio)	Regional		ACP	Natl. EU	749.467
FSNA	FED/2009/021-575	306043	2012	Recyclage des BIOMasses Végétales et Animales dans les systèmes d'agriculture élevage (BIOVA)	Regional		ACP	Natl. non-EU	733.508



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FSNA	DCI-FOOD/2013/027-362	306775	2013	Support to the "Association for Strengthening Agricultural Research in Eastern and Central Africa" (ASARECA) Operational Plan II 2014-2018	Country	UGANDA	ACP	International	10.000.000
FSNA	FED/2009/021-575	307777	2012	Improvement of Crop-Livestock Integrated Farming Productivity and Market Access through Smallholder Lead Farmer Concept	Regional		ACP	Natl. non-EU	508.321
FSNA	FED/2009/021-575	307785	2012	Mapping of water conflicts and best management practices in pastoralist areas in the Sahel region	Regional		ACP	Natl. non-EU	548.000
FSNA	FED/2009/021-575	307840	2012	Developing decision support simulation tools based on scientifically validated indigenous/traditional and conventional knowledge for increasing agricultural production and food security in Africa	Regional		ACP	Natl. non-EU	550.000
FSNA	DCI-SUCRE/2009/021-336	316715	2013	Fourniture d'équipements au Centre de Recherche Agricole de Loudima	Country	CONGO	ACP	Natl. EU	100.000
FSNA	DCI-ALA/2009/020-391	317832	2013	Fortalecimiento de la cadena de producción de Quinoa con innovación tecnológica en la producción, beneficiado y la comercialización en la Marka Aroma, Municipio de Salinas de Garci Mendoza, Departamento Oruro / Bolivia	Regional		LA	Natl. non-EU	180.000
FSNA	FED/2010/022-067	317945	2013	Coffee Productivity Project (CPP)	Country	KENYA	ACP	Natl. non-EU	2.000.000
FSNA	DCI-FOOD/2013/026-429	318401	2013	Support to Forum for Agricultural Research in Africa –FARA (Medium Term Operational Plan 2014/2018)	Regional		ACP	International	14.000.000
FSNA	FED/2010/022-067	318838	2013	Consultancy services for Procurement Assistance to Coffee Research Foundation under the Coffee Productivity Project, KRDP	Country	KENYA	ACP	Natl. EU	86.453
FSNA	FED/2010/022-171	320079	2013	AgIM – Agricultural Information Management and Precision	Regional		ACP	Natl. EU	493.039
FSNA	FED/2010/022-171	320081	2013	Enhancing Capacities on International Agriculture Agreements for Development of Regional Agriculture and Food Markets	Regional		ACP	Natl. non-EU	486.722
FSNA	FED/2010/022-171	320091	2013	Strengthening Human Resource Capacity to Foster Agricultural and Rural Innovation in Eastern Africa	Regional		ACP	Natl. non-EU	488.166
FSNA	FED/2010/022-171	320100	2013	Strengthening University capacity to enhance competitiveness of Agribusiness in East and West Africa	Regional		ACP	Natl. non-EU	496.368
FSNA	FED/2010/022-171	320115	2013	Réseau des Universités Sahéliennes pour la Sécurité Alimentaire et la Durabilité Environnementale	Regional		ACP	Natl. EU	496.400
FSNA	FED/2010/022-171	320125	2013	Value Chain Development for Food Security in the Context of Climate Change- A contribution through strengthening capacity in higher education in Eastern Africa (ValueSeC)	Regional		ACP	Natl. EU	499.715

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FSNA	FED/2010/022-171	320133	2013	Strengthening Capacity for Food Science and Technology Teaching, Learning and Research to Add Value to Indigenous Foods For Food Security in Africa and the Caribbean (FSTinAC)	Regional		ACP	Natl. non-EU	495.296
FSNA	FED/2010/022-171	320148	2013	Enhancing nutrition and food security through improved capacity of agricultural higher education institutions in East and Southern Africa	Regional		ACP	Natl. non-EU	488.984
FSNA	FED/2010/022-171	320152	2013	FSBA Food Security and Biotechnology in Africa	Regional		ACP	Natl. EU	498.103
FSNA	FED/2010/022-171	320157	2013	DairyChain - Strengthening Capacity of Higher Education Institutions in Eastern and Western Africa to Enhance Efficiency in the Dairy Value Chain	Regional		ACP	Natl. non-EU	499.941
FSNA	FED/2010/022-171	320168	2013	ENERGY-AGRO-FOOD: Energy – Agro-food Synergies in Africa: New Educational Models for Universities	Regional		ACP	Natl. EU	499.502
FSNA	FED/2010/022-171	320185	2013	PESCADO- Pioneering Education for Sustainability of Caribbean Aquaculture Development & Opportunities	Regional		ACP	Natl. non-EU	495.463
FSNA	FED/2010/022-171	320189	2013	Mainstreaming the Biofarming System in Ethiopian and Ugandan Higher Education Institutions (MAINBIOSYS)	Regional		ACP	Natl. EU	475.969
FSNA	FED/2010/022-171	320196	2013	Capacity Building for "E-Learning Network on Food and Nutrition Security with Partner Universities in Eastern Africa and Europe" eLEFANS	Regional		ACP	Natl. EU	489.791
FSNA	FED/2010/022-171	320273	2013	IP4Growth- Enhancing Intellectual Property Capacities for Agricultural Development	Regional		ACP	Natl. EU	453.193
FSNA	FED/2010/022-171	320275	2013	CAPACITY4FOOD - Integrated Soil Fertility Management for Food Security: matching capacities in Anglophone West African Nation HEIs with local needs	Regional		ACP	Natl. EU	489.578
FSNA	FED/2010/022-171	320279	2013	FISHERMAN - Capacitybuilding for sustainable FISHERies MANagement in the southwest ocean Indian	Regional		ACP	Natl. EU	491.110
FSNA	FED/2010/022-171	320291	2013	SAPHE - Strengthening Agroforestry Programmes in Higher Education for Food Security in Sub-Saharan Africa	Regional		ACP	Natl. EU	404.956
FSNA	DCI-AFS/2011/022-779	320302	2013	Concerted Fit-for-purpose PhD training in aquaculture and fisheries to improve food security and livelihoods in Sub-Saharan Africa	Regional		ACP	Natl. non-EU	497.986
FSNA	DCI-AFS/2011/022-779	320328	2013	EU-ACP Networking for Excellence on Agriculture and Food Security	Regional		ACP	Natl. non-EU	492.483
FSNA	DCI-AFS/2011/022-779	320339	2013	ACADIA: African Center for Applicative Development & Innovation in Agribusiness	Country	UGANDA	ACP	Natl. EU	478.627
FSNA	FED/2010/021-456	322213	2013	Robusta Coffee Development Project (RCDP)	Country	SIERRA LEONE	ACP	Natl. EU	1.393.413

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FSNA	FED/2011/022-566	324770	2013	Réalisation d'activités scientifiques en appui aux plans d'aménagement des pêcheries de crevettes profondes, de poulpe et des autres ressources démersales côtières	Country	SENEGAL	ACP	Natl. non-EU	1.012.849
FSNA	DCI-FOOD/2012/023-799	325863	2013	Technical and scientific support to agriculture and food and nutrition security sectors	Global		Global	Natl. EU	5.070.000
FSNA	FED/2011/022-053	329272	2013	Optimisation of Pesticidal-plants: Technology Innovation, Outreach and Networks (OPTIONS)	Regional		ACP	Natl. EU	993.525
FSNA	FED/2011/022-053	330204	2013	International Fine Cocoa Innovation Centre (IFCIC)	Regional		ACP	Natl. non-EU	2.170.945
FSNA	FED/2011/022-053	330210	2013	In Situ Conservation and Use of Crop Wild Relatives in three ACP countries of SADC Region	Regional		ACP	Natl. EU	973.748
FSNA	FED/2011/022-053	330214	2013	GeosAF - Geomatic Technology transferred to animal health services in Southern Africa	Regional		ACP	Natl. EU	832.014
FSNA	FED/2011/022-053	330218	2013	AFRHINET: an ACP-EU Technology Transfer Network on Rainwater Harvesting Irrigation Management for Sustainable Dryland Agriculture, Food Security and Poverty Alleviation in sub-Saharan Africa	Regional		ACP	Natl. EU	999.968
FSNA	FED/2011/022-053	330219	2013	Boosting coffee productivity in Kenya and Malawi through better access to and use of modern technologies and innovations	Regional		ACP	International	804.448
FSNA	FED/2011/022-053	330223	2013	StopRats: Sustainable Technology to Overcome Pest Rodents in Africa Through Science	Regional		ACP	Natl. EU	992.689
FSNA	FED/2011/022-053	330225	2013	Western Africa Biowastes for Energy and Fertilizer (WABEF)	Regional		ACP	Natl. EU	742.893
FSNA	FED/2011/022-053	330228	2013	Strengthening the capacities for fostering innovation along potato value chains in East Africa	Regional		ACP	Natl. EU	976.041
FSNA	FED/2011/022-053	330241	2013	Strengthening capacities and informing policies for developing value chains of neglected and underutilized crops in Africa	Regional		ACP	Natl. EU	992.789
FSNA	FED/2011/022-053	330246	2013	Strengthening capacity for participatory management of indigenous livestock to foster agricultural innovation in Eastern, Southern and Western Africa	Regional		ACP	Natl. non-EU	999.737
FSNA	DCI-AFS/2011/022-779	331203	2013	Partnerships to strengthen university food and nutrition sciences training and research in Eastern and Southern Africa (PASUFONS)	Regional		ACP	Natl. non-EU	496.207
FSNA	FED/2007/020-853	331653	2013	Mid-term evaluation of the "ACP Sugar Research Programme"	Regional		ACP	Natl. EU	105.340
FSNA	DCI-ALA/2010/022-009	331799	2013	Proyecto de Innovación Tecnológica para Reproducción y Engorde Lechones	Country	PARAGUAY	LA	Natl. non-EU	200.000

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FSNA	DCI-ALA/2010/022-009	331975	2013	Creación del Centro de Capacitación, Gestión e Innovación de cadenas Productivas de Aves, Cerdos y Leche Bovina en la FCV-UNA	Country	PARAGUAY	LA	Natl. non-EU	199.936
FSNA	FED/2012/024-263	333266	2013	Delivering Innovation and technology through the REinforcement of Agricultural and Multidisciplinary RESEARCH capacity for the benefits of small-scale farmers in TFCAs	Country	ZIMBABWE	ACP	Natl. EU	2.000.000
FSNA	DCI-ALA/2009/019-774	333554	2013	Implementación de un centro de innovación productiva en quinua	Country	BOLIVIA	LA	Natl. non-EU	233.201
FSNA	DCI-SUCRE/2012/023-856	333963	2013	GRANT contract 2012 to SRIF	Country	FIJI	ACP	Natl. non-EU	1.000.000
FSNA	FED/2012/024-263	334640	2013	"Research Project: Researching and developing strategies to improve food security and economic development in Zimbabwe".	Country	ZIMBABWE	ACP	Natl. non-EU	895.276
FSNA	DCI-FOOD/2013/024-755	334896	2013	Support to International Agricultural Research for Development 2013 - CGIAR component	Global		Global	International	50.150.000
FSNA	DCI-FOOD/2013/024-755	334913	2013	Support to the Global Forum on Agricultural Research (GFAR) 2013-2016	Global		Global	International	8.000.000
Health	SANTE/2002/004-707	74014	2003	Initiative for Maternal Mortality Programme Assessment (IMMPACT)	Global		Global	Natl. EU	1.042.754
Health	ALA/2003/001-069	88072	2004	Asistencia Tecnica Internacional (ATI) al proyecto SOLEDUSA	Country	PANAMA	LA	Natl. EU	1.253.500
Health	SANTE/2005/017-352	105061	2006	Themell/ Increasing prevention and treatment of TB through development of a rapid, sensitive and affordable biological marker (genomic or proteomic) for diagnosis of TB in HIV positive or negative populations	Regional		ACP	Natl. EU	4.506.531
Health	SANTE/2006/017-998	105066	2006	Theme III/ Capacity building and clinical trials of new TB vaccines in Africa	Regional		ACP	Natl. EU	5.000.000
Health	SANTE/2006/017-998	105100	2006	Technology transfer and local production of high quality and affordable fixed dose anti-retroviral drugs	Country	TANZANIA	ACP	Natl. EU	4.990.967
Health	SANTE/2005/017-352	105316	2006	Theme III/ Infectious diseases Network for Treatment and Research in Africa(INTERACT)	Country	UGANDA	ACP	Natl. EU	4.806.264
Health	SANTE/2006/017-998	105398	2007	THEME II/Support to the Malaria Control Programme in Chókwe Region	Country	MOZAMBIQUE	ACP	Natl. EU	2.366.776
Health	ASIE/1998/002-571	109370	2005	Postgraduate psychosocial training for medical doctors	Country	VIET NAM	Asia	Natl. EU	265.376
Health	ASIE/2006/017-074	128713	2007	The Asia-Europe Clinical Epidemiology & Evidence Based Medicine Programme	Regional		Asia	Natl. EU	684.865
Health	ALA/2006/018-414	141302	2007	II -0531-FC-FA-FCD-FI Bacterialnet "Emerging antimicrobial resistance: mechanisms, management and control"	Regional		LA	Natl. EU	208.323

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Health	DCI-ALA/2007/019-194	141839	2007	Financial Audit of Project n° ALA/2002/001-069 Incorporación de nuevas tecnologías de electrificación para la salud y educación en áreas marginadas -SOLEDUSA	Country	PANAMA	LA	Natl. EU	27.122
Health	AFS/2004/016-824	146639	2007	Research and establish the role of educators in mitigating the impact of the HIV/AIDS epidemic on the educational system in South Africa	Country	SOUTH AFRICA	ACP	Natl. non-EU	321.065
Health	SANTE/2006/017-998	147790	2007	Drug Resistance Surveillance and Treatment Monitoring Network for the Public Sector HIV Antiretroviral Treatment Programme in the Free State	Country	SOUTH AFRICA	ACP	Natl. non-EU	3.473.320
Health	PP-AP/2008/023-953	160163	2008	Support to Research and development on poverty-related, tropical and neglected diseases	Global		Global	International	1.888.597
Health	DCI-ALA/2007/019-189	169157	2008	THE SAPUVETNET III PROJECT: Contributing to the Millennium Development Goals through the One Health Concept	Regional		LA	Natl. EU	714.269
Health	PP-AP/2008/023-958	172129	2008	Improving access to medicines in developing countries through pharmaceutical-related technology transfer and local production	Global		Global	International	1.665.000
Health	DCI-NSAPVD/2007/019-406	172519	2008	Equipamiento de Tecnología e Instrumental Quirúrgico para el Hospital San Juan de Dios de Caracas	Country	VENEZUELA	LA	Natl. non-EU	169.177
Health	FED/1998/014-078	176167	2001	CM - FAC.OF MED.AND BIOMEDICAL SCIENCES,YAOUNDE (B.M.B.S)+ A	Regional		ACP	Natl. non-EU	2.858.508
Health	FED/1999/014-476	182911	1999	HERA APPRAISAL STUDY (TTD 333.975,8)	Regional		ACP	Natl. EU	65.570
Health	FED/2005/017-570	193986	2007	GHENT UNIVERSITY - PRIMARY HEALTH CARE-FAMILY MEDICINE EDUCATION NETWORK - AFAMED	Regional		ACP	Natl. EU	474.990
Health	FED/2005/017-570	193989	2007	KOLN UNIVERSITY -PRO MHI AFRICA -EU-AFRICAN UNIVERSITY NETWORK TO STRENGTHEN COMMUNITY-BASED MICRO HEALTH INSURANCE	Regional		ACP	Natl. EU	499.926
Health	FED/2005/017-570	193993	2007	AGA KHAN UNIVERSITY - IMPROVING NURSING EDUCATION AND PRACTICE IN EAST AFRICA - INEPEA	Regional		ACP	Natl. non-EU	191.755
Health	FED/2005/017-570	194002	2008	GRANT: CREATION D'UN CURRICULUM AXE SUR LA QUALITE DES SOINS DE SANTE EN AFRIQUE DE L'OUEST	Regional		ACP	Natl. EU	388.982
Health	FED/2005/017-570	194009	2008	GRANT:MEDI-SHARE-IMPROVING CAPACITY OF HEALTH SECTOR RESEARCHERS IN ACP HEIS BY SHARING WORLDWIDE RECOGNISED IT	Regional		ACP	Natl. EU	500.000
Health	FED/2006/018-327	196695	2007	UNIVERSITY OF BOTSWANA (A NETWORK OF ACP UNIVERSITIES TO STRENGTHEN REGIONAL HIV/AIDS RESPONSES)	Regional		ACP	Natl. non-EU	300.696

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Health	FED/2007/020-827	197637	2008	UNIVERSIDADE DO PORTO: A NAME FOR HEALTH - A NETWORK APPROACH IN MEDICAL EDUCATION	Regional		ACP	Natl. EU	339.104
Health	ALA/2003/001-069	199835	2009	Evaluacion del proyecto Soledusa	Country	PANAMA	LA	Natl. EU	43.991
Health	MED/2006/018-252	213462	2009	developing and validating a tool for monitoring the heart of patients with iron overloading	Country	EGYPT	ENP	Natl. non-EU	223.895
Health	MED/2006/018-252	213554	2009	Evidence based telemedicine and decision support system for remote and rural undeserved regions in egypt using ehealth platforms	Country	EGYPT	ENP	Natl. non-EU	250.981
Health	MED/2006/018-252	213608	2009	Universal Red Blood Cell Enzymatic conversion of blood group A & B antigens to Blood group o ( ECO)	Country	EGYPT	ENP	Natl. non-EU	260.626
Health	MED/2006/018-252	213666	2009	Development of anti-hepatitis C virus ( HCV) drug from blue green algae	Country	EGYPT	ENP	Natl. non-EU	197.484
Health	MED/2006/018-252	214419	2009	Development of new technique for screening and treatment of retinal disorders.	Country	EGYPT	ENP	Natl. non-EU	202.652
Health	FED/2006/018-593	217058	2009	Community based system in HIV treatment	Regional		ACP	Natl. EU	994.903
Health	FED/2006/018-593	217065	2009	Améliorer l'interface entre presatataires de soins officiels et traditionnels pour une meilleure prise en charge des pathologies prioritaires et accélérer l'atteinte des OMD Santé en Afrique	Regional		ACP	Natl. EU	998.232
Health	FED/2006/018-593	217075	2009	One health national networks for enhanced research in infectious diseases	Regional		ACP	Natl. non-EU	935.850
Health	AFS/2006/018-197	219013	2009	Southern African River Assessment Scheme: establishment of a capacity-building research framework to promote river health and biodiversity in tropical southern Africa	Regional		ACP	Natl. EU	758.939
Health	AFS/2006/018-197	219014	2009	Réseau S&T Afrique Caraïbe de soutien à la lutte contre les maladies infectieuses	Regional		ACP	Natl. EU	967.742
Health	N/a	220143	2008	Support to Regional Networks for Health Product R&D Innovation in Africa, Asia and Latin America	Global		Global	International	5.000.000
Health	PP-AP/2009/021-142	234273	2010	Implementation of an "Air pollution and health" observation network in Central China	Country	CHINA	Asia	Natl. non-EU	56.500
Health	PP-AP/2009/021-831	236101	2010	Addendum 1 to contract PP-AP/2008/172129 - Improving access to medicines in developing countries through pharmaceutical-related technology transfer and local production	Global		Global	International	519.000
Health	FED/2006/018-327	242969	2010	Mid-term Review of the Intra-ACP Health and Development Innovation Consortium (HDIC) Programme	Regional		ACP	Natl. EU	40.088

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Health	PP-AP/2010/024-004	253959	2010	Promoting research for improved community access to health interventions in Africa	Regional		ACP	International	3.000.000
Health	PP-AP/2009/021-831	259165	2010	Improving access to medical products in developing countries through building capacity building for local production and related technology transfer	Global		Global	International	4.481.000
Health	FED/2011/022-053	330215	2013	One Health, One Caribbean, One Love	Regional		ACP	Natl. non-EU	989.693
EnvCC	ALA/1997/001-077	81332	2004	II-0266-FA "Incorporating Wood Properties into Forest Tree Breeding Programs (GEMA, GENetica de la MAdera)"	Regional		LA	Natl. EU	442.380
EnvCC	ASIE/2004/016-684	110651	2005	APPLICATION OF INNOVATIVE TECHNOLOGIES FOR THE RECLAMATION AND ENVIRONMENTAL IMPROVEMENT OF DERELICT URBAN AREAS IN DHAKA CITY (BANGLADESH)	Country	BANGLADESH	Asia	Natl. EU	658.001
EnvCC	ASIE/2004/006-130	110744	2005	Human Resources Development for the improvement and protection of environment in Asia (HRD)	Country	CHINA	Asia	Natl. EU	564.332
EnvCC	ASIE/2004/006-130	111729	2005	New Interuniversity Network for Energy and Environment – NINFEE	Regional		Asia	Natl. EU	328.397
EnvCC	ALA/1997/001-077	111796	2005	II-543-FI-FA-FCD Tecnologías sostenibles para la potabilización y el tratamiento de aguas residuales (TECSPAR)	Regional		LA	Natl. non-EU	357.130
EnvCC	ASIE/2004/006-130	112629	2005	Restructuring higher education in resource and environmental economics in East-Asian transition economies	Regional		Asia	Natl. EU	353.978
EnvCC	ASIE/2004/006-130	112637	2005	Euro-Asian Research and Training in Climate Change Management (CLIMA)	Country	PAKISTAN	Asia	Natl. EU	738.106
EnvCC	ASIE/2004/006-130	113128	2005	Development of Teaching and Training Modules for Higher Education on Low-Cost Wastewater Treatment	Regional		Asia	Natl. EU	688.978
EnvCC	ENV/2006/017-911	114431	2007	Rural Energy Production from Bioenergy Projects: Providing regulatory and impact assessment frameworks, furthering sustainable biomass production policies and reducing associated risks (RE-Impact)	Global		Global	Natl. EU	1.823.200
EnvCC	TACIS/2004/016-768	125970	2006	NP Kolarctic - Northern Coniferous Forests - Tools through research for the sustainable use of forests in the Barents Region	Country	RUSSIAN FEDERATION	ENP	Natl. EU	144.244
EnvCC	ASIE/2006/017-485	128271	2007	Asia Interprise EU-China Environmental Technologies 2007	Regional		Asia	Natl. EU	150.352
EnvCC	TACIS/2005/017-611	139378	2008	Technologies and methodologies for reducing gas losses of the Central Asian gas transit system	Regional		Asia	Natl. EU	1.459.003
EnvCC	TACIS/2005/017-611	139380	2007	Preparation of TOR "Technologies and methodologies for reducing gas losses of the Central Asian gas transit system"	Regional		Asia	Natl. EU	53.366

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EnvCC	ASIE/2006/017-074	141055	2007	Managing the Health and Reproduction of Elephant Populations in ASIA	Regional		Asia	Natl. non-EU	633.647
EnvCC	ASIE/2006/017-074	142966	2007	CALIBRE: Cambodia and Laos Initiative for Building Human Resources for the Environment	Regional		Asia	Natl. EU	590.906
EnvCC	DCI-ENV/2008/019-801	151384	2008	Gérer durablement la ressource bois énergie en RDC - projet MAKALA	Regional		ACP	Natl. EU	2.434.175
EnvCC	DCI-ENV/2008/019-801	151872	2008	Use of Jatropha plant to improve sustainable renewable energy development and create income-generating activities: an integrated approach to ensure sustainable livelihood conditions and mitigate land degradation effects in rural areas of Ghana	Country	GHANA	ACP	Natl. EU	1.916.863
EnvCC	DCI-ASIE/2007/019-266	152438	2008	"TRAIN OF TRAINERS": A PROPOSAL TO TRAIN CHINESE CONSTRUCTION SECTOR SMES IN ENERGY SAVING TECHNIQUES & TECHNOLOGIES	Country	CHINA	Asia	Regional	2.383.359
EnvCC	DCI-ASIE/2007/019-266	152520	2008	Enhancing Environmental Performance in Key Sri Lankan Export Sectors	Country	SRI LANKA	Asia	Natl. non-EU	1.270.831
EnvCC	DCI-ASIE/2007/019-266	152738	2008	Electric Motor Systems Energy-Saving Challenge – Improving the Operating Efficiency of Chinese Electric Motor Systems	Country	CHINA	Asia	Natl. non-EU	871.459
EnvCC	DCI-ASIE/2007/019-266	153224	2008	Sustainable Public Procurement in Urban Administrations in China (SuPP-Urb China)	Country	CHINA	Asia	Natl. EU	705.582
EnvCC	DCI-ASIE/2007/018-800	159808	2008	DoF- Technology Transfer and Capacity Building for Development and Improvement of Thailand's Marine Shrimp Aquaculture Certification System -	Country	THAILAND	Asia	Natl. non-EU	198.698
EnvCC	DCI-ASIE/2007/019-266	165314	2008	SWITCH Network Facility	Regional		Asia	Natl. EU	1.793.931
EnvCC	PP-AP/2007/019-460	168256	2008	Airborne flux measurement of energy budget and climate effective gases in Inner Mongolia	Country	CHINA	Asia	Natl. non-EU	49.876
EnvCC	PP-AP/2007/019-460	168353	2008	Renewable energy, offshore Oil and Gas exploration and exploitation. International Trade and Environmental implications	Country	CHINA	Asia	Natl. non-EU	50.500
EnvCC	MED/2006/018-252	169031	2009	Innovation Environmental and Economic Rice Waste Management	Country	EGYPT	ENP	Natl. non-EU	121.749
EnvCC	DCI-ASIE/2007/018-800	171181	2008	Geodetic Earth Observation Technologies for Thailand: Environmental Change Detection and Investigation (GEO2TECDI)	Country	THAILAND	Asia	Natl. non-EU	92.539
EnvCC	DCI-ASIE/2007/019-266	171201	2008	Mainstreaming Energy Efficiency Through Business Innovation Support Vietnam (MEET-BIS Vietnam)	Regional		Asia	Natl. EU	1.554.735
EnvCC	MED/2006/018-252	172215	2009	Sandwich Structures for Wind Turbine Blades	Country	EGYPT	ENP	Natl. non-EU	272.986



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EnvCC	FED/2007/018-827	195981	2007	SIEGE: INNOVATION ENERGIE DEVELOPPEMENT- APPUI AU CLUB DES AGENCES/STRUC.NATIONALES DE L'ELECTRIFICATION RURALE (261)	Regional		ACP	Natl. EU	1.119.976
EnvCC	FED/2006/018-495	196559	2007	GRANT CONTRACT: ESTABLISHMENT OF A FORESTRY RESEARCH NETWORK	Regional		ACP	Natl. non-EU	5.767.349
EnvCC	FED/2007/020-827	197623	2008	UNIVERSITY OF GRONINGEN: ESPRIT - ENVIRONMENTAL SUSTAINABILITY: PRIORITY EDUCATION AND RESEARCH IN THE TROPICS	Regional		ACP	Natl. EU	445.835
EnvCC	FED/2007/020-827	197624	2008	WAGENINGEN UNIVERSITY: AFRICAN-EUROPEAN ACADEMIC ALLIANCE FOR SUSTAINABLE TOURISM, ENVIRONMENTAL SUSTAINABILITY	Regional		ACP	Natl. EU	461.059
EnvCC	FED/2007/020-827	197642	2008	UNIVERSITY OF THE WEST INDIES, TRINIDAD: DEVELOPMENT OF A MSC IN BIODIVERSITY CONSERVATION AND SUSTAINABLE DEVELOPMENT	Regional		ACP	Natl. non-EU	402.398
EnvCC	FED/2007/019-200	197758	2008	BRDS - SUPPLY OF LABORATORY MATERIALS	Regional		ACP	Natl. non-EU	93.177
EnvCC	DCI-ASIE/2008/019-803	202550	2009	Sustainable Product Innovation in Vietnam.Cambodia and Lao	Regional		Asia	Natl. EU	2.283.826
EnvCC	DCI-ASIE/2008/019-803	203331	2009	Zero Carbon Resorts- Building Energy Autonomous Resorts Creating Appropriate Technology Solutions.	Country	PHILIPPINES	Asia	Natl. EU	1.687.087
EnvCC	DCI-ENV/2009/020-657	208441	2009	Cooperation on Clean Coal Technology (CCT) and Carbon Capture and Storage (CCS) with coal-dependent developing and emerging country partners - "Inventory of Methods" & "Capacity Building activities"	Global		Global	Natl. EU	54.164
EnvCC	MED/2006/018-252	213593	2009	Innovative renewable energy (RE) driven- Multi Stage Flash (MSF) system with salts precipitator and nano filtration (NF) feed water pre treatment	Country	EGYPT	ENP	Natl. non-EU	337.221
EnvCC	FED/2006/018-593	216969	2009	Small developing island renewable energy knowledge and technology transfer	Regional		ACP	Natl. EU	979.951
EnvCC	FED/2006/018-593	217068	2009	Transport and Environment - Science Technology (TEST) Network	Regional		ACP	Natl. EU	627.471
EnvCC	FED/2006/018-593	217069	2009	Caribbean Agrometeorological Initiative	Regional		ACP	Natl. non-EU	558.293
EnvCC	FED/2006/018-593	217072	2009	Building Human and institutional capacity for enhancing the conservation and use of neglected and underline species of crops in West Africa, and Eastern and Southern Africa	Regional		ACP	Natl. non-EU	944.534
EnvCC	FED/2006/018-593	217077	2009	Biodiversity Integration and rural development	Regional		ACP	Natl. EU	907.626

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EnvCC	FED/2006/018-593	217079	2009	Recherche appliquée pour la valorisation et la transformation des ressources naturelles dans un processus de lutte contre la pauvreté au Chad et Cameroun	Regional		ACP	Natl. EU	1.000.000
EnvCC	FED/2006/018-593	218780	2009	Capacity Development in Conservation and Utilization of Invaluable Plant Genetic Resources in Western Pacific countries	Country	PAPUA NEW GUINEA	ACP	Natl. non-EU	757.968
EnvCC	FED/2006/018-593	218783	2009	Developing Research Capacity Among African Environmental Scientists	Regional		ACP	Natl. EU	360.540
EnvCC	PP-AP/2009/020-465	220992	2009	Support to the African Network of Centres of Excellence in Water Sciences and Development (ACE-WATER)	Regional		ACP	Natl. EU	1.500.000
EnvCC	DCI-ENV/2008/019-960	221869	2009	Global Climate Change Alliance (GCCA) Support Facility	Regional		Not available	Natl. non-EU	5.000.000
EnvCC	DCI-ASIE/2009/021-502	223155	2009	Audit of 'Application of innovative technologies for the reclamation and environmental improvement of derelict urban areas in Dhaka City	Country	BANGLADESH	Asia	Natl. EU	38.541
EnvCC	DCI-ASIE/2008/019-803	223411	2009	Creating GreenPhilippines Islands of Sustainability	Country	PHILIPPINES	Asia	Natl. non-EU	1.908.776
EnvCC	DCI-ENV/2009/021-476	229141	2009	Cambodia Climate Change Alliance (CCCA)	Country	CAMBODIA	Asia	International	5.000.000
EnvCC	PP-AP/2009/021-142	233524	2010	Hybrid control of cooperating multi-agents. An application to platoons of vehicles on highways and rescue missions in unknown environments	Country	CHINA	Asia	Natl. non-EU	56.500
EnvCC	PP-AP/2009/021-142	234062	2010	Competition law v. trade law, trade law v. environmental law: cross-area issues' effects on EU-China relations	Country	CHINA	Asia	Natl. non-EU	56.500
EnvCC	DCI-ALA/2010/021-126	236079	2010	ADMINISTRATIVE ARRANGEMENT N ° 2010 / 236-079 BETWEEN EUROPEAID COOPERATION OFFICE (DG AIDCO) AND THE JOINT RESEARCH CENTRE (JRC). EuroCLIMA.	Regional		LA	Natl. EU	1.850.000
EnvCC	DCI-ASIE/2008/020-141	240213	2010	China-EU Institute for Clean and Renewable Energy (ICARE) at Huazhong University of Science and Technology	Country	CHINA	Asia	Natl. EU	9.360.230
EnvCC	DCI-ENV/2009/020-539	243865	2010	Low-Carbon Opportunities for Industrial Regions of Ukraine (LCOIR-UA))	Country	UKRAINE	ENP	Natl. non-EU	129.409
EnvCC	DCI-ENV/2009/020-539	243895	2010	ACCESS: Assistance in Clean Coal and Environmentally sound Storage Solutions	Country	KAZAKHSTAN	Asia	Natl. EU	480.958
EnvCC	DCI-ENV/2009/020-539	243909	2010	South Africa-Europe Cooperation on Carbon Capture and Storage (SAFECCS)	Country	SOUTH AFRICA	ACP	Natl. EU	431.124
EnvCC	DCI-ENV/2009/020-539	243936	2010	Demonstration, dissemination and deployment of CCT and CCS in Ukraine	Country	UKRAINE	ENP	Natl. non-EU	437.000

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EnvCC	DCI-ENV/2009/020-539	243963	2010	Developing a Cluster for Clean Coal Technologies and Carbon Capture and Storage Technologies for the Indian Thermal Power Sector	Global		Global	Natl. non-EU	500.000
EnvCC	DCI-ENV/2009/020-539	243966	2010	Promotion of a sustained CCT capacity in India	Country	INDIA	Asia	Natl. EU	495.957
EnvCC	DCI-ENV/2009/020-655	247301	2010	ADAPTING TO CLIMATE CHANGE AND MITIGATING WATER SCARCITY BY INNOVATIVE URBAN WATER MANAGEMENT IN CUBA	Country	CUBA	ACP	International	890.503
EnvCC	DCI-ENV/2009/020-539	253567	2010	Promotion of German CCT and CCS technologies to the Russian Federation	Country	RUSSIAN FEDERATION	ENP	Natl. EU	469.000
EnvCC	DCI-ENV/2009/020-656	254772	2010	CONSERVATION RESEARCH FOR EAST AFRICA S THREATENED ECOSYSTEMS (CREATE)	Regional		ACP	Natl. EU	1.500.000
EnvCC	DCI-ALA/2010/021-526	254782	2010	CELA - Network of Climate Change Technology Transfer Centres in Europe and Latin America	Regional		LA	Natl. EU	1.249.113
EnvCC	DCI-ASIE/2009/020-525	255312	2010	Geodetic Earth Observation Technologies for Thailand: Environmental Change Detection and Investigation, towards a Sea Offensive Next Generation (GEO2TECDI-SONG)	Country	THAILAND	Asia	Natl. EU	189.618
EnvCC	DCI-ENV/2009/020-656	256762	2010	Towards clean energy technologies and innovative environmental solutions in Lebanon	Country	LEBANON	ENP	Natl. EU	1.498.778
EnvCC	FED/2009/021-508	258661	2010	Support to the Global Climate Change Alliance (GCCA) through capacity building, community engagement and applied research	Regional		ACP	Natl. non-EU	8.000.000
EnvCC	DCI-ASIE/2010/022-008	262965	2011	Low Energy Housing in Sichuan and Shenzhen, China - Enable and enforce energy efficient building construction	Country	CHINA	Asia	Natl. EU	1.183.060
EnvCC	DCI-ASIE/2010/022-008	263057	2011	Implementing Sustainable Consumption in Civil Society of Urban China	Country	CHINA	Asia	Natl. non-EU	783.185
EnvCC	DCI-ASIE/2010/022-008	263084	2011	Improving resource efficiency for the production and recycling of electronic products by adoption of waste tracking system	Country	CHINA	Asia	Natl. EU	1.401.113
EnvCC	DCI-ASIE/2010/022-008	263120	2011	GetGreen VN Sustainable Living and Working in Vietnam	Country	VIET NAM	Asia	Natl. EU	1.094.456
EnvCC	DCI-ASIE/2010/022-008	263160	2011	Sustainable production through market penetration of closed loop technologies in the metal finishing industry (ACIDLOOP)	Country	INDIA	Asia	Natl. non-EU	1.916.056
EnvCC	DCI-ENV/2010/022-456	263777	2011	Kick start expert mission for the start up implementation of the GCCA-E	Country	ETHIOPIA	ACP	Natl. EU	5.000.000

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EnvCC	FED/2010/022-467	265611	2011	GHANA - Provision of modern, affordable and sustainable energy services to rural poor communities in West African countries from Jatropha curcas oil: an integrated approach based on technological transfer and capacity building improvement	Country	GHANA	ACP	Natl. EU	1.653.903
EnvCC	DCI-ENV/2010/021-846	267334	2011	Innovative Approaches Towards Rehabilitating the Mau Ecosystem	Country	KENYA	ACP	International	2.114.560
EnvCC	ENPI/2007/019-239	271255	2011	Assistance Technique pour le Centre International des Technologies de l'Environnement de Tunis (CITET) dans le cadre de la composante Environnement du " Programme Environnement Energie"	Country	TUNISIA	ENP	Natl. EU	2.568.673
EnvCC	FED/2009/021-575	281131	2012	Changing Waves and Coasts in the Pacific	Regional		ACP	Regional	499.233
EnvCC	FED/2009/021-575	281134	2012	Global-Local Caribbean Climate Change Adaptation and Mitigation Scenarios	Regional		ACP	Natl. non-EU	499.299
EnvCC	FED/2009/021-575	281140	2012	Impact on a freshwater lens in atoll environments under different climate and abstraction scenarios	Regional		ACP	Regional	500.000
EnvCC	FED/2009/021-575	281147	2012	Climate Change Adaptation Strategies for Water Resources and Human Livelihoods in the Coastal Zones of Small Islands Developing States	Regional		ACP	Natl. non-EU	472.979
EnvCC	DCI-ENV/2010/022-456	281266	2011	GCCA Ethiopia: Pilot Testing Climate Change Activities within the SLM Programme	Country	ETHIOPIA	ACP	Natl. EU	5.000.000
EnvCC	FED/2009/021-575	288961	2012	Groundwater Resource in Basement rocks of Africa (GRIBA)	Regional		ACP	Natl. EU	749.726
EnvCC	FED/2009/021-575	289002	2012	FOstering ReneWable and Sustainable Energy in Africa through R&D (FORWARD)	Regional		ACP	Natl. non-EU	721.366
EnvCC	FED/2009/021-575	289007	2012	Development of a Cost-effective, modular and Dry Concentrating Solar Power for Africa: Design and Test of Components	Regional		ACP	Natl. non-EU	743.096
EnvCC	FED/2009/021-575	289014	2012	Mise au point de technologies de production et d'utilisation durables de biocarburant de Jatropha curcas pour une réduction de la pauvreté rurale en Afrique de l'Ouest	Regional		ACP	Natl. EU	697.781
EnvCC	DCI-ASIE/2011/022-862	291458	2012	Promotion and deployment of energy efficient air conditioners in ASEAN	Regional		Asia	Natl. EU	1.749.100
EnvCC	DCI-ASIE/2011/022-862	291595	2012	Greening food production and consumption: Transforming the highly polluting and resource consuming edible bamboo shoot industry into a sustainable value chain in China	Country	CHINA	Asia	Natl. non-EU	1.981.000

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EnvCC	DCI-ENV/2011/023-089	293779	2012	Global Climate Change Alliance in the Lower Mekong Basin - Addressing ecosystem challenges through the support to the Climate Change Adaptation Initiative of the Mekong River Commission	Regional		Asia	Regional	5.000.000
EnvCC	DCI-ENV/2010/022-636	295661	2012	Enhancing Belize's resilience to adapt to the effects of climate change	Country	BELIZE	ACP	International	5.000.000
EnvCC	DCI-ASIE/2012/023-422	311510	2013	Implementation of environmental management systems and eco-labelling schemes in the SMEs of the leather sector in Bangladesh	Country	BANGLADESH	Asia	Natl. EU	1.880.984
EnvCC	DCI-ASIE/2012/023-422	311804	2013	Sustainable production of commercially viable products from municipal wastes through public-private partnerships in Green SMEs, Green City, Green Agro Products, and Green Employment Generation (Short form: PPP for 4Gs)	Country	NEPAL	Asia	Natl. non-EU	982.577
EnvCC	DCI-ASIE/2012/023-422	312047	2013	Green Public Procurement in Bhutan: A cross sectoral strategy for sustainable industrial competitiveness	Country	BHUTAN	Asia	Natl. non-EU	1.919.077
EnvCC	ENPI/2009/020-479	319164	2013	Supply of a pilot solar thermal power plant (concentrating solar power-CSP pilot plant) for the National Centre for Research and Development/Energy research programme (NERC)	Country	JORDAN	ENP	Natl. EU	4.572.952
EnvCC	ENPI/2009/020-479	319327	2013	Supply and installation of a wind pilot plant for the National Centre for Research and Development/Energy research programme (NERC)	Country	JORDAN	ENP	Natl. EU	2.920.000
EnvCC	FED/2010/022-171	320159	2013	Mainstreaming Energy Efficiency and Climate Change in Built Environment Training and Research in the Caribbean (CarEnTrain)	Regional		ACP	Natl. non-EU	486.152
EnvCC	FED/2010/022-171	320163	2013	Capacity building in applied renewable energy technologies in Guyana and Suriname	Regional		ACP	Natl. non-EU	457.640
EnvCC	DCI-AFS/2011/022-779	320333	2013	Participatory Integrated Assessment of Energy Systems to promote Energy Access and Efficiency (PARTICIPIA)	Regional		ACP	Natl. EU	497.499
EnvCC	FED/2006/018-495	320559	2013	Evaluation of the ESTABLISHMENT OF A FORESTRY RESEARCH NETWORK (FORENET)	Regional		ACP	Natl. EU	165.934
EnvCC	DCI-ASIE/2013/024-732	327943	2013	Financial audit of grant "Mainstreaming Energy Efficiency Through Business Innovation Support Vietnam (MEET-BIS Vietnam)" - 171201	Country	VIET NAM	Asia	Natl. EU	19.104
EnvCC	FED/2011/022-053	330221	2013	NEED: network of excellence in renewable energy technologies for development	Regional		ACP	Natl. EU	995.253

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EnvCC	FED/2011/022-053	330235	2013	ENRICH - Enhancing Energy Accessibility & Efficiency through establishing sustainable STI support national networks with a regional dimension in East Africa	Regional		ACP	Natl. EU	730.299
EnvCC	FED/2011/022-053	330236	2013	BIOCHAR PLUS - Energy, health, agricultural and environmental benefits from biochar use: building capacities in ACP countries	Regional		ACP	Natl. EU	999.757
EnvCC	FED/2011/022-053	330248	2013	Promoting Sustainable Energy Access through the use of Geospatial Technologies in West Africa	Regional		ACP	Regional	927.204
EnvCC	DCI-ENV/2012/023-835	330784	2013	Local Climate Adaptative Living Facility (LoCAL) - GCCA	Regional		Not available	International	5.000.000
EnvCC	DCI-ASIE/2012/023-422	334148	2013	Increasing the Uptake of High Efficiency Motors (HEMs) and Drive Systems in Philippine Industries	Regional		Asia	Natl. non-EU	1.576.375
EnvCC	DCI-ASIE/2012/023-422	334617	2013	Mainstreaming Energy Efficiency Through Business Innovation Support (MEET-BIS Cambodia)	Country	CAMBODIA	Asia	Natl. EU	1.796.576
EnvCC	DCI-ENV/2012/024-114	335097	2013	Programme Estimate n. I for the period January 2014 - June 2015	Regional		ACP	Regional	5.000.000
EnvCC	DCI-ENV/2012/023-839	336378	2013	Scientific support to GCCA	Global		Global	Natl. EU	0
SISS	MED/2000/003-958	70567	2003	EuroMed Innovation and Technology Programme	Regional		ENP	Natl. EU	7.169.236
SISS	ASIE/2003/005-627	89630	2004	Computerized Assistance to clothing design and Fashion Management (CACDFM)	Country	BANGLADESH	Asia	Natl. EU	198.700
SISS	ASIE/2003/005-627	91777	2004	NeLRaLEC - Nepali Language Resources and Localisation for Education and Communication	Regional		Asia	Natl. EU	397.013
SISS	ALA/1997/001-077	95773	2005	II-0464-FA-FCD-FC: Human rights facing security (HUSE)	Regional		LA	Natl. EU	315.000
SISS	ALA/2004/016-909	96149	2005	II-0375-FA EULADIV	Regional		LA	Natl. EU	175.942
SISS	ALA/1997/001-077	96339	2005	II-0472-FA:LER: Language Engineering and Rigorous Software Development	Regional		LA	Natl. EU	478.717
SISS	ALA/2004/016-909	96349	2005	II-0470-FA-FCD-FI-FC: FARO - Formação Avançada no setor das rochas ornamentais e do geoprocessamento	Regional		LA	Natl. EU	209.870
SISS	ALA/1997/001-077	98144	2005	II-0467-FA-FI: IPECA. Imagerie des B-puces en épidémiologie à la chirurgie assistée	Regional		LA	Natl. EU	480.921
SISS	ALA/2004/016-909	99866	2005	ALFA II -0440-FA - VALNATURA	Regional		LA	Natl. EU	235.576
SISS	ASIE/1998/002-571	101662	2005	Asia eBIT - A model for net-based learning to help bridge the knowledge divide	Regional		Asia	Natl. EU	286.837
SISS	ASIE/1998/002-571	102478	2005	IMSt&E - Innovative Management Strategies & Education (HRD)	Regional		Asia	Natl. EU	290.425
SISS	ALA/2004/016-909	102976	2005	ALFA II-0455-FC EUFORLA	Regional		LA	Natl. EU	298.994

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SISS	ALA/2004/016-909	103886	2005	AML/19.0902/04/16909/II-0400-FA	Regional		LA	Natl. EU	232.494
SISS	ASIE/1998/002-571	105139	2005	Euro-Philippine Network in Banking and Finance: Teaching and Research	Country	PHILIPPINES	Asia	Natl. EU	243.401
SISS	ALA/2000/001-079	105782	2005	URB-AL R13-A6-05 "Servicios e infraestructuras de apoyo empresarial: transferencia de metodologías y nuevos desarrollos sobre la base de la tecnologías de la información y la comunicación" - Ayuntamiento de Gijón - España	Regional		LA	Natl. EU	208.954
SISS	ALA/2004/016-909	107201	2005	ALFA II-0433-FA-FCD-FI	Regional		LA	Natl. non-EU	533.811
SISS	ALA/2004/016-909	107642	2005	ALFA II-0398-A-FA-FCD-FI-FC LAEHR Latin American and European network on Human Rights	Regional		LA	Natl. EU	727.814
SISS	ALA/1997/001-077	108409	2005	ALFA II-0419-FA-FCD-FI	Regional		LA	Natl. EU	185.940
SISS	ASIE/2004/006-130	108445	2005	Human Resources Development in the Study of Nucleic Acids	Regional		Asia	Natl. EU	284.304
SISS	ALA/1997/001-077	108709	2005	ALFA II-0380-FA-FI	Regional		LA	Natl. EU	118.831
SISS	ALA/1997/001-077	108842	2005	ALFA II 0487-FDC-FI	Regional		LA	Natl. EU	277.892
SISS	ALA/2004/016-909	110235	2005	II-0500-A	Regional		LA	Natl. EU	150.065
SISS	ASIE/2004/006-130	110374	2005	URO - A new curriculum to improve the "quality of life" for people with URinary incOntinence (CD)	Country	CHINA	Asia	Natl. EU	299.972
SISS	ALA/1997/001-077	110628	2005	II-529-A -TUNING AMERICA LATINA: Carreras por competencias	Regional		LA	Natl. EU	926.037
SISS	ASIE/2004/006-130	111000	2005	Collaboration in Research and Development of New Curriculum in Sound & Vibration	Country	INDIA	Asia	Natl. EU	725.633
SISS	ASIE/2004/006-130	111084	2005	EASTWEB: building an integrated leading Euro-Asian higher education and research community in the field of the Semantic WEB	Regional		Asia	Natl. EU	691.022
SISS	ASIE/1998/002-571	111490	2005	The Europe-South Asia Maritime Heritage Project: Teaching Methodologies, Distance Learning & Multimedia Course Material Development.	Country	BANGLADESH	Asia	Natl. non-EU	565.696
SISS	ALA/1997/001-077	111714	2005	ALFA II-0537-FC-FA	Regional		LA	Natl. EU	982.734
SISS	ALA/2000/001-079	112561	2005	URB-AL II R13-A12-05 "Tecnología y ciencia aplicadas al desarrollo para gobiernos locales de América Latina y la Unión Europea - TECALE" - Intendencia Municipal de Colonia - Uruguay	Regional		LA	Natl. non-EU	248.188
SISS	ASIE/2002/004-032	115474	2006	Bangladesh Technology Information Programme(BITMAP)	Country	BANGLADESH	Asia	Natl. EU	290.942
SISS	ALA/1997/001-077	116207	2006	II-525-FI: NICRON (Fault-Tolerant System Design and Verification for Safety Critical Applications Built from Advanced Integrated Circuits)	Regional		LA	Natl. EU	489.206

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SISS	ASIE/2002/004-032	116254	2006	EU-Malaysia Biotechnology Business Partnership (EUM-BIO) MY/Asia-Invest/04 (116-254)	Country	MALAYSIA	Asia	Natl. non-EU	392.692
SISS	ALA/1997/001-077	116301	2006	II-0493-FA-FI	Regional		LA	Natl. EU	248.408
SISS	ALA/2000/001-079	122037	2006	URB-AL R9-A2-06 "E-Presupuesto: tecnologías de la información y las comunicaciones (TIC) como herramienta para fomentar la participación pública en la gobernanza municipal" Esbjerg Kommune - Danemark	Regional		LA	Natl. EU	249.679
SISS	TACIS/2004/016-768	123850	2006	South-East Finland Neighbourhood Programme - Finnish-Russian Technology Concept in St. Petersburg	Country	RUSSIAN FEDERATION	ENP	Natl. EU	156.119
SISS	ASIE/2006/017-074	128899	2007	Title EU Asia Inter-University Network for Teaching and Research in Public Procurement Regulation	Regional		Asia	Natl. EU	443.303
SISS	ALA/2006/018-414	129842	2007	AML/19.0902/06/18414/II-0548-FC-FA Bioprocesos: tecnologías limpias para la protección y sostenibilidad del medio ambiente (BIOPROAM)	Regional		LA	Natl. non-EU	462.942
SISS	TACIS/2005/017-092	130490	2007	Support for SME of the Neighbourhood region basis on cooperation and technology transfer	Country	RUSSIAN FEDERATION	ENP	Natl. non-EU	210.000
SISS	ALA/2006/018-414	131910	2007	II-0546-A PROFLEX El Profesional Flexible en la Sociedad del Conocimiento	Regional		LA	Natl. EU	161.368
SISS	TACIS/2004/016-770	133319	2007	Innovative Technologies for Rural Communities Income Generating	Country	KYRGYZSTAN	Asia	Natl. non-EU	148.636
SISS	MED/2006/018-208	134516	2007	EDUCATIONAL RESEARCH AND DEVELOPMENT+ PROGRAMME DEVELOPMENT UNDER PERFORMING STUDENTS 5.1 +5.2	Country	JORDAN	ENP	Natl. EU	122.805
SISS	MED/2006/018-208	134525	2007	EDU RESEARCH AND DEV/ TRAINING PROGRAMME STRATEGIC PLANNING AND PERFORMANCE ASSESSMENT FOR CENTRAL AND DISTRICT LEVEL (5.5)	Country	JORDAN	ENP	Natl. EU	54.196
SISS	TACIS/2005/017-100	135518	2007	NP South-East Finland - Russia. Peterhof - Finland: Development of Peterhof Science Park Concept and its External Connections	Country	RUSSIAN FEDERATION	ENP	Natl. EU	150.160
SISS	MED/2006/018-209	135951	2007	Support to Reasearch & Technological Development and Innovation Inittatives and Strategies in Jordan	Country	JORDAN	ENP	Natl. EU	180.323
SISS	ALA/2006/018-414	135961	2007	II-0541-FA "Territorio, Desarrollo y Gobernanza: una perspectiva comparada y de cooperación en los procesos de integración del Mercosur y la Unión Europea"	Regional		LA	Natl. non-EU	474.368



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SISS	ASIE/2006/017-485	137384	2007	EU-EAGA Business & Technology Partnership (EU-EAGA BizTech Partnership) in Environment and Energy, Natural Resource (Forestry), Agriculture and Aquaculture and Eco-tourism	Regional		Asia	Natl. non-EU	465.064
SISS	ALA/2006/018-414	139257	2007	SAFIRO II –Self-financing Alternatives for International Relations Offices II	Regional		LA	Natl. EU	131.683
SISS	TACIS/2004/016-768	139839	2007	Biomechanical research and elaboration the metods for improvement of children gait from Podlasie and Grodno area	Regional		ENP	Natl. non-EU	99.867
SISS	ALA/2006/018-414	140669	2007	AML/19.0901/06/18414/II-0510-A - Desarrollo de un modelo de referencia para intercomparacion y reconocimiento de carreras de ingenieria (MIRROR)	Regional		LA	Natl. non-EU	96.427
SISS	ALA/2006/018-414	140728	2007	LATINBANKS: Estudio sobre las implicaciones jurídicas y sociales de la creación de bancos de material biológico	Regional		LA	Natl. EU	98.982
SISS	BAN/2005/017-621	141111	2007	ICT E-Business Incubator Grant (for Dominica)	Country	DOMINICA	ACP	Natl. non-EU	1.405.650
SISS	ASIE/2006/017-074	141236	2007	Efficient Lighting Management Curricula for ASEAN (ELMCA)	Regional		Asia	Natl. non-EU	530.900
SISS	ALA/2006/018-414	141389	2007	SUPPORT: Sustainable Use of Photosynthesis Products and Optium Resource Transformation	Regional		LA	Natl. EU	225.826
SISS	ALA/2006/018-414	141566	2007	Metedologías y procedimientos para el diseño, desarrollo y utilización de Objetos de Aprendizaje	Regional		LA	Natl. non-EU	60.029
SISS	TACIS/2005/017-609	143131	2008	Science, Technology, Education Standards development	Country	TURKMENISTAN	Asia	Natl. EU	143.671
SISS	TACIS/2006/018-597	143819	2007	Support to the joint World Bank – European Commission Initiative on the Development of Human Capital for Economic Growth, Competitiveness and Innovation in Ukraine	Country	UKRAINE	ENP	Natl. EU	192.683
SISS	ALA/2006/018-149	144545	2007	AT para el proyecto "Programa de Cooperación Internacional para el Fomento de la Investigación científica y tecnológica UE-México"	Country	MEXICO	LA	Natl. EU	1.924.257
SISS	ALA/2005/017-350	144903	2007	Asistencia Técnica Internacional para el "Programa de Apoyo a las Biotecnologías"	Regional		LA	Natl. EU	839.144
SISS	ALA/2001/005-726	145019	2007	Mid-term evaluation of a project to support the International Science Park of Panama in the City of Knowledge	Country	PANAMA	LA	Natl. EU	41.859
SISS	MED/2006/018-252	145082	2007	Ministry of Higher Education and Scientific Research. Programme Estimate Start-up covering the period until January 31, 2007	Country	EGYPT	ENP	Natl. non-EU	132.470
SISS	ASIE/2006/017-074	145686	2007	EU-Asia Higher Education Platform	Regional		Asia	Natl. EU	1.249.281
SISS	ASIE/2006/017-485	146069	2007	NEP-AL IT: Nepal-Europe-Pakistan Alliance on Information Technology	Regional		Asia	Natl. EU	358.951

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	MED/2006/018-209	147001	2007	Overall Programme Estimate	Country	JORDAN	ENP	Natl. non-EU	1.760.000
SISS	TACIS/2006/017-984	147486	2007	BIO-INTEGRATION - Development of Innovation and Production Network between Finnish and Russian SME in Bio-energy Sector	Regional		ENP	Natl. EU	147.284
SISS	MED/2006/018-209	148333	2008	Support to Research and Technological Development & Innovation Initiatives & Strategies, PMU at the HCST	Country	JORDAN	ENP	Natl. EU	1.778.221
SISS	AFS/2001/004-712	149433	2008	Research Support to the Limpopo Centre for LED	Country	SOUTH AFRICA	ACP	Natl. EU	186.176
SISS	MED/2006/018-252	154757	2008	RDI Annual Programme Estimate - Operational Period 01/04/2008 - 31/03/2009	Country	EGYPT	ENP	Natl. non-EU	2.406.561
SISS	DCI-ASIE/2008/019-814	155982	2008	China Research Facility, 2008	Regional		Asia	Natl. EU	29.120
SISS	TACIS/2006/018-038	156254	2008	Support to research and innovation in Ukraine	Country	UKRAINE	ENP	Natl. EU	165.252
SISS	PP-AP/2007/019-460	156274	2008	STF INFORMATION CAMPAIGN IN EUROPE	Country	CHINA	Asia	Natl. EU	87.327
SISS	MED/2006/018-252	157093	2008	Organisation of Travels and Workshops for RDI	Country	EGYPT	ENP	Natl. EU	167.253
SISS	MED/2006/018-209	157139	2008	Supply of Equipment & Laboratory Equipment for the Synchrotron light for Experimental Science and Applications in the Middle East research facility – Jordan . Lot 1	Country	JORDAN	ENP	Natl. EU	127.980
SISS	MED/2006/018-209	157162	2008	Supply of Equipment & Laboratory Equipment for the Synchrotron light for Experimental Science and Applications in the Middle East research facility – Jordan Lot 4	Country	JORDAN	ENP	Natl. EU	274.995
SISS	MED/2006/018-209	157164	2008	Supply of Equipment & Laboratory Equipment for the Synchrotron light for Experimental Science and Applications in the Middle East research facility – Jordan Lot 2	Country	JORDAN	ENP	Natl. EU	459.799
SISS	MED/2002/003-313	157166	2008	Supply of Equipment & Laboratory Equipment for the Synchrotron light for Experimental Science and Applications in the Middle East research facility – Jordan Lot 5	Country	JORDAN	ENP	Natl. EU	29.500
SISS	MED/2002/003-313	157276	2008	Supply of Equipment & Laboratory Equipment for the Synchrotron light for Experimental Science and Applications in the Middle East research facility – Jordan Lot 3	Country	JORDAN	ENP	Natl. EU	141.911
SISS	ALA/2006/018-149	157343	2008	Gastos locales FONCICYT	Country	MEXICO	LA	Natl. non-EU	7.600.000
SISS	DCI-NSAPVD/2007/019-404	157415	2008	Fortalecimiento de capacidades para la gestión municipal, mediante el uso innovador de las Tecnologías de la Información y Comunicación, en las provincias de Acomayo (Cusco) y San Pablo (Cajamarca), Perú	Country	PERU	LA	Natl. EU	400.000
SISS	DCI-ASIE/2008/020-114	157714	2008	High Level Meeting on Central Asian Research and Education Network	Regional		Asia	Natl. EU	43.740

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	PP-AP/2007/019-522	160241	2008	The European Business and Technology Centre in India (EBTC)	Country	INDIA	Asia	Natl. EU	6.586.578
SISS	DCI-ALA/2007/019-189	160922	2008	USO+I: Universidad, Sociedad e Innovación. Mejora de la pertinencia de la educación en las Ingenierías de AL	Regional		LA	Natl. EU	826.677
SISS	DCI-ALA/2007/019-189	160931	2008	El Gate-European Latin American University Cooperation Gate	Regional		LA	Natl. EU	742.884
SISS	DCI-ALA/2007/019-189	160977	2008	ALFA Observatory (component III-Accompanying Measures)	Regional		LA	Natl. EU	512.912
SISS	DCI-ALA/2007/019-189	161119	2008	kick start II New ways to teach innovation	Regional		LA	Natl. EU	818.778
SISS	DCI-ALA/2007/019-189	161211	2008	"Red de Observatorios de Buenas Prácticas de Dirección Estratégica Universitaria en América Latina y Europa".	Regional		LA	Natl. EU	1.896.445
SISS	DCI-ALA/2007/019-189	161321	2008	INCA: Promotion of Internationalisation in Central America	Regional		LA	Natl. EU	807.397
SISS	DCI-ALA/2007/019-189	161350	2008	INNOVA-CESAL	Regional		LA	Natl. non-EU	719.956
SISS	DCI-ALA/2007/019-189	161449	2008	VERTEBRALCUE	Regional		LA	Natl. EU	2.962.917
SISS	PP-AP/2007/019-460	163251	2008	Technical Assistance for the 'Science & Technology Fellowship Programme China'	Country	CHINA	Asia	Natl. EU	1.896.096
SISS	MED/2006/018-252	164483	2008	EU-Egypt Innovation Fund - Technical Assistance for the assessment of calls for proposals	Country	EGYPT	ENP	Natl. EU	163.291
SISS	MED/2006/018-252	164489	2008	Technical assistance for the evaluation of the R&D policies and practices in Egypt	Country	EGYPT	ENP	Natl. EU	197.076
SISS	DCI-ASIE/2007/018-800	167156	2008	System for Aquality Assurance in Research and Education (SQUARE)	Country	THAILAND	Asia	Natl. non-EU	148.634
SISS	ENPI/2007/019-080	168010	2008	Mission d'identification et de formulation du programme d'appui à la recherche et l'innovation en Tunisie	Country	TUNISIA	ENP	Natl. EU	36.937
SISS	PP-AP/2007/019-460	168255	2008	Selection of some important genotypes of walnut for fruit and wood production, with high resistance at biotic and abiotic stress factors and perfecting their propagation, cultivation and post-harvest techniques	Country	CHINA	Asia	Natl. non-EU	49.517
SISS	PP-AP/2007/019-460	168257	2008	4-coumarate: CoA ligase (4CL) gene families from Brassica napus and its two parental species: Cloning, comparative genomic characterization, and expression patterns in association with important traits.	Country	CHINA	Asia	Natl. non-EU	48.844
SISS	PP-AP/2007/019-460	168276	2008	Nanostructured solar cells devices	Country	CHINA	Asia	Natl. non-EU	48.501
SISS	PP-AP/2007/019-460	168349	2008	Tracking the translocation of the HER2 tyrosine kinase receptor from the plasma membrane to the nucleus in living cells	Country	CHINA	Asia	Natl. non-EU	49.080

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	PP-AP/2007/019-460	168350	2008	Electrocarboxylation and electro-reduction of CO <sub>2</sub> in Ionic Liquid-Carbon Dioxide Biphasic phase	Country	CHINA	Asia	Natl. non-EU	47.667
SISS	PP-AP/2007/019-460	168351	2008	The history of Chinese art collections	Country	CHINA	Asia	Natl. non-EU	48.665
SISS	PP-AP/2007/019-460	168352	2008	Plumes and boundary layers in turbulent Rayleigh-Benard convection: a numerical and experimental investigation	Country	CHINA	Asia	Natl. non-EU	49.051
SISS	PP-AP/2007/019-460	168354	2008	Linking hydrogen and biodiesel production: anaerobic fermentation of glycerol	Country	CHINA	Asia	Natl. non-EU	49.784
SISS	PP-AP/2007/019-460	168355	2008	Determination of microbial interaction and metabolic pathways of degradation of seagrass and seaweed organic matter in an anoxic salt lake. Possible use of organic waste disposal and production of biofuel.	Country	CHINA	Asia	Natl. non-EU	47.475
SISS	PP-AP/2007/019-460	168357	2008	Risk-based management of contaminated sites in China: review and application of methodological approaches and tools.	Country	CHINA	Asia	Natl. non-EU	49.955
SISS	PP-AP/2007/019-460	168360	2008	Cultural differences in neural mechanisms of empathy	Country	CHINA	Asia	Natl. non-EU	50.071
SISS	PP-AP/2007/019-460	168362	2008	Development of a system monitoring framework for a WLCG Tier-3 Centre at USTC	Country	CHINA	Asia	Natl. non-EU	49.668
SISS	PP-AP/2007/019-460	168363	2008	Climbing the value-added ladder: A Chinese Theory of technology-based competitive advantage.	Country	CHINA	Asia	Natl. non-EU	49.805
SISS	PP-AP/2007/019-460	168367	2008	The Emergence and Effectiveness of Transnational Public Policy Partnerships for Sustainable Development in China: Evidence from China's Forest Governance Sector.	Country	CHINA	Asia	Natl. non-EU	48.984
SISS	PP-AP/2007/019-460	168368	2008	Development of relevant biomarkers for cardiovascular MRI based on flow-sensitive MRI	Country	CHINA	Asia	Natl. non-EU	49.898
SISS	PP-AP/2007/019-460	168488	2008	The enhanced electrical generating capacity and efficiency of a novel continuous-flow microbial fuel cell with nano-materials	Country	CHINA	Asia	Natl. non-EU	49.238
SISS	PP-AP/2007/019-460	168489	2008	Physical and mechanical properties of boron-carbon-nitrogen (BCN) multilayers	Country	CHINA	Asia	Natl. non-EU	14.100
SISS	PP-AP/2007/019-460	168538	2008	Investigation of genetic resources and breeding at raspberry	Country	CHINA	Asia	Natl. non-EU	47.310
SISS	PP-AP/2007/019-460	168612	2008	The potential role played by the Avian Migratory Connectivity in infectious diseases spread: the current vector status of European bee-eaters ( <i>Merops apiaster</i> ) in <i>Nosema ceranae</i> infection.	Country	CHINA	Asia	Natl. non-EU	49.210
SISS	PP-AP/2007/019-460	168614	2008	Computational methods for a modern approach to safety and risk analysis of Nuclear Power Plants	Country	CHINA	Asia	Natl. non-EU	49.038

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	PP-AP/2007/019-460	168615	2008	Applying network analysis methods to the reverse-engineering of gene networks.	Country	CHINA	Asia	Natl. non-EU	49.292
SISS	PP-AP/2007/019-460	168617	2008	New nanostructures materials and their use for bioaffinity applications and heterogeneous organic reactions in flow-mode.	Country	CHINA	Asia	Natl. non-EU	50.337
SISS	PP-AP/2007/019-460	168619	2008	"Wellness" mitochondria	Country	CHINA	Asia	Natl. non-EU	49.757
SISS	PP-AP/2007/019-460	168621	2008	Development of low-cost lightweight magnesium alloys with excellent workability and good creep properties and subsequent characterization of their creep and hot deformation behaviour.	Country	CHINA	Asia	Natl. non-EU	49.637
SISS	PP-AP/2007/019-460	168684	2008	Numerical and Physical Modelling of Interaction of Waves with Artificial reefs (Submerged Breakwaters)	Country	CHINA	Asia	Natl. non-EU	50.077
SISS	PP-AP/2007/019-460	168953	2008	Natural and anthropogenic impacts on the community structure and function at Cixi wetland in Hangzhou Bay, China – past, present and future scenarios	Country	CHINA	Asia	Natl. non-EU	47.326
SISS	PP-AP/2007/019-460	168959	2008	Competition Law and Policy in China: A Sino-European perspective	Country	CHINA	Asia	Natl. non-EU	45.764
SISS	DCI-ALA/2008/019-842	169068	2008	Extending and Strengthening RedCLARA as e-infrastructure for Collaborative Research and Support to the Development (ALICE II)	Regional		LA	Natl. non-EU	11.999.698
SISS	DCI-ALA/2007/019-189	169376	2008	Latin American Intellectual Property Network (PILA)	Regional		LA	Natl. EU	2.168.395
SISS	MED/2006/018-252	169442	2009	Design and Implementation of Pico Satellite	Country	EGYPT	ENP	Natl. non-EU	325.863
SISS	MED/2006/018-252	169748	2009	Integrated High Resolution Optical MEMS Spectrometer	Country	EGYPT	ENP	Natl. non-EU	343.568
SISS	ALA/2005/017-534	169758	2008	Contrat d'Assistance Technique	Country	COSTA RICA	LA	Natl. EU	720.000
SISS	TACIS/2006/018-038	170251	2009	Joint Support Office for Enhancing Ukraine's Integration in EU Research Area	Country	UKRAINE	ENP	Natl. EU	3.440.482
SISS	DCI-ALA/2007/019-189	170489	2008	C - PRO - Intervenção na Promoção - Competências para o Progresso - Curricular e Empresarial	Regional		LA	Natl. EU	545.021
SISS	ENPI/2007/019-183	170586	2008	Assessment of the impact of past science & technology projects and recommendations for follow-up	Country	RUSSIAN FEDERATION	ENP	Natl. EU	96.122
SISS	MED/2006/018-252	171178	2008	Organization of Travels, Seminars and Workshops for the Research, Development and Innovation Programme	Country	EGYPT	ENP	Natl. EU	198.370
SISS	PP-AP/2007/019-460	171329	2008	Bridging between Western and Eastern Philosophy	Country	CHINA	Asia	Natl. non-EU	49.729
SISS	PP-AP/2007/019-460	171819	2008	More than just friends: Towards a Sino-European strategic partnership on the international stage	Country	CHINA	Asia	Natl. non-EU	48.302
SISS	FED/1998/014-134	176478	2001	MED IN COMMUNICATIONS, EDUCATION&TECHNOLOGY	Country	PAPUA NEW GUINEA	ACP	Natl. non-EU	33.584

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	FED/1998/014-134	176552	2005	EXTENSION OF UNIVERSITY OF TECHNOLOGY (UNITECH) WORKS	Country	PAPUA NEW GUINEA	ACP	Natl. non-EU	4.431.766
SISS	FED/1998/014-015	180460	1999	Radiological Science Programme	Country	SAINT LUCIA	ACP	Natl. non-EU	46.396
SISS	FED/2000/014-855	183544	2003	international science and economic development	Country	BARBADOS	ACP	Natl. EU	28.779
SISS	FED/2000/015-057	185557	2002	FORENSIC MEDICINE & SCIENCE BY RESEARCH	Country	DOMINICA	ACP	Natl. EU	34.850
SISS	FED/2002/015-970	188106	2002	ESTATISTICA E GESTAO DE INFORMACAO	Regional		ACP	Natl. EU	26.927
SISS	FED/2002/015-970	188107	2002	ESTATISTICA E GESTAO DE INFORMACAO	Regional		ACP	Natl. EU	22.952
SISS	FED/2002/016-051	188700	2007	SUPPLY OF TWO RESEARCH VESSELS TO UGANDA AND KENYA	Regional		ACP	Natl. EU	1.399.500
SISS	FED/2004/016-570	191485	2007	ATTENDANCE AT RESEARCH MEETING IN BRUSSELS	Country	JAMAICA	ACP	Natl. non-EU	1.747
SISS	FED/2004/016-573	191532	2004	START-UP PE; IRCC; EUR 411,500; JAN-JUN/2005	Regional		ACP	Regional	87.703
SISS	FED/2004/016-573	191533	2005	DANISH MAGMT A/S - COMM/IRCC/2005/009	Regional		ACP	Natl. EU	4.710.141
SISS	FED/2004/016-573	191534	2005	FIDELITY CONSULTANCY SERVICES: AUDIT OF START UP WP-RICTSPRAU/9 ACP RSA 016-1/10.	Regional		ACP	Natl. non-EU	3.010
SISS	FED/2004/016-573	191535	2006	CONTRIBUTION AGREEMENT - UNCTAD	Regional		ACP	International	2.633.012
SISS	FED/2004/016-573	191536	2006	WORK PROGRAMME NO. 1 FOR RICTSP	Regional		ACP	Natl. EU	743.656
SISS	FED/2004/016-573	191537	2006	ECO PE/DLO FOR IOC; EFFICIENT USE OF ICT; 1,000,836 EUR	Regional		ACP	Regional	320.408
SISS	FED/2004/016-573	191538	2006	ECO PE/DLO FOR EAC; EUR 670,473	Regional		ACP	Regional	432.259
SISS	FED/2004/016-573	191539	2006	IGAD - PE: EUR 974,793.60; 17/05/06-17/05/07	Regional		ACP	Regional	380.468
SISS	FED/2004/016-573	191540	2006	ATOS ORIGIN BELGIUM SA ( 2006/128619)	Regional		ACP	Natl. EU	49.452
SISS	FED/2004/016-573	191541	2007	MF/ZAM/005/07_AGMIN ITALY SRL	Regional		ACP	Natl. EU	1.616.879
SISS	FED/2004/016-573	191542	2007	2ND PE/DLO FOR IOC; 1,083,775 EUR; 18/11/07-17/05/09	Regional		ACP	Regional	1.083.775
SISS	FED/2004/016-573	191543	2007	COM/RICTSP/2007/03 - INTERNET SOLUTIONS	Regional		ACP	Natl. non-EU	1.116.557
SISS	FED/2004/016-573	191544	2007	RICTSP - PE NO.2	Regional		ACP	Regional	1.468.122
SISS	FED/2004/016-573	191545	2007	ECO SUPPORT ICT TO EAC: 645,673 EUR	Regional		ACP	Regional	486.729
SISS	FED/2004/016-573	191546	2007	PE 2007 IGAD - RICTSP (MANAGED BY DEL ETH)	Regional		ACP	Regional	536.922
SISS	FED/2004/016-573	191547	2007	AUDIT TO IND. COMM 6 & 11	Regional		ACP	Natl. non-EU	2.241
SISS	FED/2004/016-573	191548	2007	AUDIT OF INDIVIDUAL COMMITMENT NO 6	Regional		ACP	Natl. EU	10.687
SISS	FED/2004/016-573	191549	2008	FDM/9 ACP RSA 016-5/001 - THEWO & CO.	Regional		ACP	Natl. non-EU	6.809
SISS	FED/2004/016-573	191550	2008	MOORE STEPHENS-VERIFICATION DES MEMOIRES DE DEPENSES	Regional		ACP	Natl. EU	1.863
SISS	FED/2004/016-573	191551	2008	LANCASTERS CHARTERED ACCOUNTANTS	Regional		ACP	Natl. EU	4.800
SISS	FED/2004/016-599	191959	2005	GRANT TO AERC FOR THE SUPPORT TO COLLABORATIVE DOCTORAL PROGRAMME IN ECONOMICS	Regional		ACP	Natl. non-EU	783.970

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	FED/2004/017-380	192392	2006	SUPPLY OF EQUIPMENT FOR FORENSIC SCIENCE CENTRE BY UNITEXPORT LIMITED FOR BBD\$278,823.72	Country	BARBADOS	ACP	Natl. EU	105.104
SISS	FED/2004/017-380	192393	2006	SUPPLY OF EQUIPMENT FOR FORENSIC SCIENCE CENTRE BY WESTERNSCIENTIFIC COMPANY LIMITED FOR BBD\$2,729,530.10	Country	BARBADOS	ACP	Natl. non-EU	919.570
SISS	FED/2004/017-380	192394	2006	SUPPLY CONTRACT -WESTERN SCIENTIFIC FOR BBD\$574,998.92	Country	BARBADOS	ACP	Natl. non-EU	214.200
SISS	FED/2005/017-570	193984	2007	THE OPEN UNIVERSITY - SIDECAP STAFF IMPROVEMENT IN DISTANCE EDUCATION FOR CARIBBEAN, AFRICAN AND PACIFIC UNIVERSITIES	Regional		ACP	Natl. EU	303.458
SISS	FED/2005/017-570	193985	2007	PADOVA UNIVERSITY - AFRICAN UNIVERSITIES INTERNATIONAL DIMENSION STRENGTHENING - AUDIS	Regional		ACP	Natl. EU	398.938
SISS	FED/2005/017-570	193987	2007	KAMPALA UNIV-STRENGTHENING OF UNIVERSITY CAPACITY FOR PROMOTING FACILITATING & TEACHING RURAL INNOVATION PROCESS-SUCRAPI	Regional		ACP	Natl. non-EU	455.937
SISS	FED/2005/017-570	193990	2007	UNIVERSITY OF WEST INDIES - CAPACITY BUILDING IN URBAN PLANNING AND MANAGEMENT IN THE SOUTHERN CARIBBEAN -	Regional		ACP	Natl. non-EU	412.684
SISS	FED/2005/017-570	193992	2007	UNIVERSITY OF NAIROBI - EAST AFRICAN ACADEMIC ALLIANCE FOR CURRICULUM IN LOGISTIC AND TOURSIM - EACLAT	Regional		ACP	Natl. non-EU	461.021
SISS	FED/2005/017-570	193995	2008	GRANT: POPULATION TRAINING AND RESEARCH CAPACITY FOR DEVELOPMENT (POPTRCD)	Regional		ACP	Natl. EU	331.930
SISS	FED/2005/017-570	193997	2008	GRANT : BRIDGING THE GAP AT PRE AND PRIMARY SCHOOLS THROUGH TRAINING FOR SPECIAL EDUCATION NEEDS	Regional		ACP	Natl. EU	168.716
SISS	FED/2005/017-570	194000	2008	GRANT : EUCANET-EU-CARIBBEAN NETWORK FOR INTERNATIONALISATION OF HIGHER EDUCATION	Regional		ACP	Natl. EU	384.782
SISS	FED/2005/017-570	194003	2008	GRANT: PROMOTING EXCELLENCE IN PH.D. RESEARCH PROGRAMMES IN EAST AFRICA (PREPARE-PHD)	Regional		ACP	Natl. EU	485.911
SISS	FED/2005/017-570	194004	2008	GRANT: SUSTAINABLE QUALITY CULTURE IN EAST AFRICAN INSTITUTION THROUGH CENTRALISED UNITS	Regional		ACP	Natl. EU	408.434
SISS	FED/2005/017-570	194007	2008	GRANT: AFRICAN UNIVERSITIES DEVELOP STRATEGIES ADDRESSING THE IMPLICATIONS OF GLOBALISATION	Regional		ACP	Natl. EU	274.646
SISS	FED/2005/017-570	194011	2008	GRANT: IMMIS-AFRICAN MIGRATION AND GENDER IN GLOBAL CONTEXT-IMPLEMENTING MIGRATION STUDIES	Regional		ACP	Natl. EU	493.615

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	FED/2005/017-570	194013	2008	GRANT: RENEWABLE ENERGY EDUCATION PROJECT (REEP)	Regional		ACP	Natl. non-EU	335.950
SISS	FED/2005/017-570	194014	2008	GRANT: IU IEPALA-R.B.-UCM ISET AND UAN PRODUCE EXCELLENTTEACHER TRAINERS FOR MOZAMBIQUE AND ANGOLA	Regional		ACP	Natl. EU	456.820
SISS	FED/2001/015-486	195613	2002	GRANT AGR. SOUTH PAC APPLIED GEOSCIENCE COMM; 13,909,917 FJD	Regional		ACP	Regional	6.403.974
SISS	FED/2006/018-593	196473	2008	GOPATO ASIST WITH MANAGEMENT OF PSTICB	Regional		ACP	Natl. EU	1.308.210
SISS	FED/2006/018-593	196474	2008	FWC BENEF LOT 9 CAMBRIDGE EDUCATION LTD	Regional		ACP	Natl. EU	172.895
SISS	FED/2006/018-511	196748	2008	BCD TRAVEL - FWC COM 2007 2008/168372 - LOT 3 CONFERENCE- PARTICIPATION WORKSHOP: EUROPE- AFRICA RESEARCH NTWK - EARN	Regional		ACP	Natl. EU	11.292
SISS	FED/2006/018-511	196749	2008	-IBF INTERNATIONAL: RECHERCHE HALIEUTIQUE POUR ET PAR PAYS EN DVPT - FWC COM LT 4 - CRIS 2008/168005	Regional		ACP	Natl. EU	63.737
SISS	FED/2006/018-725	197215	2008	CONTRIBUTION AGREEMENT - PIF (SCIFISH)	Regional		ACP	Regional	3.947.000
SISS	FED/2006/018-725	197216	2008	CONTRIBUTION AGREEMENT	Regional		ACP	Regional	2.565.000
SISS	FED/2007/020-787	197248	2008	LNTP-AT POUR LA RECHERCHE DES CARRIERES ET ETUDE GEOTECHNI-QUE DES MATERIAUX DANS LA ZONE DE LA ROUTE NKTT - ROSSO	Country	MAURITANIA	ACP	Natl. non-EU	100.965
SISS	FED/2007/020-793	197285	2007	ITU-CONTRIBUTION AGREEMENT	Regional		ACP	International	8.000.000
SISS	FED/2007/020-793	197286	2008	FWC BENEF LOT 3 - ARS- 2007/145510	Regional		ACP	Natl. EU	144.494
SISS	FED/2007/020-827	197611	2008	UNIVERSITY OF THE SOUTH PACIFIC: PACIFIC NETWORK OF ISLAND UNIVERSITIES - GRANT CONTRACT	Regional		ACP	Natl. non-EU	486.726
SISS	FED/2007/020-827	197613	2008	REGIONAL UNIVERSITIES FORUM FOR CAPACITY: CATALYSING CHANGEIN AFRICAN UNIVERITIES (CCAU) - GRANT CONTRACT	Regional		ACP	Natl. non-EU	361.928
SISS	FED/2007/020-827	197617	2008	RUFORUM: ENHANCING RESEARCH CAPACITY AND SKILLS IN EAST ANDSOUTHERN AFRICA (ERESA) - GRANT CONTRACT	Regional		ACP	Natl. non-EU	477.095
SISS	FED/2007/020-827	197618	2008	UNIVERSITAET SIEGEN: UNIVERSITY CAPACITY DEVELOPMENT FOR INTEGRATED SANITATION MANAGEMENT IN EASTERN AND SOUTHERN AFRICA	Regional		ACP	Natl. EU	497.993
SISS	FED/2007/020-827	197619	2008	UNIVERSITY OF SOUTHAMPTON: STRENGTHENING TRAINING AND REGIONAL NETWORKS IN DEMOGRAPHY (STARND) - GRANT CONTRACT	Regional		ACP	Natl. EU	368.069



Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	FED/2007/020-827	197620	2008	ROEHAMPTON UNIVERSITY: HUMAN RESOURCE DEVELOPMENT IN INCLUSIVE EDUCATION IN BOTSWANA	Regional		ACP	Natl. EU	273.366
SISS	FED/2007/020-827	197622	2008	UNIVERSITE DE KINSHASA: CONSTRUCTION DES RELATIONS DE PARTENARIAT POUR UNE ECOLE DOCTORALE COMMUNE	Regional		ACP	Natl. non-EU	500.000
SISS	FED/2007/020-827	197627	2008	HARRY OPPENHEIMER OKAVANGO RESEARCH CENTRE: BUILDING RESEARCH CAPACITY IN AFICAN UNIVERSITIES	Regional		ACP	Natl. non-EU	319.551
SISS	FED/2007/020-827	197628	2008	CIEREA: APPUI A LA THESE DOCTORALE EN ECONOMIE	Regional		ACP	Natl. non-EU	500.000
SISS	FED/2007/020-827	197629	2008	UNIVERSITA DEGLI STUDI DI PAVIA: TRADE AND DEVELOPMENT TRAINING, RESEARCH AND POLICY NETWORK (TDNET)	Regional		ACP	Natl. EU	262.570
SISS	FED/2007/020-827	197632	2008	UNIVERSITY OF EDINBURGH: GEODESY IN EAST AFRICAN UNIVERSITIES	Regional		ACP	Natl. EU	359.450
SISS	FED/2007/020-827	197634	2008	UNIVERSITE BLAISE PASCAL: RESEAU AFRICAIN POUR LA MUTUALISATION ET LE SOUTIEN DE POLES D'EXCELLENCE SCIENTIFIQUES (RAMSE	Regional		ACP	Natl. EU	492.168
SISS	FED/2007/020-827	197635	2008	VU UNIVERSITY AMSTERDAM: GEOSIERA - TRAINING AND RESEARCH CAPACITY DEVELOPMENT	Regional		ACP	Natl. EU	192.176
SISS	FED/2007/020-827	197636	2008	ESCOLA SUPERIOR DE EDUCACAO DE LISBOA: TEACHER QUALITY IN LUSOPHONE COUNTRIES	Regional		ACP	Natl. EU	422.146
SISS	FED/2007/020-827	197639	2008	UNIVERSITE CATHOLIQUE D'AFRIQUE CENTRALE: ALTERNANCE 2010	Regional		ACP	Natl. non-EU	399.851
SISS	FED/2007/020-827	197640	2008	INSTITUTE OF DEVELOPMENT STUDIES, UNIVERSITY OF SUSSEX: CREATING NETWORKS OF EXCELLENCE FOR QUALITATIVE RESEARCH	Regional		ACP	Natl. EU	345.150
SISS	FED/2007/020-827	197641	2008	UNIVERSITY OF THE WEST INDIES, TRINIDAD: CAPACITY BUILDING FOR THE FINANCIAL SUSTAINABILITY OF ACP HEI	Regional		ACP	Natl. non-EU	420.999
SISS	FED/2007/020-827	197643	2008	UNIVERSITE DE LIEGE: CONTRIBUTION AU DEVELOPPEMENT DES CAPACITE D'ENSEIGNEMENT ET DE FORMATION	Regional		ACP	Natl. EU	496.465
SISS	FED/2007/020-827	197644	2008	UNIVERSITY OF TURIN: SCORE - SUPPORTING COOPERATION FOR RESEARCH AND EDUCATION	Regional		ACP	Natl. EU	446.611
SISS	FED/1994/006-335	199011	2001	( EX 07 P373 C043 ) WP JAMAICA JMD 21.221.936	Regional		ACP	Natl. non-EU	491.446
SISS	TACIS/2006/018-038	199466	2009	Support to knowledge based and innovative enterprises and technology transfer to business in Ukraine	Country	UKRAINE	ENP	Natl. EU	2.459.635

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	MED/2006/018-209	199928	2009	Supply of Equipment for Mechanical Workshop for the Synchrotron light for Experimental Science and Applications in the Middle East research facility – Jordan Lot 1	Country	JORDAN	ENP	Natl. EU	129.058
SISS	TACIS/2006/018-038	200053	2009	Development of financial schemes and infrastructure to support innovation in Ukraine	Country	UKRAINE	ENP	Natl. EU	1.387.555
SISS	MED/2006/018-209	200231	2009	Supply of Equipment for Mechanical Workshop for the Synchrotron-Light Experimental Science and Applications in the Middle East Research Facility	Country	JORDAN	ENP	Natl. non-EU	30.295
SISS	MED/2006/018-252	202067	2009	Monitoring & Mentoring of the Implementation of Scheme 1 & 2 Grant Contracts	Country	EGYPT	ENP	Natl. EU	180.271
SISS	TACIS/2006/018-038	204231	2009	Enhance Innovation Strategies, Policies and Regulation in Ukraine	Country	UKRAINE	ENP	Natl. EU	2.596.405
SISS	FED/2004/016-573	204747	2009	Audit of EAC PE 1 RICTSP Audit request: FED/2008/023891	Regional		ACP	Natl. non-EU	12.145
SISS	DCI-ASIE/2008/019-770	206098	2009	Scientific Cooperation Conference Myanmar	Country	MYANMAR	Asia	Natl. EU	51.998
SISS	ENPI/2008/019-744	208136	2009	Feasibility Study for the Establishment of a European Business and Technology Centre (EBTC) for SMEs in the Russian Federation	Country	RUSSIAN FEDERATION	ENP	Natl. EU	96.607
SISS	MED/2006/018-252	209773	2009	Networking & Seminars Management	Country	EGYPT	ENP	Natl. EU	754.015
SISS	FED/2004/016-573	209861	2009	Evaluation of the COMESA ASYCUDA Regional Project	Regional		ACP	Natl. non-EU	39.932
SISS	FED/2007/020-793	210672	2009	Création d'un réseau NTIC proactif de partage des connaissances du marché mondial de la noix de cajou, pour valoriser la filière en Côte d'Ivoire	Country	CÔTE D'IVOIRE	ACP	Natl. EU	498.874
SISS	FED/2009/021-017	210719	2009	Strategy Paper about the Use of Green, White, Blue and Red Biotechnologies in Developing Countries	Regional		ACP	Natl. EU	110.385
SISS	MED/2006/018-252	213456	2009	Solar collectors for domestic and industrial application: development of absorber surface	Country	EGYPT	ENP	Natl. non-EU	121.540
SISS	MED/2006/018-252	213463	2009	Scheme and apparatus for spreading and facilitating remote E services	Country	EGYPT	ENP	Natl. non-EU	186.753
SISS	MED/2006/018-252	213582	2009	Analysis, Design and Development of a Prototype of Subsidies Mobile Wallets(SMW)	Country	EGYPT	ENP	Natl. non-EU	163.914
SISS	FED/2008/019-834	213906	2009	Identification of themes and scope for research activities in the Caribbean and Pacific regions	Regional		ACP	Natl. EU	129.150
SISS	MED/2006/018-252	214237	2009	Technical Assistance for testing and preparing Design Principles for R&D Policies and Practices in Egypt	Country	EGYPT	ENP	Natl. EU	84.932
SISS	MED/2006/018-252	214423	2009	Rice Bran Nutraceuticals	Country	EGYPT	ENP	Natl. non-EU	143.098
SISS	MED/2006/018-252	215428	2009	Development of Smart Integrated Bearings	Country	EGYPT	ENP	Natl. non-EU	389.815

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	MED/2006/018-252	215433	2009	SunWater-Solarthermic Roof for Water Desalination	Country	EGYPT	ENP	Natl. non-EU	326.821
SISS	MED/2006/018-252	215450	2009	Promoting Egypt as the first decimal arithmetic Intellectual Property Cores Provider for financial applications in the World	Country	EGYPT	ENP	Natl. non-EU	323.992
SISS	MED/2006/018-252	215453	2009	Sunny Vehicles	Country	EGYPT	ENP	Natl. EU	222.967
SISS	FED/2007/020-793	216021	2009	Promotion de l'utilisation de l'information et du savoir pour concrétiser les objectifs de réduction de la pauvreté. Promotion de l'utilisation de l'information et du savoir pour concrétiser les objectifs de réduction de la pauvreté.	Country	BURKINA FASO	ACP	Natl. non-EU	704.372
SISS	FED/2007/020-793	216103	2009	Tackling AIDS/TB through Communication and Information Technologies (TACIT)	Regional		ACP	Natl. EU	809.613
SISS	FED/2007/020-793	216105	2009	eb@le santé, le réseau congolais d'expertise médicale	Country	DR CONGO	ACP	Natl. non-EU	652.708
SISS	FED/2007/020-793	216106	2009	TIC – Through Innovative Contributions	Regional		ACP	Natl. EU	545.887
SISS	FED/2007/020-793	216107	2009	Capacity Building Programme and Community Development in Internet Governance and ICT Policy for Intra-ACP regional and sub-regional institutions	Regional		ACP	Natl. EU	847.438
SISS	FED/2007/020-793	216109	2009	Support to ICT Strategic Planning in the SADC Parliaments	Regional		ACP	International	685.605
SISS	FED/2007/020-793	216111	2009	Support to ICT Strategic Planning in Caribbean Parliaments	Regional		ACP	International	712.540
SISS	MED/2006/018-252	216114	2009	Acoustic Response Analysis of Oil & Gas Pipeline Networks to prevent their Fatigue and Failure	Country	EGYPT	ENP	Natl. non-EU	177.501
SISS	FED/2007/020-793	216126	2009	Africa4All	Regional		ACP	Natl. EU	401.829
SISS	FED/2007/020-793	216135	2009	ExTTI - Excellence in ICT use for learning purposes- developing competences and establishing best practices	Regional		ACP	Natl. EU	487.906
SISS	FED/2007/020-793	216141	2009	Information and Communication Technology (ICT) Access for the Poor: Improving access to ICT by informing and engaging Pacific ACP Legislators.	Regional		ACP	Regional	509.941
SISS	DCI-ALA/2009/021-563	216634	2009	Auditoría al CENIBiot (Centro Nacional de Inovaciones Biotecnológicas) Costa Rica	Country	COSTA RICA	LA	Natl. EU	28.835
SISS	FED/2004/016-573	217022	2009	Audit of Regional Information & Communications Technologies Support Programme-Programme Estimate 2006 IGAD, Conflict Prevention Mngt and Resolution-Start Up Prog. Estimate IGAD, Reg. Food Security and Risk Mgmt Prog.for Eastern & Sothern Africa	Country	ETHIOPIA	ACP	Natl. EU	24.000

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	FED/2006/018-593	217053	2009	Spearhead network for innovative, clean and safe cement & concrete technologies	Regional		ACP	Natl. EU	954.458
SISS	FED/2006/018-593	217060	2009	Caribbean Wide Elaboration of Collaboration schemes	Regional		ACP	Natl. EU	979.210
SISS	FED/2006/018-593	217062	2009	Strengthen research and uptake capacity in Urban, Land and Municipal Management in the Caribbean	Regional		ACP	Natl. non-EU	922.219
SISS	FED/2006/018-593	217071	2009	Bridging Research and Industry Developing Growth and Entrepreneurship	Regional		ACP	Natl. non-EU	832.422
SISS	FED/2006/018-593	217073	2009	Science and Technology for Enhancing the Contribution of Tropical Root Crops to Development in ACP countries	Regional		ACP	Natl. EU	878.283
SISS	FED/2006/018-593	217074	2009	Implementation of knowledge and innovation on Jatropha curcas utilization in West African countries	Regional		ACP	Natl. EU	633.201
SISS	FED/2006/018-593	218782	2009	The Improvement of Research & Innovation management capacity in Africa and the Caribbean for the successful stimulation and dissemination of research results	Regional		ACP	Natl. non-EU	2.606.713
SISS	FED/2006/018-593	218789	2009	Strengthening the Caribbean scientific community in natural resources management and developing integrated watershed management plans	Regional		ACP	Natl. EU	892.511
SISS	AFS/2006/018-197	219017	2009	Defragmenting African Resource Management	Regional		ACP	Natl. non-EU	907.083
SISS	PP-AP/2009/021-142	219468	2009	Addendum No. 1 to Technical Assistance for the 'Science & Technology Fellowship Programme China'	Country	CHINA	Asia	Natl. EU	714.506
SISS	FED/2007/019-078	219512	2009	recherche action formative et informative - IRSP	Country	BENIN	ACP	Natl. non-EU	435.466
SISS	FED/2006/018-420	220480	2010	9 ACP RCA 10 Caribbean Knowledge & Learning Network - Evaluation Service Contract with UWI, Cave Hill, Barbados.	Regional		ACP	Natl. non-EU	9.900
SISS	FED/2006/018-689	221064	2009	Ghana - Design and supervision of rehabilitation and refurbishment works of the forensic science laboratory of the criminal investigation department	Country	GHANA	ACP	Natl. non-EU	39.000
SISS	BAN/2006/018-440	221845	2009	Diversify to compete: Technology, Innovation and Collaboration in a Deep Rural Community	Country	JAMAICA	ACP	Natl. non-EU	264.975
SISS	FED/2004/016-573	222186	2009	Financial/Systems Audit - RICTSP-PE2 - IOC	Regional		ACP	Natl. EU	9.173
SISS	FED/2004/016-573	223283	2009	Expenditure Verification	Regional		ACP	Natl. non-EU	5.000
SISS	MED/2006/018-252	227406	2009	Financial and Systems Audit of the Research, Development and Innovation Programme	Country	EGYPT	ENP	Natl. non-EU	85.500

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SISS	ENPI/2008/019-571	228146	2010	Technical assistance to the Synchrotron Light for Experimental Science and Applications in the Middle East (SESAME) for the preparation of the tender dossier for the water cooling and HVAC system, tender evaluation and supervision of the works	Country	JORDAN	ENP	Natl. EU	45.387
SISS	ENPI/2008/020-036	228451	2009	Supply of Equipment & Laboratory Equipment for the Synchrotron Light for Experimental Science and Applications in the Middle East Research facility – Jordan Lot 3	Country	JORDAN	ENP	Natl. EU	12.000
SISS	PP-AP/2009/021-142	233531	2010	The impacts of contemporary architecture on tourism destinations	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	233534	2010	Microwave Clock using Ultracold Atoms Trapped in an Optical Lattice	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234026	2010	Search for cosmic rays with 21CMA and radiodetection of high-energy neutrinos	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234032	2010	Quenching and intensity redistribution due to external magnetic fields and hyperfine interaction	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234036	2010	High Precision Measurement Based on Quantum Light Sources and Atomic Coherence	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234039	2010	Chinese universities and internationalization: two case studies	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234043	2010	Internet addiction: measurement and its personality psychological, psychopathological correlates	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234059	2010	Identification of novel components in the plant hormone ABA signalling pathways as mechanisms of stress tolerance in plants	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234063	2010	Plataspidae: revision of the fauna of China in global context	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234065	2010	Integration of an in-line protein digestion microreactor in the interface of a comprehensive two-dimensional liquid chromatography system	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234066	2010	Novel Structural Similarity Object Tracking in Video Sequences with Application to Surveillance	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234067	2010	Dissection of programmed cell death pathways – focus on regulated mRNA stability and translation	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234069	2010	Quality control of Chinese medicinal herbs by chemical fingerprints & metabolomic analysis	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234078	2010	Application of the AWO spatial concept in peri-urban Chinese landscapes	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234083	2010	Exciting genes in development	Country	CHINA	Asia	Natl. non-EU	56.500

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SISS	PP-AP/2009/021-142	234085	2010	Sustainable urban metabolism assessment – The case of Beijing and the impact of hallmark events organisation	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234090	2010	Colonial entertainment and Chinese apocalypse: Festival culture in the foreign concessions of the late Qing Dynasty	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234094	2010	At the origins of the G-2: Sino-American relations and their impact on the international system (1979-2009)	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234268	2010	Road safety in China: Development of targets and pathways using a backcasting approach	Country	CHINA	Asia	Natl. non-EU	14.100
SISS	PP-AP/2009/021-142	234269	2010	Chinese people's information retrieval in the web: beliefs, self-regulation anticipation strategies and performance	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234272	2010	Design, synthesis and intracellular evaluation of fluorescent sensors for metal ions	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234274	2010	Communication strategies for sustainable social innovation.	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234276	2010	Comparative study of the Chinese and the European ICT standardisation landscape	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	234278	2010	From Tang to Shang: Early copper smelting remains in central China	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	DCI-ALA/2009/021-563	234674	2010	Organisation of the event "Ministerial Forum on Science, Technology and Innovation" with the Spanish Ministry of Science and Innovation, in preparation for the EU-LAC Summit (Madrid, May)	Regional		LA	Natl. EU	78.104
SISS	FED/2004/016-573	235717	2010	Financial audit of EAC RICTSP PE 2007 (18.11.07 - 30.06.09)	Regional		ACP	Natl. EU	9.006
SISS	FED/2008/019-834	235792	2010	2ND FORUM ON RESEARCH FOR SUSTAINABLE DEVELOPMENT, Brussels, 12-13 October 2010, LOGISTICS	Regional		ACP	Natl. EU	100.526
SISS	PP-AP/2009/021-142	235833	2010	Mathematical modelling and simulation of two-phase flows with breaking interfaces	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	PP-AP/2009/021-142	235834	2010	Role of Public Administration Reform and Governance in China's Transition Process	Country	CHINA	Asia	Natl. non-EU	56.500
SISS	MED/2006/018-252	237481	2010	Mid Term Evaluation of the Research, Development and Innovation programme	Country	EGYPT	ENP	Natl. EU	73.590
SISS	FED/2008/019-834	237927	2010	Preparatory study contributing to GMES Africa 10th EDF Support	Regional		ACP	Natl. EU	167.964
SISS	PP-AP/2009/021-910	241167	2010	ADMINISTRATIVE ARRANGEMENT AIDCO/JRC. RALCEA Project.	Regional		LA	Natl. EU	1.950.000
SISS	FED/2006/018-689	242182	2010	GHANA - Supply equipment for the forensic science laboratory of the criminal investigation department -	Country	GHANA	ACP	Natl. EU	1.057.977

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SISS	FED/2006/018-689	242185	2010	GHANA - 9 ACP GH 29 - Supply equipment for the forensic science laboratory of the criminal investigation department - Lot 7&11	Country	GHANA	ACP	Natl. EU	82.131
SISS	FED/2006/018-689	242263	2010	Ghana-Supply equipment for the forensic science laboratory of the criminal investigation department.	Country	GHANA	ACP	Natl. EU	8.951
SISS	DCI-ASIE/2010/022-143	242288	2010	The workshop on Clean Coal Technologies and Carbon Capture and Storage	Country	KAZAKHSTAN	Asia	Natl. EU	22.865
SISS	FED/2008/019-834	242651	2010	Preparation and Organisation of the 2nd Forum on Research for Sustainable Development	Regional		ACP	Natl. EU	35.775
SISS	FED/2004/016-573	244966	2010	FWC EuropeAid 128427 - Order form ZM/2010/001	Regional		ACP	Natl. EU	42.996
SISS	DCI-ALA/2010/021-526	245235	2010	CESAR: Contribución de la Educación Superior de América latina a las Relaciones con el entorno socioeconómico	Regional		LA	Natl. EU	1.249.972
SISS	DCI-ALA/2010/021-526	245297	2010	Red para el desarrollo de metodologías biofarmacéuticas racionales que incrementen la competencia y el impacto social de las Industrias Farmacéuticas Locales. (Red-Biofarma)	Regional		LA	Natl. EU	1.017.034
SISS	DCI-ALA/2010/021-526	245315	2010	IGUAL- Innovation for Equality in Latin American University (Innovación para la Igualdad en la Universidad de América Latina)	Regional		LA	Natl. EU	790.737
SISS	DCI-ALA/2010/021-526	245575	2010	ALTER-NATIVA "Referentes curriculares con incorporación tecnológica para facultades de educación en las áreas de lenguaje, matemáticas y ciencias, para atender poblaciones en contextos de diversidad"	Regional		LA	Natl. non-EU	1.203.857
SISS	DCI-ALA/2010/021-526	245593	2011	ALFA-PUENTES: Building Capacity of University Associations in fostering Latin-American regional integration	Regional		LA	Natl. EU	2.753.241
SISS	DCI-ALA/2010/021-526	245650	2010	RED EUROCENTROAMERICANA PARA LA MEJORA DE LA SOSTENIBILIDAD Y CALIDAD DE LAS MIPYMES: Área de conocimiento y Programa formativo común de postgrado – RED EURECA	Regional		LA	Natl. EU	973.012
SISS	DCI-ALA/2010/021-526	245654	2010	Alfa Gaviota (Grupos Académicos para la Visualización Orientada por Tecnologías Apropriadas)	Regional		LA	Natl. EU	913.444
SISS	DCI-ALA/2010/021-526	245661	2010	Towards Sustainable Financial Management of Universities in Latin America - SUMA	Regional		LA	Natl. EU	2.330.288
SISS	FED/2007/020-793	246102	2010	Implementation support for the @CP-ICT programme	Regional		ACP	Natl. EU	182.142

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SISS	PP-AP/2009/021-142	247659	2010	Mid-term Evaluation of the Science and Technology Fellowship Programme China	Country	CHINA	Asia	Natl. EU	47.140
SISS	FED/2006/018-689	248148	2010	GHANA - 9 ACP GH 29 - Supply vehicles for equipping the forensic science laboratory of the criminal investigation department of Ghana Police Service - Lot 3	Country	GHANA	ACP	Natl. non-EU	74.932
SISS	FED/2006/018-689	248243	2010	Ghana - Contract for the Construction of the Forensic Science Laboratory of the Criminal Investigation Department of the Ghana Police Service	Country	GHANA	ACP	Natl. non-EU	643.763
SISS	FED/2006/018-689	248841	2010	GHANA - Supply of Equipment for the Forensic Science Laboratory of the Criminal Investigation Department of the Ghana Police Service	Country	GHANA	ACP	Natl. EU	70.000
SISS	FED/2006/018-689	249052	2010	GHANA - Vehicles for Equipping the Forensic Science Laboratory of the Criminal Investigation Department - Lot 1 and 2	Country	GHANA	ACP	Natl. non-EU	73.635
SISS	FED/2006/018-689	250003	2010	Ghana - "Equipment for the Forensic Science Laboratory of the Criminal Investigation Department of the Ghana Police Service – Lot 1 and 2"	Country	GHANA	ACP	Natl. EU	70.000
SISS	FED/2007/020-793	250288	2010	BJ Net	Country	BENIN	ACP	Natl. EU	850.000
SISS	FED/2008/019-834	252712	2010	GMES and Africa side event	Regional		ACP	Natl. EU	36.323
SISS	FED/2008/019-834	252880	2010	3rd Euro-Africa Cooperation Forum on ICT Research, Helsinki, 7-10th Decembre	Regional		ACP	Natl. EU	52.067
SISS	ENPI/2007/019-073	253212	2011	AT pour le Renforcement des Capacités de l'Agence Nationale de Promotion de la Recherche Scientifique (ANPR)	Country	TUNISIA	ENP	Natl. EU	176.760
SISS	ALA/2005/017-350	253219	2010	Evaluación "Programa de Apoyo al Desarrollo de las Biotecnologías en el MERCOSUR - BIOTECH"	Regional		LA	Natl. EU	92.476
SISS	ENPI/2007/019-073	253273	2010	Assistance Technique pour la mise en oeuvre d'un plan d'actions relatifs au programme de Recherche-Développement Innovation dans le domaine des technologies de l'information et de la communication	Country	TUNISIA	ENP	Natl. EU	140.353
SISS	DCI-ASIE/2009/020-507	253565	2010	CASIP-SMEs – IP Services to Enterprises to Support Innovation and Market	Regional		Asia	Natl. EU	498.780
SISS	DCI-ALA/2010/021-526	254792	2010	Sistema Integral de Información sobre las Instituciones de Educación Superior de América Latina para el Área Común de Educación Superior con Europa (INFOACES)	Regional		LA	Natl. EU	1.943.473



Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	DCI-ALA/2010/021-526	254837	2010	Generación de procesos de integración regional intercultural en Estudios Superiores en la región de Madre de Dios (Perú), Acre (Brasil) y Pando (Bolivia)	Regional		LA	Natl. non-EU	321.953
SISS	DCI-ALA/2010/021-526	254909	2010	GUIA. Gestión Universitaria Integral del Abandono	Regional		LA	Natl. EU	1.118.561
SISS	DCI-ALA/2010/021-526	254963	2010	TUNING AMÉRICA LATINA: INNOVACIÓN EDUCATIVA Y SOCIAL	Regional		LA	Natl. EU	2.574.338
SISS	FED/2009/021-576	255139	2011	Africa Connect	Regional		ACP	Natl. EU	11.800.000
SISS	ALA/2006/018-149	255710	2010	Evaluación programa de cooperación internacional para el fomento a la investigación científica y tecnológica Unión Europea-Mexico- FONCICYT.	Country	MEXICO	LA	Natl. EU	79.731
SISS	PP-AP/2009/021-689	256524	2010	Europe China Research and Advice Network (ECRAN)	Country	CHINA	Asia	Natl. EU	2.464.750
SISS	FED/2006/020-731	256694	2010	Renforcement des capacités des acteurs publiques de façon à créer à terme une Ecole Nationale de Gemmologie au Congo	Country	DR CONGO	ACP	Natl. EU	451.882
SISS	ENPI/2010/021-939	259097	2011	PATENT 'Partnership for Advocacy, Technology and Entrepreneurship'	Regional		ENP	Natl. non-EU	500.000
SISS	FED/2009/021-687	259828	2011	Assessment and preparation of contracts for the call for proposals for Caribbean and Pacific research for sustainable development	Regional		ACP	Natl. EU	115.918
SISS	FED/2004/016-573	261688	2011	Final Evaluation of Regional Information and Communication Technologies Support Programme (RICTSP)	Regional		ACP	Natl. EU	129.590
SISS	DCI-SUCRE/2008/020-035	262921	2011	Réalisation de la cartographie des sols par la résistivité suivant la technologie breveté "Automatic Resistivity Profiling"	Country	CONGO	ACP	Natl. EU	200.000
SISS	DCI-ALA/2011/022-517	263589	2011	Financial Audit of Programa de apoyo a las Biotecnologías en el MERCOSUR (BIOTECH)	Regional		LA	Natl. EU	41.067
SISS	DCI-ALA/2010/021-526	264773	2011	DevalSimWeb-Desarrollo de competencias profesionales a través de la evaluación participativa y la simulación utilizando herramientas web	Regional		LA	Natl. EU	984.796
SISS	ENPI/2009/020-512	264795	2011	Mission d'appui au démarrage du Projet d'Appuis au Système de Recherche-Innovation (PASRI) en Tunisie	Country	TUNISIA	ENP	Natl. EU	128.078
SISS	DCI-ALA/2010/021-526	264919	2011	PARAGUAS-RAPGIRH: Red Andina de postgrados en gestión integrada de los recursos hídricos	Regional		LA	Natl. EU	1.249.181
SISS	DCI-ALA/2010/021-526	265102	2011	Universidades estratégicas: red de universidades para la promoción de la planificación estratégica participativa	Regional		LA	Natl. non-EU	1.000.000
SISS	FED/2009/021-575	265143	2011	Assessment and preparation of contracts for the Call for Proposals for African Union Research Grants programme	Regional		ACP	Natl. EU	159.203

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	ENPI/2008/019-685	265433	2011	Contrat de jumelage n° MA09/ENP-AP/OT14 - Appui au Système Nationale de la Recherche (SNT) au Maroc pour une intégration à l'Espace Européen de la Recherche (EER)	Country	MOROCCO	ENP	Natl. EU	1.350.000
SISS	DCI-ALA/2010/021-526	265584	2011	El acceso y el éxito académico de colectivos vulnerables en entornos de riesgo en Latinoamérica	Regional		LA	Natl. EU	899.062
SISS	FED/2004/016-573	266423	2011	Complementary audit services - Financial audit of the Regional Information Technologies Support Programme (RICTSP PE2 2007/191-544)	Regional		ACP	Natl. EU	2.350
SISS	ENPI/2010/022-351	266461	2011	Identification mission for a second phase of the Support to Research and Innovation project	Country	JORDAN	ENP	Natl. non-EU	9.500
SISS	ENPI/2010/021-866	267913	2011	Start-up Programme Estimate	Country	EGYPT	ENP	Natl. non-EU	4.149.435
SISS	DCI-ALA/2007/018-558	268018	2011	Provisión de equipos informáticos de redes y de comunicación para la puesta en funcionamiento de la red avanzada para la educación, la investigación y la innovación de Paraguay - Arandu	Regional		LA	Natl. non-EU	250.000
SISS	ENPI/2009/020-502	270447	2011	Recrutement de l'Unité d'Appui et de l'Assistance Technique ad-hoc pour le programme d'appui à la politique sectorielle de l'Enseignement supérieur et de la recherche scientifique en Algérie	Country	ALGERIA	ENP	Natl. EU	4.389.273
SISS	ENPI/2009/020-512	271205	2011	Devis Programme de démarrage 15/07/2011 au 31/12/2011	Country	TUNISIA	ENP	Natl. non-EU	31.875
SISS	FED/2006/018-593	271677	2011	Mid-Term review of the ACP Science and Technology programme	Regional		ACP	Natl. EU	84.224
SISS	DCI-ASIE/2010/022-571	271921	2011	EU Research and Scholarship Workshop	Country	MYANMAR	Asia	Natl. EU	38.330
SISS	ALA/2006/018-149	275756	2011	Auditoria financiera Programa de Cooperación internacional para el fomento a la investigación científica y Tecnológica Unión Europea-México	Country	MEXICO	LA	Natl. EU	57.640
SISS	DCI-ALA/2007/018-628	278127	2011	Tecnología de Producción Industrial de Ortofotomapas	Country	VENEZUELA	LA	Natl. EU	937.607
SISS	DCI-ALA/2010/021-526	279054	2011	Desarrollo de Programa para Líderes en Transferencia Tecnológica "d-PoLiTaTE"	Regional		LA	Natl. EU	904.126
SISS	DCI-ALA/2010/021-526	279078	2011	Formación Universitaria para la Profesionalización del Personal Auxiliar de Enfermería	Regional		LA	Natl. non-EU	1.248.534
SISS	DCI-ALA/2010/021-526	279082	2011	ADU_2020: The restructuring of Higher Education for the 21st century in the Expanded Field of Architecture, Design and Urbanism	Regional		LA	Natl. non-EU	2.158.895
SISS	DCI-ALA/2010/021-526	279135	2011	SPRING (Social responsibility through PRosociality based Interventions to Generate equal opportunities)	Regional		LA	Natl. non-EU	1.245.696

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	DCI-ALA/2010/021-526	279146	2011	ESVI-AL (Educación Superior Virtual Inclusiva - América Latina): Mejora de la Accesibilidad en la Educación Superior Virtual en América Latina	Regional		LA	Natl. EU	1.250.000
SISS	DCI-ALA/2007/019-011	279282	2011	Fortalecimiento de las capacidades de la EIAG para atender la demanda de innovaciones tecnológicas agroindustriales de la juventud del departamento de Rivas.	Country	NICARAGUA	LA	Natl. non-EU	54.987
SISS	DCI-ALA/2007/019-011	279283	2011	Fortalecimiento de las capacidades del Centro de Servicios Tecnológicos SERFIQ-CETEAL para incrementar las innovaciones tecnológicas de procesos y productos en el sector agroindustrial con potencial exportador.	Country	NICARAGUA	LA	Natl. non-EU	117.046
SISS	DCI-ALA/2007/019-011	279350	2011	Fortalecimiento tecnológico en mecánica industrial para la implementación e innovación en el sector metalmeccánica de MIPYMES	Country	NICARAGUA	LA	Natl. non-EU	107.379
SISS	DCI-ALA/2007/019-011	279368	2011	Fomento de calidad e innovación tecnológica en MIPYMES lácteas asociadas en red empresarial en Chontales y la RAAS	Country	NICARAGUA	LA	Natl. non-EU	100.083
SISS	DCI-ALA/2010/021-526	279455	2011	Equality - Strengthening Women Leadership in Latin American HEIs and Society	Regional		LA	Natl. non-EU	1.848.460
SISS	DCI-ALA/2010/021-526	280383	2011	BUILD: Boosting an Entrepreneurial Culture and University-Industry Linkages for Development in Central America	Regional		LA	Natl. non-EU	983.744
SISS	ENPI/2009/020-512	280471	2011	Activités B.9.1 (Approche audit technologique) et B.9.2 (Transfert Technologique) du PASRI.	Country	TUNISIA	ENP	Natl. EU	2.700.000
SISS	FED/2009/021-575	281135	2012	Application of solar powered polymer Electrolyte membrane electrolyzers for sustainable production of hydrogen gas as fuel for domestic cooking	Country	JAMAICA	ACP	Natl. non-EU	421.043
SISS	DCI-ASIE/2011/022-663	281226	2012	TEIN (Trans-Eurasia Information Network) 4	Regional		Asia	Natl. non-EU	8.000.000
SISS	ENPI/2010/021-866	281452	2012	TA to Define Priority Thematic Areas and Prepare ToRs for Establishing/Supporting Innovation Clusters	Country	EGYPT	ENP	Natl. EU	28.756
SISS	ENPI/2010/021-866	281527	2012	Implementation of the Communications, Study Tours, Seminars, Visibility and Training Activities	Country	EGYPT	ENP	Natl. EU	126.730
SISS	ENPI/2008/019-621	281528	2012	Grant to IRI - Industrial Research Institute	Country	LEBANON	ENP	Natl. EU	200.000
SISS	FED/2008/020-952	281665	2011	Polytechnic (NBIC) - Service contract - development of a structure for a future rural innovation system	Country	NAMIBIA	ACP	Natl. non-EU	9.999

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	FED/2009/021-576	282846	2012	Recruitment of a team of experts for the assessment study of needs and identification of options for interconnecting local Research and Educational centers in the ACP Pacific Region	Regional		ACP	Natl. EU	181.718
SISS	ALA/2005/017-534	284652	2012	CENIBiot - Centro Nacional de Inovaciones Biotecnologicas - Costa Rica. Compromisos gastos locales II	Country	COSTA RICA	LA	Natl. non-EU	400.000
SISS	ENPI/2010/021-866	286124	2012	FINANCIAL AND SYSTEMS AUDIT OF THE RESEARCH, DEVELOPMENT AND INNOVATION II	Country	EGYPT	ENP	Natl. non-EU	42.500
SISS	FED/2011/022-652	287905	2012	SCIENTIFIC ADVISORY BOARD MEETING AND DEDICATED SEMINAR ON 31/05/12	Global		Global	Natl. EU	35.325
SISS	MED/2006/018-209	291047	2012	Financial Audit of Overall Programme Estimate/ Support to Research & Technological Development & Innovation Initiatives & Strategies in Jordan (SRTD) 147001	Country	JORDAN	ENP	Natl. EU	22.858
SISS	ENPI/2009/020-512	291276	2012	Devis Programme de Croisière N°1 du 09/04/2012 au 31/03/2013	Country	TUNISIA	ENP	Natl. non-EU	4.164.760
SISS	FED/2011/022-652	298400	2012	Scientific Advisory Board Meeting on 13 Sept 2012 - Post-2015	Regional		ACP	Natl. EU	16.353
SISS	ENPI/2009/020-512	298697	2012	Audit du projet PASRI	Country	TUNISIA	ENP	Natl. non-EU	5.000
SISS	DCI-ALA/2011/021-140	299198	2012	Equipos para el Laboratorio central de criminología de la Policía Nacional de Nicaragua (Tecnología Computarizada S.A.) - Lote 1 Equipos Informaticos	Country	NICARAGUA	LA	Natl. non-EU	185.707
SISS	FED/2012/023-075	300233	2012	GMES and Africa Marine and Coastal Areas Workshop	Regional		ACP	Natl. EU	154.508
SISS	FED/2011/022-652	304068	2012	Scientific Advisory Board Meeting - European Development Days 16-17 October 2012	Regional		ACP	Natl. EU	7.663
SISS	ENPI/2009/020-512	304253	2012	La mobilisation d'expertise long terme et court terme au profit d'institutions et d'entreprises tunisiennes dans le cadre de la mise en œuvre du projet d'appui au système de recherche et innovation (PASRI)	Country	TUNISIA	ENP	Natl. EU	4.325.080
SISS	ENPI/2010/021-866	304560	2012	Technical Assistance for the Assessment of Grant Proposals	Country	EGYPT	ENP	Natl. EU	192.180
SISS	ENPI/2009/020-502	305371	2012	Devis programme de croisière n°1	Country	ALGERIA	ENP	Natl. non-EU	277.000
SISS	FED/2009/021-576	305809	2012	Recruitment of a team of experts to support the development of NRENs through the CKLN	Regional		ACP	Natl. EU	196.880
SISS	FED/2009/021-576	305814	2012	Recruitment of a team of experts to support the development of a Knowledge Management Framework and related services for CKLN	Regional		ACP	Natl. EU	198.725
SISS	FED/2011/022-553	306958	2013	Support to the implementation of the 'Monitoring of Environment and Security in Africa (MESA)'	Regional		ACP	Natl. EU	1.500.000

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	ENPI/2011/022-991	308197	2012	Support to the Academy of Science of Moldova in better integration into the European Research Area	Country	MOLDOVA	ENP	Natl. EU	175.168
SISS	FED/2011/022-053	308629	2013	Technical Assistance for the assessment of Science and Technology Programme II Call for Proposals	Regional		ACP	Natl. EU	131.801
SISS	FED/2009/021-576	310935	2012	Organisation of a conference to share the main conclusions of the assessment study on NRENs in the Pacific region	Regional		ACP	Natl. EU	172.206
SISS	DCI-ASIE/2013/024-647	314930	2013	FINANCIAL AUDIT OF Central Asian Research and Education Network (CAREN) on CONTRACT 162406 DANTE	Regional		Asia	Natl. EU	18.597
SISS	FED/2011/022-553	315947	2013	Technical Assistance Service Contract for MESA project	Regional		ACP	Natl. EU	7.999.848
SISS	FED/2012/023-075	316525	2013	GMES and Africa Water Resources Management Workshop	Regional		ACP	Natl. EU	187.233
SISS	ENPI/2009/021-364	316833	2013	Strengthening of the State Space Agency's of Ukraine (SSAU) Institutional Capacity to Implement European Space Programmes in Satellite Navigation (EGNOS/ Galileo) and Remote Sensing (GMES)	Country	UKRAINE	ENP	Natl. EU	1.450.000
SISS	ENPI/2011/023-204	316888	2013	Technical Assistance to the HCST for the implementation of the Support to Research, Technological Development and Innovation Project (SRTD) Phase II	Country	JORDAN	ENP	Natl. EU	1.533.250
SISS	ENPI/2009/020-502	319889	2013	MS2-Mise en place d'un système d'information intégré (SII) axé sur les objectifs de la réforme du secteur de l'enseignement supérieur et de la recherche scientifique, Alger- Algérie.	Country	ALGERIA	ENP	Natl. EU	3.595.000
SISS	ENPI/2009/020-502	319892	2013	MS1-"Assistance technique pour l'appui à la réforme et à la modernisation du secteur de l'enseignement supérieur et de la recherche scientifique"	Country	ALGERIA	ENP	Natl. EU	4.837.200
SISS	ENPI/2009/020-502	320063	2013	MS3-Assistance technique pour le renforcement des capacités des enseignants et des gestionnaires du secteur de l'enseignement supérieur et de la recherche scientifique	Country	ALGERIA	ENP	Natl. EU	2.386.000
SISS	FED/2010/022-171	320117	2013	EGALE - Gathering Universities for Quality in Education	Regional		ACP	Natl. EU	498.111
SISS	FED/2010/022-171	320173	2013	ENERGISE (Enlarged Network in Education and Research for a Growing Impact of Sustainable Energy engineering on local development)	Regional		ACP	Natl. EU	498.120
SISS	FED/2010/022-171	320176	2013	Embedding Entrepreneurship in African Management Education	Regional		ACP	Natl. EU	499.670
SISS	FED/2010/022-171	320201	2013	Reinforcement of Higher education as a tool to foster efficient use of energy applied to the poverty reduction within the marine sector through capacity building and regional integration (HEEMS Project)	Regional		ACP	Natl. EU	411.260
SISS	FED/2010/022-171	320205	2013	African Network for Education in Energy Resources (ANEER)	Regional		ACP	Natl. EU	499.373

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
SISS	FED/2010/022-171	320272	2013	CAP4INNO - Knowledge transfer capacity building for enhanced energy access & efficiency in the Caribbean	Regional		ACP	Natl. EU	490.813
SISS	FED/2010/022-171	320274	2013	SUCCEED Network - East African Higher Education Network on Sustainable and Energy Efficient Campus Development	Regional		ACP	Natl. EU	495.101
SISS	FED/2010/022-171	320282	2013	Renewable energy in Pacific islands: Developing Skills and Capacity	Country	PAPUA NEW GUINEA	ACP	Natl. EU	398.993
SISS	FED/2010/022-171	320289	2013	RENet: Renewable energies Education Network	Country	HAITI	ACP	Natl. EU	499.714
SISS	DCI-AFS/2011/022-779	320332	2013	HEI's cooperation contributing to rural development in Mozambique	Regional		ACP	Natl. EU	404.776
SISS	FED/2011/022-553	323253	2013	MESA Start up Programme Estimate (PE0)	Regional		ACP	Natl. EU	238.071
SISS	FED/2012/023-075	323534	2013	Geoscientific knowledge and skills in African Geological Surveys	Regional		ACP	Natl. EU	185.000
SISS	FED/2011/022-053	325659	2013	Technical Assistance to the Secretariat of the African Caribbean and Pacific Group of States for the Management of the ACP Science and Technology Programme II	Regional		ACP	Natl. EU	1.499.232
SISS	ENPI/2011/023-204	328137	2013	Start up programme estimate for the implementation of the SRTD II programme	Country	JORDAN	ENP	Natl. non-EU	104.943
SISS	DCI-ASIE/2013/024-604	328578	2013	Central Asia Research and Education Network 2 (CAREN2)	Regional		Asia	Natl. EU	2.880.778
SISS	DCI-AFS/2010/022-313	329240	2013	WIKWIO: Weed Identification and Knowledge in the Western Indian Ocean	Regional		ACP	Natl. EU	849.672
SISS	DCI-AFS/2010/022-313	329258	2013	Strengthening Innovation and Technology Dissemination for Sustainable Development in cereals, cocoa and coffee value chains in Western and Eastern Africa	Regional		ACP	Natl. EU	621.577
SISS	DCI-AFS/2010/022-313	329265	2013	Assuring Agricultural and Food Safety of Genetically Modified Organisms in Southern Africa (GMASURE)	Regional		ACP	Natl. non-EU	868.328
SISS	FED/2011/022-053	330211	2013	Empowering Knowledge Transfer in the Caribbean through Effective IPR&KT regimes - IPICA	Regional		ACP	Natl. EU	691.879
SISS	FED/2011/022-053	330216	2013	INVOCAB - Improving Innovation Capacities in the Caribbean	Regional		ACP	Natl. non-EU	801.507
SISS	DCI-ALA/2009/019-774	333553	2013	Innovación tecnológica bajo un enfoque de gestión de producción mas limpia para el mejoramiento de la productividad en la fabricación de calzados y artículos de cuero	Country	BOLIVIA	LA	Natl. non-EU	123.149
SISS	DCI-ALA/2010/022-005	334425	2013	Promoción de la Mejora e Innovación de los Procesos Productivos de las Pymes del Sector TIC	Country	MEXICO	LA	Natl. EU	562.673
Other	ASIE/2003/005-629	81160	2004	TEIN 2 (Trans Eurasia Information Network 2)	Regional		Asia	Natl. EU	9.506.366

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
Other	ALA/2000/001-079	86216	2004	URB-AL II R4-B1-04 "Las nuevas tecnologías como herramienta de consolidación y apoyo a las microempresas" Ayuntamiento de Barcelona (Esp)	Regional		LA	Natl. EU	644.754
Other	ASIE/1998/002-571	103854	2005	Human Resource Development in Law and Economics for India and Europe	Country	INDIA	Asia	Natl. EU	185.334
Other	ASIE/1998/002-571	109088	2005	European and Asian Infrastructure Advantage	Regional		Asia	Natl. EU	327.455
Other	ASIE/2004/006-130	109093	2005	A Framework Approach to Strengthening Asian Higher Education in Advanced Design and Manufacture (HRD, CD & ISD)	Country	CHINA	Asia	Natl. EU	663.083
Other	ASIE/1998/002-571	109388	2005	SAVE: Study and prevention measures on traffic Accident in Vietnam and Europe	Regional		Asia	Natl. EU	278.135
Other	ASIE/2004/006-130	110006	2005	The Development of Transnational Standards for Teacher Training for Technical and Vocational Education and Training (TT-TVET) with a Multidisciplinary and Industrial Orientation	Regional		Asia	Natl. EU	555.490
Other	ASIE/2004/006-130	110412	2005	International OM - International Operations Management (CD)	Regional		Asia	Natl. EU	605.873
Other	ASIE/2004/006-130	112626	2005	Design, Production and process of modern containerships and tankers for inland water transport	Regional		Asia	Natl. EU	341.603
Other	ASIE/2004/006-130	112744	2005	DEVHAS: Development of Human Resources and Strategies for Education on the Stereotypical Images and Cultural Differences between Europe and South Asia.	Regional		Asia	Natl. EU	278.923
Other	TACIS/2004/016-768	123349	2006	BSR Interreg IIIB Neighbourhood Programme - Innovation Circle	Country	RUSSIAN FEDERATION	ENP	Natl. EU	240.253
Other	ALA/2004/005-906	133398	2007	Misiones de Corto Plazo en Materia de Fortalecimiento de la Planificación, Gestión y Capacidades Técnicas del Polo Tecnológico de Pando	Country	URUGUAY	LA	Natl. EU	44.203
Other	MED/2006/018-255	140889	2007	Euro Mediterranean Conference on Research and Innovation in Textiles and Clothing - 6 & 7 September 2007	Regional		ENP	Natl. EU	76.601
Other	TACIS/2004/016-768	142312	2007	Comprehensive study of possibilities of innovation Business-Incubation in Kaliningrad Region	Country	RUSSIAN FEDERATION	ENP	Natl. non-EU	94.796
Other	MED/2006/018-252	146079	2008	Planning and Execution of the EU-Egypt Innovation Fund	Country	EGYPT	ENP	Natl. EU	195.379
Other	DCI-ASIE/2007/019-268	147018	2007	Trans-Eurasia Information Network -TEIN3	Regional		Asia	Natl. EU	11.400.000
Other	TACIS/2006/017-984	154307	2008	St. Petersburg Corridor - Two-Model Open Innovation Platform Approach (TMOIPA) - NP South-East Finland -Russia	Regional		ENP	Natl. EU	156.431
Other	TACIS/2005/017-100	157044	2008	Bucovina Innovation Centre	Country	UKRAINE	ENP	Natl. non-EU	421.394
Other	DCI-ALA/2007/019-040	157885	2008	Programa Innova Uruguay	Country	URUGUAY	LA	Natl. non-EU	7.800.000

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
Other	DCI-AFS/2007/018-932	158856	2008	Sector Budget Support Implementation Contract for Innovation for Poverty Alleviation	Country	SOUTH AFRICA	ACP	Natl. non-EU	29.680.000
Other	DCI-ALA/2007/019-157	161293	2008	Innovación institucional en gobiernos intermedios: la Regionalización como un instrumento clave para promover democracias de proximidad	Regional		LA	Natl. non-EU	2.881.364
Other	ENPI/2007/019-183	164650	2008	Finalisation of the Policy Note "Competences, innovation and national competitiveness: Putting people first - Strategies for dynamic skills development in Ukraine"	Country	UKRAINE	ENP	Natl. non-EU	10.000
Other	ENPI/2008/019-737	164738	2008	Financial audit of NEA Transport research and training	Regional		ENP	Natl. EU	8.988
Other	DCI-NSAPVD/2007/019-413	171995	2008	Innovacion y cohesion social: capacitación metodologia y visibilidad de buenas practicas	Country	URUGUAY	LA	Natl. non-EU	1.710.623
Other	FED/1997/013-367	175849	2007	SOFRECO/SINEC-PROSPECTION GEOCHIMIQUE/GEOPHYSIQUE ANSONGOVOLET 2	Country	MALI	ACP	Natl. EU	508.977
Other	FED/1997/013-367	175850	2007	CSA-ETUDES RELATIVES AU KAOLIN ET AUX PEGMATITES A SPODUMENE	Country	MALI	ACP	Natl. EU	482.029
Other	FED/1997/013-367	175851	2007	HYDROPLAN - EVALUATION FINALE DU PROJET SYSMIN	Country	MALI	ACP	Natl. EU	42.788
Other	FED/1997/013-367	175854	2007	( EX 07 P117 C020 ) DP 6 FONCTIONNEMENT CPG/SYSMIN VOLET 4	Country	MALI	ACP	Natl. non-EU	74.558
Other	FED/1998/014-139	176570	2000	SOC EUROPEAN CENTER FOR DEV. POLICY MANAGEMENT	Country	DOMINICAN REPUBLIC	ACP	Natl. non-EU	25.046
Other	FED/2000/015-354	186315	2001	UNECA	Regional		ACP	International	1.299.263
Other	DCI-ALA/2007/019-015	214921	2009	Presupuesto Programa Año 1 Programa Innovacion y Competitividad	Country	CHILE	LA	Natl. non-EU	8.541.673
Other	DCI-ALA/2007/019-009	216995	2009	Soriano: Innovación en la gestión de los recursos para el desarrollo local en el territorio estructurado por la RN21	Country	URUGUAY	LA	Natl. non-EU	490.400
Other	DCI-ASIE/2008/019-193	220646	2010	International best practice exchange leading to innovation in Sarva Shiksha Abhiyan (SSA II)	Country	INDIA	Asia	Natl. EU	2.750.400
Other	DCI-AFS/2007/018-932	245924	2010	Support Services for the Identification of a Poverty Reduction Programme for South Africa	Country	SOUTH AFRICA	ACP	Natl. EU	168.993
Other	DCI-ALA/2007/019-040	247577	2010	contrato de visibilidad del programa URUGUAY INNOVA	Country	URUGUAY	LA	Natl. non-EU	65.574
Other	DCI-ALA/2007/019-015	253541	2010	Asistencia Técnica para proyecto "Evaluación técnica preliminar de centrales hidroeléctricas asociadas a obras de riego"	Country	CHILE	LA	Natl. EU	98.552
Other	DCI-ALA/2007/019-015	254380	2010	Innovación y Competitividad, verificación de gastos Presupuesto Programa 1	Country	CHILE	LA	Natl. EU	9.000



Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
Other	DCI-ALA/2007/019-040	254979	2010	PROGRAMA URUGUAY INNOVA - EVALUACION CUMPLIMIENTO CONDICIONALIDADES TRAMO 2- INFORME GESTION DE LAS FINANAZAS PUBLICAS (2010)-INFORME EVALUACION FINAL DEL PROGRAMA	Country	URUGUAY	LA	Natl. EU	55.642
Other	ENPI/2008/020-221	256944	2011	Assistance Technique pour l'étude, l'évaluation et l'optimisation des instruments financiers d'incitation à l'innovation et la création d'entreprise	Country	TUNISIA	ENP	Natl. EU	127.674
Other	DCI-NSAPVD/2010/022-312	257361	2011	Innovación para la inclusión social y productiva de las personas en situación de vulnerabilidad social: desafíos del Uruguay del siglo XXI	Country	URUGUAY	LA	Natl. non-EU	250.000
Other	DCI-ALA/2007/019-015	258107	2011	Asistencia técnica para proyecto "Fortalecimiento Institucional para la Profundización del Mercado Energetico"	Country	CHILE	LA	Natl. EU	94.219
Other	DCI-ALA/2010/022-005	260743	2011	Asistencia Técnica para el Programa de Competitividad e Innovación UE - México	Country	MEXICO	LA	Natl. EU	1.899.440
Other	DCI-EDUC/2009/021-141	260814	2011	A shared bridge toward innovation: building up TVET demand driven services and networks for workers in the informal economy in Burundi and Ethiopia	Regional		ACP	Natl. EU	1.642.989
Other	DCI-ALA/2007/019-015	266246	2011	Acompañamiento de expertos en gira técnica a países europeos	Country	CHILE	LA	Natl. EU	1.448
Other	DCI-AFS/2007/018-932	270440	2011	Innovation for Poverty Alleviation SBS Mid Term Review	Country	SOUTH AFRICA	ACP	Natl. EU	116.670
Other	DCI-ALA/2010/022-005	271603	2011	Presupuesto Programa 1 para el Programa de Competitividad e Innovación México - Unión Europea PROCEI	Country	MEXICO	LA	Natl. non-EU	40.000
Other	DCI-ALA/2007/019-011	279365	2011	Innovación en el Proceso de Producción de las Empresas del Sector Textil Vestuario	Country	NICARAGUA	LA	Natl. non-EU	52.090
Other	DCI-ALA/2007/019-015	280289	2011	Veficación de gastos PP2.	Country	CHILE	LA	Natl. EU	9.900
Other	DCI-ALA/2010/022-005	289988	2012	Programa Multiregional y Multisectorial de Tecnología e Innovación para la Competitividad de PYMES en Mercados Globalizados	Country	MEXICO	LA	Natl. non-EU	1.240.002
Other	DCI-ALA/2010/022-005	289989	2012	Fortalecimiento del soporte técnico para ampliar la competitividad de las PYMES en la cadena de suministro del sector aeronáutico en el Centro de México	Country	MEXICO	LA	Natl. non-EU	1.229.430
Other	DCI-ALA/2010/022-005	290547	2012	Desarrollo de una industria aguatera sustentable en el Estado de Morelos. México.	Country	MEXICO	LA	Natl. non-EU	439.075
Other	DCI-ALA/2011/022-517	291079	2012	Innovación institucional en gobiernos intermedios: la Regionalización como un instrumento clave para promover democracias de proximidad. SANTA FE- URBAL	Regional		LA	Natl. EU	26.862

Sector	Decision reference	Contract no.	Year	Contract title	Benefiting zone	Country (if applicable)	Region	Contractor channel	Total contracted (EUR)
Other	DCI-ALA/2010/022-005	291099	2012	Fortalecimiento de las capacidades de exportación de empresas PYMEs del sector TIC.	Country	MEXICO	LA	Natl. non-EU	1.160.586
Other	DCI-ALA/2010/022-005	291184	2012	Apoyo Integral a la Mejora Competitiva del Cluster Moda de México	Country	MEXICO	LA	Natl. non-EU	502.305
Other	DCI-ALA/2010/022-005	291190	2012	Mejora de las capacidades de manufactura avanzada del Estado de Chihuahua	Country	MEXICO	LA	Natl. non-EU	807.985
Other	DCI-ALA/2007/019-015	300730	2012	Verificación de gastos PP3	Country	CHILE	LA	Natl. EU	9.900
Other	DCI-ALA/2008/019-481	302571	2012	Centro de Mercado e Innovación de la Artesanía de Ao po'i de Guaira	Country	PARAGUAY	LA	Natl. non-EU	120.944
Other	DCI-ALA/2010/022-005	304615	2012	Plataforma de Inteligencia Comercial "PIC	Country	MEXICO	LA	Natl. non-EU	500.000
Other	DCI-ALA/2010/022-005	311283	2012	Presupuesto programa II para el programa de competitividad e innovación México - Unión Europea PROCEI	Country	MEXICO	LA	Natl. non-EU	42.877
Other	DCI-ALA/2007/019-013	316993	2013	Evaluación Final del Programa de Innovación y Competitividad y de Apoyo a la Cohesión Social en Chile	Country	CHILE	LA	Natl. EU	54.434
Other	FED/2013/024-471	317852	2013	Competitive Industries and Innovation Programme (CIIP) - MDTF	Regional		ACP	International	4.708.000
Other	FED/2013/024-471	319249	2013	Competitive Industries and Innovation Programme (CIIP) - SDTF	Regional		ACP	International	15.038.850
Other	DCI-ALA/2007/019-015	319432	2013	Final Audit Innovación y Competitividad	Country	CHILE	LA	Natl. EU	33.272
Other	DCI-ALA/2010/022-005	320816	2013	AUDITORIA DE 9 CONTRATOS DEL PROYECTOS EN MATERIA DE COMPETITIVIDAD E INNOVACION UE - MEXICO- DECISION DCI-ALA/2010/22005	Country	MEXICO	LA	Natl. EU	73.301
Other	DCI-ALA/2009/021-531	332820	2013	Licitación 10 Lote 1 EuropeAid/134394/D/SER/NI Servicios en materia de reingeniería de procesos, innovación de diseños, estandarización de productos, estrategia de mercadeo, creación y registro de marcas, etiquetado y embalaje.	Country	NICARAGUA	LA	Natl. EU	0
Other	DCI-NSAPVD/2012/023-483	335560	2013	Programa de Innovación y mejora Competitiva para Mipymes	Country	BOLIVIA	LA	Natl. non-EU	0

### 3 Annex 3 – Case studies

#### 3.A Regional case studies

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### 3.A.1 @lis2 and ALICE2

#### Brief description of Programme

##### **Purpose, objective, approach, actors**

@lis: Alliance for the Information Society (Phase II), *DCI-ALA/2008/019842*

ALICE: Latin America Interconnected with Europe, *DCI-ALA/2008/169068*

*Action Fiche (extracts):* The existing 'digital divide' in Latin American countries is still recognizable in a variety of ways, depending on the geographical area or population groups in LA. Although the digital divide has decreased, for the following reasons, there is still a large gap in terms of the democratization of knowledge: I) social exclusion and inequality, II) low levels of investment in R&D, the average does not exceed 0.5% of the region's GDP (Gross Domestic Product), III) absence of policies and feasible strategies for the Information Society (IS) in the majority of the countries, IV) the costs of access to technologies that continue to be prohibitive for the majority of the population and finally, insufficient access to existing broad band infrastructure.

The @lis Program has complied with its objectives, obtaining many positive effects and giving impulse to several dynamics which are worth sustaining. The principal (*inter alia*) learned lessons are:

- Infrastructure, hardware and software are preconditions for IS development. The @lis Program has shown that countries with greater development in those aspects have benefited more of the results and services of the Program. Consequently, infrastructure, hardware and software issues strongly influence the progress of the Latin American political agenda and should be improved in those countries where these infrastructure are less developed;
- It is essential to ensure co-ordination and synergy among other EC geographic programs and bilateral cooperation projects, as well as the same @lis projects;
- A political dialogue exists in LA, strongly supported by all governments of the region, that it is worthwhile to continue supporting through the Economic Commission for Latin America and the Caribbean (CEPAL) in order to guarantee a good level of quality, experience and effectiveness in co-ordination.
- Interesting examples of good practices in e-health, e-education and e-government were derived from @lis demonstration projects, which could be replicated, thanks to the prestige of the actors involved and the interest raised in the political sectors.
- There is a mutual interest in continuing the cooperation with Europe in political, technical and social aspects of IS, taking into account that the inspiring principles of the agenda i2010 are considered crucial by LA partners.
- The Final Evaluation showed that the improvement of international network connectivity through ALICE project helps create a virtuous spiral leading to increased demand for greater network capacity, fuelled by growing numbers of users in the beneficiary countries as the national networks expand their coverage and number of users connected. This implies that upgrading the capacity of the RedCLARA network on an as-needs basis in the existing beneficiary countries will remain an important objective of @lis2.

The overall objective of the ALICE2 project is to accompany the development of a sustainable, competitive, innovating and inclusive information society, as part of the poverty, inequalities and social exclusion reduction effort, in line with the MDG. ALICE2 is a project of the @lis2 programme.

The specific objectives (PP) are as follows:

1. PP 1 – Continue promoting, and at the same time improve and extend the dialogue and applications on Information Society in LA.  
Pursue the strengthening of political, technical and social links with Europe, contributing to greater visibility of this issue in LA political agendas, leading to more resources channeled to R&D and greater CSO participation in the generation of public policies.
2. PP 2 – *Stimulate and support research intra LA and with Europe.*  
Sustain the continuity of RedCLARA, while it supports relations among the researchers and promotes joint projects. It will look to: (i) provide a proper framework for the technical decisions and subsequent investments ... (ii) Favour long term network sustainability by pushing adoption of recognized best practices,.... (iii) Allocate funds to promote and support key strategic applications that use RedCLARA. (iv) Identify actions to guide strategic technology decisions. (v) Promote co-operation with CKLN (Caribbean Knowledge and Learning Network) network.
3. PP 3 – Support the homogenization and harmonization of regulatory processes, in the telecommunications sector in Latin America.

### **How does it support or promote R&I?**

Selected expected results and main activities

- R1.1 Support the continuation and improvement of the eLAC 2010 process,
- R1.2 Promote multi-sector participation in the IS process in LA, including collaborative initiatives to set up multi-sector institutional capacities at regional level.
- R1.4 Support the adoption of the points of the eLAC agenda in a framework of south-south cooperation,
- R1.5. Continue maintaining the dialogue and cooperation between LA and Europe on political, technical and social aspects of IS. Organize periodic meetings among actors of the IS from EU and LA, and, on request, the transfer of know-how in topics such as interoperability and standardization.
- R2.1 Strengthen the institutional, operational and financial structure of the RedCLARA.
- R2.2 Promote collaborative research intra LA and with EU, the new initiative would fit in the European R&D strategic framework by completing the system of EU-funded networks made of Pan-European Research and Education Network (GEANT2), TEIN2, Caribbean Knowledge and Learning Network and Euromedconnect. The promotion of R&D initiatives between LA and EU should be pursued by helping in the creation of investigation clusters and networks, identification of cooperative investigation projects and funding procurement.
- R3.1 Continue supporting the Latin American Forum of Telecommunications Regulating Authorities - REGULATEL- Sustain the Forum as well as strengthen the regulatory dialogue with Latin American region.

### **Links with Commission R&I strategy and other R&I support programmes (including RTD)**

*Action fiche:* The EUR 22 million budget program for the fight against poverty promotes a regional strategy in line with the MDG. @lis2 should focus and prioritise regional development; sustainable economic growth with social and environmental responsibility; poverty and inequality reduction; and Civil Society participation.

The proposed action is framed within the scope of the World Summit on the Information Society – WSIS, the eLAC 2010 agenda and it is synergic with the actions deployed in Latin America by CEPAL, UNESCO (United Nations Educational, Scientific and Cultural Organization), IADB the ICA/CRD (Canada), among other multilateral agencies.

@lis2 complements the EC-funded program for higher education development (Erasmus Mundus External Cooperation Window) that will be operated in LA as of 2009 as well as the existing Alfa Program. @lis2 also complements the participation by LA countries in the EC's Framework Programme for Research and Technological Development. By helping to bridge the digital divide between the developing and the developed countries, this program underpins the core development goals for the LA countries.

@lis2 Communication will benefit from the platform of existing communication tools available under @lis (website and publications). Communication will also become more systematic as new user communities become involved in new program activities. @lis2 will seek to continue some of the good communication practice achieved to-date under @lis, in particular by making available the project's promising results to appropriate and relevant political Fora, such as Sector-level Ministerial Meetings.

*RSP-Annual Action Programme for 2008:* designed around three priorities identified in the RSP 2007-2013, namely: (i) Support for social cohesion and reduction of poverty, inequalities and exclusion, (ii) Regional integration and (iii) Tackling regional challenges/mutual understanding. RIP (regional indicative programme) budget is EUR 63.6 million. The two main foci are on Higher Education (one action planned is Erasmus Mundus, but it will build on work of ALBan (América Latina – Becas de Alto Nivel and ALFA (América Latina Formación Académica) programmes) and Information Society (@lis2).

*ALICE2 Interim Report (Sept. 2009):* project only started at end of 2008 – in first few months project concentrated on disseminating FP7 information and on organizing a survey to establish needs/expectations of communities to be serviced in particular “where University research and development and RedCLARA can contribute to help meet the MDGs”. Survey focused on CLARA NRENS. Report also goes into details of setting up project, staff appointed, initial visits made to different countries, setting up newsletter and other visibility initiatives, etc.

*Mid Term Evaluation of @lis2 (August 2011):* concluded chain: development of ICT – reduction in poverty – social inclusion was proven. Various factors are seen as contributing to this: ICT helps to fight poverty, illiteracy also applies to digital media, access to connectivity helps but you also need to foster usage and train users, certain public services are easier to access on the internet and ICT strengthens the capacity to innovate in a country. @lis2 support to REGULATEL will strengthen the

regulation of ICTs and help to ensure equitable access and rates. Programme also started a debate on role of ICTs. Programme formally started at the end of 2008 with 42 months of activities planned up to June 2012. @lis2 Intervention logic exists though needs to be updated. Evaluation found 'significant progress in the achievement on expected results' of @lis2 after two years of operation and judged that the rate of progress was adequate. Also reported that there was an 'evident effort' by the three contractors to coordinate their work and that the work of each was consistent with the objectives set. The 'problem analysis' is seen as adequate but some of the indicators are over-ambitious. Evaluators also satisfied as far as 'efficacy' criteria goes and reported ALICE2 was 'showing signs of stimulating collaborative research' within LA and with EU. Efficiency was also seen as good and the costs justified by the benefits achieved. Moreover, the impact was already felt to be tangible in 2011.

**Features: scale, funding source, geographical coverage, time period**

*Action Fiche (D-19842):* Total cost of the project EUR 31.25 million – EUR 22 million from European Commission. Modality: Project approach – centralised direct management. From DCI-ALA.

Three grant contracts are proposed with (i) CEPAL for PP1 related activities, (ii) CLARA for PP2 and support to RedCLARA as the established network of NRENS, (iii) REGULATEL for R3.1 related activities

c-169068 CRIS form for (EUR 17.9 million) ALICE@ project for RedCLARA list entries starting in June 2008 and last one Feb 2014

Financial payments (14) made Dec 2008 through to March 2013 at rhythm of around three per year.

First interim report received October 2010.

**Relevance and added value of this programme for evaluation**

The ALICE2 project is certainly relevant but the information is somewhat limited. The project covers well the networking aspect of support to R&I using ICT tools.

**Sources of evidence available, their coverage and limitations**

The Action Fiche for CLARA is very useful. Some useful information in the Regional Strategy Paper RSP and Annual Action Programme AAP dating from just before the @lis2 project started. Two audit reports confirm objectives and amounts.

The Report of the Mid Term Evaluation of @lis2 from August 2011 is very useful.

First Interim Project Report from Sept 2009 also useful in terms of project activities but would be useful to have later reports as well as this one is very early in the project (only nine months in to 42+6 month extension).

In sum the initial start-up information is reasonable and the Mid Term Evaluation dating from August 2011 (three years into a four-year project) is very useful and could be exploited further but it would be helpful to have a few more progress reports.

**Key observations for JCs**

Number	JC	Relevant observations
11	Link between R&I activities and EU development objectives (as per European Consensus and Agenda for Change – MDGs, etc.)	Project documents link objectives to MDGs and EU development objectives.
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	The expected results of the programme suggest @lis is intended to align with various EU DEVCO+R&D policies and programmes.
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	@lis2 is intended to complement Erasmus Mundus support to training.
24	Enhanced networking of developing countries' researchers at regional and international level	This regional programming has enhanced networking as its core task. Evidence of increased networking picked up by MTE.
32	Strategic approach adopted to choosing different possible actors / channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities available	The Action Fiche gives a clear rationale for choice of partners related to their competences in the area. MTE satisfied with Intervention Logic for @lis2
41	Extent to which DGs DEVCO and RTD have formulated clear strategies on how they should cooperate in a complementary way and how the work of other relevant EU institutions (such as the EIB) is also complementary with their own.	There is evidence of coordination with a series of other donors, principally international organisations. The project clearly supports advertising of FP7 calls and links Latin America up with RTD funded networks in EU
42	Degree to which DEVCO support addresses issues	The project clearly focuses on the Latin Amer-

	that could/would not have been better, or equally well, addressed through RTD and vice versa	ican end of the networking between EU and external researchers. In that respect it respects a clear and obvious division of labour between DEVCO and RTD.
43	Level at which DEVCO support has benefited from complementary action financed through RTD and vice versa	Project documents make reference to complementary support from Erasmus Mundus and RTD FP7. Also reference to objective of linking up with EU ICT networks for R&I.
44	Extent to which different mechanisms to promote PCD (ex-ante impact assessments, inter-service consultation, etc.) have been deployed and acted-upon	Programme planning documents indicate an intention to encourage PCD. Signs of lessons learning picked up by MTE.
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	There is evidence of building up a project logic based on lessons learning from past projects and included in a logical Regional Strategy. MTE of @lis2 also confirms adequate intervention logic though recommends updating.
54	Development processes and outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks	@lis2 builds on the original @lis project funded by DEVCO, the new project will continue to use the existing communication tools etc.
63	Extent to which the EU facilitates R&I activities at all levels	Communication and visibility measures are written into the planning documents. This is a core part of the project as it is very much about reaching to communities and to researchers.

### 3.A.2 ACP Science & Technology Programme

#### Brief description of Case Study subject

##### **Purpose, objective, approach, actors**

The ACP Science and Technology Programme (ACP S&TP) is also referred to as the PSTICB – Programme for Science and Technology Innovation and Capacity Building. Its website<sup>5</sup> and interviewees trace the roots of the programme to the Cape Town ACP Ministerial Conference on Research for Sustainable Development and the Johannesburg UN World Summit on Sustainable Development both held in 2002. It thus builds on ACP government interest in developing S&T and the Commission's Communications of 2006 on EU Sustainable Development Strategy and of 2008 on 'A Strategic European Framework for International Science and Technology Cooperation'.

The Programme is based on the understanding that the application of knowledge gained from Science and Technology is necessary to promote innovation and develop appropriate technologies which can be deployed locally and which support the fight against poverty in ACP countries.

*ACP S&T I* was aimed at helping achieve Millennium Development Goals 1, 7 and 8 by targeting poverty eradication and focusing on building and enhancing strong S&T capacities to support research, development and innovation in the ACP region, thereby enabling the identification and formulation of activities, processes and policies critical to sustainable development. The first call therefore set out to strengthen the internal Science and Technology (S&T) capacity of ACP countries along three main axes:

1. Co-ordination and networking in applied research,
2. Instruments for collaborative research and
3. Management of research activities and reinforcement of research quality.<sup>6</sup>

*ACP S&T II* especially aims at supporting initiatives that “strengthen the recognition of the importance of Science and Technology (S&T) for development, that produce innovation, that promote a scientific culture, that identify S&T goals and priorities, and that bolster national and regional capacities to formulate, manage, monitor, evaluate and disseminate S&T activities within and across ACP countries.”<sup>7</sup> *ACP S&T II* will therefore neither fund finance research activities nor academic mobility to ensure complementarity with other programmes.

While the programme was established on the basis of an ACP Ministerial level discussion and subsequent high-level official ACP-EU dialogue, interviews and documentation did not reveal any continuing policy dialogue on the programme.

##### **How does it support or promote R&I?**

The programme is therefore not intended to fund research directly but rather to build and strengthen capacity for S&T which in turn should promote research and innovation. That said, the Report of the 2012 Mid Term-Review of the programme indicates that the 1<sup>st</sup> call did fund some actual research projects and that this was one of the expectations of the applicants. The small sample of contracts examined below confirms this finding for the 1<sup>st</sup> call, but also brings out some evidence of this changing under the 2<sup>nd</sup> call. The four grant contracts examined for the 2<sup>nd</sup> call rather provide examples of a focus on innovation, research management, S&T capacity building and dissemination of results.

##### **Links with Commission R&I strategy and other R&I support programmes (including RTD)**

The ACP S&T Action Fiche indicates that it sees the Programme as complementary to the other following programmes<sup>8</sup>: the FP7 Africa 2010 Call for Proposals, the Food Security Thematic Programme (FSTP), the EDULINK/Erasmus Mundus/ACP mobility programmes, ACP Research for sustainable development programme (research grants), and @CP-ICT/ACP Connect.

The FP7 Africa 2010 Call for Proposals was for research in the fields of Health, Food, Agriculture, Fisheries and Biotechnologies and the Environment (EUR 63 million). FP7 also has actions in the INCONET framework (CAAST-Net and ERAFRICA) (see Annexes to contract c-022053).

The FSTP priority 1 is on supporting the delivery of international public goods contributing to food security: research and technology with a special focus on enhancing capacity and S&T cooperation (EUR 233.1 million).

<sup>5</sup> <http://acp-st.eu>

<sup>6</sup> [http://ec.europa.eu/europeaid/documents/aap/2011/af\\_aap-spe\\_2011\\_intra-acp\\_p2.pdf](http://ec.europa.eu/europeaid/documents/aap/2011/af_aap-spe_2011_intra-acp_p2.pdf)

<sup>7</sup> <http://acp-st.eu/sites/all/files/funding/docs/ACP%20S&T%20I%20-%20Guidelines%20EN.pdf> (p.5)

<sup>8</sup> [http://ec.europa.eu/europeaid/documents/aap/2011/af\\_aap-spe\\_2011\\_intra-acp\\_p2.pdf](http://ec.europa.eu/europeaid/documents/aap/2011/af_aap-spe_2011_intra-acp_p2.pdf)



Interviews suggested that there was probably a very limited number of cases of ACP researchers funded under the ACP S&TP who then moved on to successful applications to FP7.

**Features: scale, funding source, geographical coverage, time period**

The ACP S&T Programmes I and II are funded out of the 9<sup>th</sup> and 10<sup>th</sup> EDF (Intra-ACP Facility) respectively as well as from the European Union's general budget line for South Africa under the EU Budget DCI. The 10<sup>th</sup> EDF Intra-ACP Strategy Paper and MIP (Multi-Annual Indicative Programming) emphasise the importance already given to capacity building for research under the 9<sup>th</sup> EDF and lists Research as one of its priorities for the period 2008-2013 specifically talking about the continuation of the ACP S&T Programme (PSTICB-2) under this heading with an indicative allocation of EUR 40 million. Among the objectives for this programme it refers to addressing the S&T divide, strengthening capacity for research, enhancing the use of S&T as an enabler of poverty reduction, growth and development, encouraging participation in European Research Framework Programmes, cooperation on the use of affordable space applications and helping decision makers to benefit from the latest development in biotechnology.

*ACP S&T I:* The total budget of the Programme amounted to EUR 33 million. As a result, the first Call for Proposals in 2008 consisted of two separate lots (Lot 1 for the EDF EUR 28 million and Lot 2 for the DCI EUR 5 million).<sup>9</sup> The first call for proposals prompted around 200 applications and led to 36 grant contracts being signed by the end of 2009 (18% success rate).

*ACP S&T II:* A second Call for Proposals was conducted in October 2012. Around 300 applications were received and about 20 approved (7% success rate). The overall indicative amount made available under this call for proposals is EUR 20.8 million<sup>10</sup>. Again this was mostly from the EDF Intra-ACP envelope but also included a € 3 mn contribution from the DCI South Africa allocation

The global objectives of the 2<sup>nd</sup> call for proposals were:

- To address the scientific and technological divide between ACP member states and the most industrialised countries.
- To strengthen Science, Technology and Innovation (STI) in ACP countries to enable creation, update and use of scientific knowledge.
- To enhance the use of STI as a key enabler for poverty reduction, growth and socio-economic development.

The specific objective of this call for proposals is to contribute to building and strengthening capacities in the areas of Science, Technology and Innovation in ACP countries.

The Mid Term Review (2012) provides a useful analysis and evaluation of ACP S&T I. It reached the following conclusions against the Commission's standard evaluation criteria:

- *Relevance:* '... undoubted pertinence to ACP countries conditions and aspirations'. However, the relevance criteria were also felt to be applied too flexibly in the selection of projects to be funded and in particular a decision was taken to accept networks exclusively made up of universities resulted in a shift in focus.
- *Effectiveness:* '... reasonable achievement of the five LogFrame Results ... However, the programmatic contribution in terms of strengthening the internal science and technology capacity of ACP countries ... is less impressive, due largely to the limited participation of organisations other than universities'. The MTR also identified some unintended emphases (section 3.6), a first being a tendency to fund actual research and provided funding for Masters and doctoral studies even though this was not its intention. The Report estimates that 'about 60-70 ACP advanced students should gain their PhDs as a consequence of the Programme'.
- *Efficiency:* The MTR findings identified considerable criticism from the beneficiaries relating to the administrative and financial procedures for instance on managerial inflexibility and delays.
- *Impact:* Although it was somewhat early to say, some project-level impact was felt to be discernible, but the targets were generally not SMART and the internal evaluations, though positive, were not sufficiently independent. The grants supported academics and not government officials, private sector or CSOs so impact was largely on strengthening university S&T faculty.
- *Sustainability:* Again too early to say but the programme was felt to be effective in helping to create and enhance networks which were generally felt to be solid enough to be self-sustaining. About 70% of the grants relate to agriculture and natural resources and then to

<sup>9</sup> [http://www.acp-st.eu/sites/all/files/ACP-ST\\_newsletter1\\_EN.pdf](http://www.acp-st.eu/sites/all/files/ACP-ST_newsletter1_EN.pdf)

<sup>10</sup> The 10<sup>th</sup> EDF MIP refers to EUR million and the Action Fiche to EUR 20 million.

health, which are the areas in which ACP-EU research institutions have been collaborating most closely for some time.

- *Coordination and Coherence*: It was concluded that despite the good intentions ‘In practice, meaningful accord between ACP S&T and other DEVCO initiatives and those of DG RTD (NCO-NET) and those of Member States were missing’.

Overall, the MTR concluded that the 2<sup>nd</sup> Call for Proposals (about to be launched at the time the report was published) was ‘entirely justified’, but it made various recommendations on improving the Call for Proposal (CfP) Guidelines, on enhancing the administration and on programme monitoring. In particular, the reviewers argue the relevance criteria needed to be more strictly applied if the ACP S&T Programme was really going to be successful.

Finally, section 2.6 of the Report on ‘Understanding the Programme’s Potential’ provides an interesting reflection on the objectives of funding research and innovation in ACP countries that is worth quoting at some length given its direct relevance to this Evaluation:

“Science (the art of knowing) and Technology (the art of making) have the potential to increase productivity, promote growth, decrease poverty and contribute to healthier, longer, wealthier and more fulfilling lives. S&T results from the interaction between public and private institutions, decision makers, academia, enterprises and civil society. At their heart is the strengthening of the innovation chain – the creating of conducive S&T environments in developing countries. Its effectiveness depends upon convivial policies, available research funding, effective communication and technology transfer. In the Evaluation Team’s considered opinion, this is what the Programme should essentially be about and its relevance to EU policies and to the ACP beneficiaries’ needs is undeniable.

Regional collaboration can play an important role in fostering S&T activities in the developing world. And, as one ‘knowledgeable’ interviewee put it, “The fact that the objectives of the ACP-S&T Programme are linked to MDGs serves as a good orientation mechanism for those wishing to submit proposals for funding, and promotes problem-solving research.” Another added that “the focus on facilitating, organising, and applying research and stimulating initiative makes the Programme’s potential highly significant, once it is fully understood.”

That would seem to be the key. ACP S&T occupies a particularly significant niche precisely because it is not just another ‘research grants’ programme. Once that is made manifest, this limited scale (in terms of available finance as a proportion of, say, international R&D investment) intervention may make a practical contribution on a different dimension to that achieved hitherto. [emphasis added] At best, it goes beyond the fostering of science, technology and innovation to the well-being of communities and the sharing of economic and social outcomes internationally.“

This quotation usefully identifies the specificity of the ACP S&T Programme and also clearly outlines the value of investing in the right conditions for R&I as a contribution to achieving development results.

The ACP S&TP is managed by an official at the ACP Secretariat supported by a technical assistance unit (TAU) in Brussels. The basic process for each CfP has been that applicants fill in a form provided by the Commission. These are checked for administrative compliance by the Project Management Unit (PMU) who then passes the eligible applications on to a panel of independent assessors chosen by the Commission. Each application is considered by two assessors separately first for the concept and then for the proposed implementation details. The recommendations are then passed on to a selection committee of officials from the ACP Secretariat and the Commission. Scientific assessment is therefore done by the panel, administrative compliance by the TAU and the process is overseen by both the ACP Secretariat and the Commission. Capacity for each of these stages is strictly limited and interview evidence suggests that the process could be more rigorous particularly as, even though the standards of the applications is often not high, the full amount available has never the less been allocated for each call. A more positive argument put forward by interviewees is that while the S&TP is clearly not as tough as the FP7 in its standards, it does serve as a useful training ground for building capacity and giving ACP researchers a chance to work with EU counterparts on joint projects<sup>11</sup> that can afterwards provide the basis for moving to collaboration on FP7 projects.

### **Sample of contracts**

A sample of eight contracts was extracted from CRIS for the two CfPs. The contracts on all the 1<sup>st</sup> CfP were closed by the end of 2014 (except for two) and the contracts for the 2<sup>nd</sup> CfP had completed their first years. The list of contracts (with their full titles, contracted amounts and contractors) is as follows. Fuller details are given further below.

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<sup>11</sup> To be eligible all projects must involve ACP researchers and a good proportion of the work funded needs to take place in an ACP country.

**ACP S&T I – D-018593 (1<sup>st</sup> CfP: 2009)**

1. c-17079 : Recherche appliquée pour la valorisation et la transformation des ressources naturelles dans un processus de lutte contre la pauvreté au Chad et Cameroun – EUR 1 million – Fondation ACRA-CCS
2. c-218782: The improvement of Research and Innovation Management capacity in Africa and the Caribbean for the successful stimulation and dissemination of research results – EUR 2.6 million – Southern African Research and Innovation Management Association
3. c-217065 : Améliorer l'interface entre prestataire de soins officiels et traditionnels pour une meilleure prise en charge des pathologies prioritaires et accélérer l'atteinte des OMD Santé en Afrique – EUR 1 million – Université Libre Bruxelles

**ACP S&T II – D-022053 (2<sup>nd</sup> CfP: 2012)**

1. c-330246: Strengthening capacity for participatory management of indigenous livestock to foster agricultural innovation in Eastern, Southern and Western Africa – EUR 1 million – Egerton University, Nairobi
2. c-330218: AFRHINET: an ACP-EU Technology Transfer Network on Rainwater Harvesting Irrigation Management for Sustainable Dryland Agriculture, Food Security and Poverty Alleviation in sub-Saharan Africa – EUR 1 million – Hochschule für Angewandte Wissenschaft, Hamburg
3. c-330215: *One Health, One Caribbean, One Love* – EUR 1 million – University of the West Indies (UWI)
4. c-330204: International Fine Cocoa Innovation Centre (IFCIC) – EUR 2.17 million – UWI
5. c-330659: Technical Assistance to the Secretariat of the African Caribbean and Pacific Group of States for the Management of the ACP Science and Technology Programme II – EUR 1.5 million – GOPA Cartermill SA

Considering these in turn in more detail the available documents bring up the following elements:

**ACP S&T I – D-018593**

1. c-17079: Use of natural resources to fight poverty in Chad and Cameroun – EUR 1 million – Fondation ACRA-CCS

This contract for EUR 1 million involves a rural cooperative operating in Africa and Latin America, the Fondation ACRA-CCS, in consortium with three higher education institutions (two in Africa and one in Europe) and two research centre (one in Africa and one in Europe). The activities listed in the 2<sup>nd</sup> year progress report (covers period Oct 2010 – Oct 2011) discuss the conduct of research studies on nutritional levels in the specified area in Chad and the availability of local crops and indigenous vegetation that may be used (or existing use improved) to supplement local diets (herbal extracts, vegetable oils, etc.). Various workshops were conducted on research methods and findings. Work was also done on developing artisanal processing methods for these foodstuffs once identified. Communication and awareness activities were also conducted to spread information on results and encourage the formation of networks of researchers. No ROM reports or evaluation reports were available.

1. c-218782: *Research and Innovation Management capacity in Africa and the Caribbean* – EUR 2.6 million – Southern African Research and Innovation Management Association (SARIMA) South Africa

Project ran for three years from Nov 2009 to Nov 2012. Parallel projects are being run in other African regions and in the Caribbean. Three ROM reports available for visits conducted to SARIMA, the whole group and CabRIMA after two years in Nov 2011. ROM grading: C for relevance and B for other four criteria. Project is deemed relevant but the project experienced various problems due to different factors: poor conception, poor cash flow, inadequate reporting, difficulties to get the regional consortium members to work smoothly together. Not all outcomes are on schedule though results to date are seen as satisfactory and the project has served to increase interest in R&I. Effectiveness has been better in more established associations and these have acquired more R&I management expertise while the weaker associations have benefited up to a certain level.

In the Caribbean there has been more involvement of public/private non-academic actors with outreach activities for the public and collaboration with government departments. There is evidence of impact with the emergence of a professional cadre of experienced R&I management practitioners and departments. R&I management is also increasingly recognised as a distinct area of expertise capable of contributing to sustainable development. However, the scale of the project is inadequate to meet the potential demand in the region and the full objectives will not be met in the project lifetime.

2. c-217065: The interface between official and traditional health care for the MDGs in Africa – EUR 1 million – Université Libre Bruxelles

The project is led by the Public Health Unit at ULB (Université Libre de Bruxelles) but also involves the IRD (Institut de recherche pour le développement) in France and three public health institutes in Benin, Burkina Faso and Mali for work on six health districts in these three countries. Two Progress Reports available for periods (a) Nov 2009–Sept 2010 and (b) Nov 2010–Feb 2012. The project was due to close in late 2012. Drawing primarily on the 2<sup>nd</sup> Report it is apparent that while good progress has been achieved there have been some delays due to staff turnover, slow start-up with delays in funds coming through and the many-tiered management structure of the health care system in the three countries. Various activities involving research on actual problems were experienced in the interface with patients and identification of solutions to resolving them. Efforts were also made to consolidate lessons learnt, publicise the solutions found (including in scientific journals, through seminars and a website) and bring them to the notice of the authorities. No ROM reports or evaluation reports were available.

### **ACP S&T II – D-022053**

1. c-330246: Participatory management of indigenous livestock in Eastern, Southern and Western Africa – EUR 1 million – Egerton University

Contract for EUR 1 million for 36 months execution period signed in December 2013. Consortium led by Egerton University in Kenya with Lilongwe University (Malawi) and Obafemi Awolowo University (Nigeria).

The ILINOVA project improves the management of indigenous livestock (IL) through building capacity in the creation, update and use of innovative livestock technologies. Specific objective is to develop STI capacity in sub-Saharan Africa to foster agricultural innovation through interdisciplinary approaches and management of indigenous livestock. Target groups include staff and students, smallholders, and other enterprises (processors, traders, etc.) involved, investors, policy makers CSOs and consumers. Results include i.a. knowledge improvements, better policy, capacity building, and building an African-European STI network. Main activities include: situation analysis, multi-stakeholder fora, research – industry/civil society linkages, visibility and knowledge transfer. The project website<sup>12</sup> is detailed and fairly active. There is a strong element of training and mentoring of young scientists. The outreach component is also presented as important both to the general public and to government departments. A mobile phone application is being developed to give mobile access to IL management information and markets. The project description refers to links with EDULINK I and II and with the AU Commission. No ROM reports or evaluation reports were available.

2. c-330218: *AFRHINET in sub-Saharan Africa* – EUR 1 million – Hochschule für Angewandte Wissenschaft

Contract for EUR 1 million for 36 months signed December 2013 with the Hamburg University of Applied Sciences (HAW). The AFRHINET project is to be run in four countries: Ethiopia, Kenya, Mozambique and Zimbabwe with the Universities of Addis Abeba, Nairobi, Eduardo Mondlane and Zimbabwe. ICRISAT, SEARNET/ICRAF and WaterAid are also associated with it. The focus is on Rainwater Harvesting and Irrigation RWHI and the objective is to foster endogenous sustainable and self-replicable S&T capacity in this area. Other objectives include foster research capacity, market-oriented research and technology transfer, capacity to manage RWHI systems, establish a long term ACP-EU network in the area and disseminate and transfer knowledge. Target groups include: academic staff, NGOs, consultancies, business and micro-enterprise, cooperatives and community groups involving small scale farmers, women, youth groups and small entrepreneurs. No ROM reports or evaluation reports were available.

3. c-330215: *One Health, One Caribbean, One Love* – EUR 1 million – University of the West Indies

Contract for EUR 1 million for 36 months project signed in December 2013 with the University of West Indies in T&T to be carried out across the Caribbean region. Partners include the Pan-American Health Organisation, CIRAD, Ministries of Agriculture in Guyana, Grenada and St Kitts & Nevis. The overall objective is to increase food security, animal health and production in the Caribbean. The target groups include governmental and NGO veterinary, public health and environmental services as well as government diagnostic labs and the intended beneficiaries are the public, consumers and livestock producers. The intended results include the creation of a Caribbean network of 'One Health Leaders', building capacity in One Health approaches, seminars, information and communication, exchange of information, introduction of new laboratory techniques and technologies, promotion of quality assurance strengthening the ability of vets to recognise and respond to exotic animal and zoonotic diseases. The key innovation to be introduced and recognised as best practice by the FAO, OIE

<sup>12</sup> <http://ilinova.org>

(World Organisation for Animal Health) and WHO, in the One Health approach is ‘the collaborative efforts of multiple disciplines working locally, nationally and globally to attain optimal health for people, animals and the environment’. No ROM reports or evaluation reports were available.

4. c-330204: International Fine Cocoa Innovation Centre (IFCIC) – EUR 2.17 million – University of the West Indies

Contract for EUR 2.17 million signed with the University of the West Indies/Cocoa Research Centre in Trinidad for the International Fine Cocoa Innovation Centre (IFCIC) for 36 months in December 2013. Partners involved include the Caribbean Fine Cocoa Forum (CFCF) Ltd, the Cocoa Industry Board in Jamaica and Newer World plc in the UK. The objective is to facilitate the transmission of scientific and technological knowledge into innovations benefitting the agricultural and food sectors and related downstream sectors in the Caribbean. The IFCIC itself is to provide the infrastructure and ‘model nexus’ for transforming the Caribbean fine cocoa into a sustainable industry capitalising on research done at the Cocoa Research Centre at University of the West Indies. The target group is mainly made up of cocoa farmers, rural communities and entrepreneurs. Innovative approaches to be used include: genetic fingerprinting, flavour profiling and near infrared spectroscopy based certification. No ROM reports or evaluation reports were available.

5. c-330659: Technical Assistance to the ACP Secretariat for the S&T Programme II – EUR 1.5 million – GOPA Cartermill SA

The annexes (Jan 2012) to this contract provide an overview of the ACP S&T Programme (repeating information above) and detail the Terms of Reference for GOPA Cartermill to support the ACP Secretariat in running the Programme by establishing a Technical Assistance Unit. This TAU performs standard duties in the contracting and monitoring of projects in the Programme. Interviews however indicated that monitoring was done at a distance with no budget provided for project visits. The TAU also assist grant beneficiaries in the management and reporting on projects and they assist the ACP Secretariat in the promotion of the Programme. The annexes also include the GOPA tender documents. No ROM reports or evaluation reports were available. Quarterly reports on outputs achieved are submitted to the ACP Secretariat. The TAU has sent out a questionnaire survey to all beneficiaries and the report will be available in June 2015 in time for the next regular ACP S&TP stakeholder conference in Brussels.

### **Summary Details from Inventory**

The ACP Science and Technology Programme is funded from the Intra-ACP envelope under both the 9<sup>th</sup> and 10<sup>th</sup> EDF and a small element from the EU Budget’s DCI (South Africa). The total amount contracted for the 62 contracts identified in the inventory is EUR 55.05 million. This amounts to 7% of the total value of contracts in the inventory.

Table 16 ACP S&TP funding

<b>Programme</b>	<b>Funding source</b>	<b>Amount budgeted (million EUR)</b>	<b>Amount contracted (million EUR)</b>	<b>Number of contracts</b>
ACP S&T I – CfP 1	9th EDF Intra-ACP	30.35	33.47	39
	DCI – South Africa	5.00		
ACP S&T II – CfP 2	10th EDF Intra-ACP	20.00	21.58	23
	DCI – South Africa	3.00		
	<b>Total</b>	<b>58.35</b>	<b>55.05</b>	<b>62</b>

CRIS, Particip analysis

Table 17 ACP S&amp;TP decisions

Decision number in CRIS	Decision title in CRIS	Funding source	Contract year	Total contracted amount (million EUR)
AFS/2006/01 8-197	Programme for Science and Technology Innovations and Capacity building (PSTICB)	DCI-AFS	2009	4.73
FED/2006/01 8-593	Science and Technology Innovations and Capacity Building in ACP Countries	EDF 9	2009	28.74
DCI-AFS/2010/02 2-313	ACP Science & Technology II	DCI-AFS	2013	2.34
FED/2011/02 2-053	ACP Science and Technology programme	EDF 10	2013	19.25
			<b>Total</b>	<b>55.05</b>

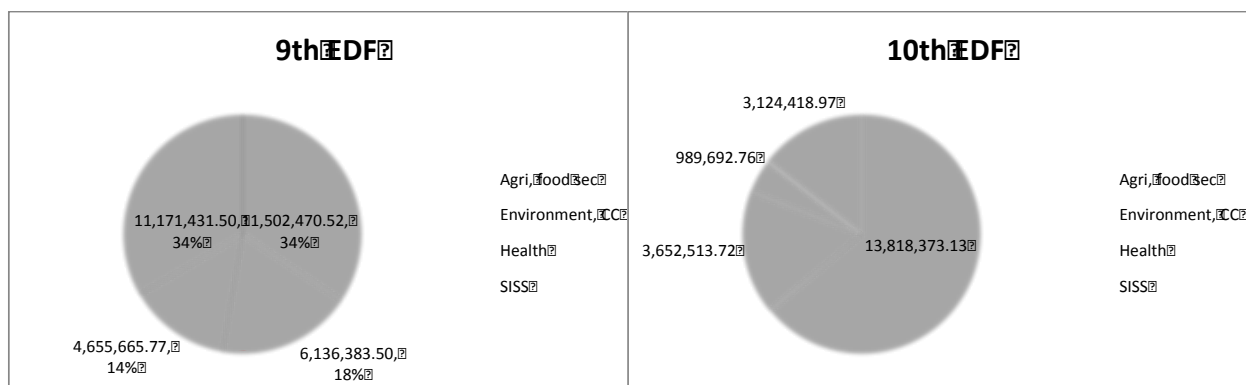
Source: CRIS, Particip analysis

Among the 39 grant contracts in the inventory classified under the ACP S&T Programme funded by the 9<sup>th</sup> EDF there are three administrative contracts for the Mid-Term Review and the management of the Programme. Equally, in addition to the 23 contracts in the inventory classified under the ACP S&T II, there are two further contracts for Technical Assistance to the ACP Secretariat.

The distribution of contracts can be analysed in various ways:

- Over the four thematic areas of the Evaluation (Figure 12), the share of funding going to Food Security, Nutrition and Agriculture (FSNA) can be seen to expand dramatically between EDF 9 and EDF 10 programmes while the share of the other three sectors has contracted. Health is the sector that receives the least under both the programmes.

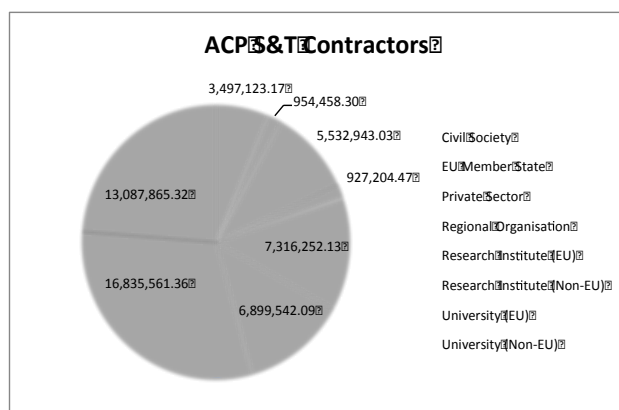
Figure 12 Distribution of grants for EDF 9 and 10 (in EUR and percent)



Source: CRIS, Particip analysis

- Looking at contractor type (Figure 13) it is apparent that universities, both EU and non-EU, received most of the contracts and most of the amount contracted under both Calls for Proposals.

Figure 13 Distribution of grants by contractor type



Channel ACP S&T contractors	Amount contracted (million EUR)	Number of contracts		
		To- tal	CfP 1	CfP 2
Civil Society	3.50	3	3	
EU Member State	0.95	1	1	
Private Sector <sup>13</sup>	5.5	8	5	3
Regional Organ- isation	0.93	1		2
Research Insti- tute (EU)	7.32	9	4	5
Research Insti- tute (Non-EU)	6.90	7	6	1
University (EU)	16.84	19	11	8
University (Non- EU)	13.09	13	9	4
<b>Total</b>	<b>55.05</b>	<b>62</b>	<b>39</b>	<b>23</b>

Source: CRIS, Particip analysis

### Relevance and added value of this programme for evaluation

The ACP S&T Programme is a clear example of a DEVCO funded programme investing in scientific research, innovation and technology with the aim to foster sustainable development.

It has a cross-cutting nature in that it funds grants in all thematic areas analysed in this evaluation (Health; Agriculture and Food Security; Environment and Climate Change; Science, Technology and Space). It is solely funded by aid instruments (EDF and DCI) and based on grants administered through calls for proposals. The S&T programme focuses only on ACP regional grouping.

The ACP S&T programme shares complementarity and linkages with other Programmes as stated in the Programme Document for ACP S&T II.

A Mid-Term Review (MTR) of the ACP S&T Programme was conducted (published in 2012) which looks at the first ACP S&T Programme. This case study builds on the findings of the MTR and takes the analysis further by including ACP S&T II.

### Sources of evidence available, their coverage and limitations

- ACP S&T Programme website: <http://acp-st.eu>.
- Report of the Mid-Term Review of the programme, 2012, Cambridge Education Consortium
- The sample of contracts and reports extracted from CRIS are listed above. In most cases just only one or two documents are available per project. ACP S&T I projects are now finalised and more complete documentation is available, however a good quality evaluation of this 1<sup>st</sup> call has already been done. ACP S&T II is more recent with most contracts signed in December 2013. No narrative reports yet seem to be available, on the other hand it should be possible to visit projects in country and contact.
- Interviews with officials at the ACP Secretariat, the TAU and GOPA/Cartermill and DG DEVCO.

### Key observations for JCs

No.	JC	Relevant Observations
JC 11	Link between R&I activities and EU development objectives (as per European Consensus and Agenda for Change – MDGs, etc.)	The programming documents all refer to the intention that the ACP S&T should be oriented to reducing poverty and helping to achieve the MDGs. The MTR judges this link to be relevant but actual impact is limited. The sample of project documents for the 2 <sup>nd</sup> call suggest some projects at least are well focused on MDG objectives and relate directly to development problems on the ground.
JC 21	Degree of alignment and coher-	Care has been taken to align the programme objectives to relevant

<sup>13</sup> Five of the eight private sector contracts relate to the management of the programme.

No.	JC	Relevant Observations
	ence of EU DEVCO support to R&I with relevant policies and strategies	DEVCO policies and strategies including agreements with the ACP. The MTR judges the effectiveness of implementation to be mixed. Interviews also gave a mixed assessment on effectiveness.
JC 22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	The focus on capacity building is strong in the programming documents, but again the MTR argues that actual implementation is mixed and that capacity building has in practice been concentrated only in some targeted groups. Projects sampled for the 2 <sup>nd</sup> CfP do seem to emphasis capacity building fairly consistently.
JC 24	Enhanced networking of developing countries' researchers at regional and international level	Enhanced networking is certainly planned and according to the MTR actually achieved among some groups. The same is evident in the sample of projects for the 2 <sup>nd</sup> CfP. A regular stakeholders conference is held.
JC 31	Appropriateness of the financing modalities and types of funding under different EU instruments and the way they have been applied for enhancing R&I	The sources of finance (EDF Intra-ACP and DCI Sth Africa) are appropriate, but the MTR reports a lack of efficiency in the way the Call for Proposal and the grants were administered.
JC 32	Strategic approach adopted to choosing different possible actors/channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities available	The grantees are very largely from the academic sector while other suggested beneficiaries have not benefited. The MTR makes some recommendations as to how this might be corrected. The high proportion of academic contract holders continues in the 2 <sup>nd</sup> CfP.
JC 33	Level of efforts taken to choose between and to combine different modalities and channels	The level of effort taken on modalities appears appropriate but clearly more effort is required if an adequate spread of channels is to be achieved.
JC 41	Extent to which DGs DEVCO and RTD have formulated clear strategies on how they should cooperate in a complementary way and how the work of other relevant EU institutions (such as the EIB) is also complementary with their own.	The programming documents indicate various appropriate complementarities with other EU programmes (RTD FPs, mobility, etc.) but it is not clear how it is proposed to encourage this in practice. The MTR identifies a lack of coordination between different programmes and indicates that despite best intentions the ACP S&T has partly slipped into the area of funding postgraduate studies which is really covered by EU mobility schemes.
JC 43	Level at which DEVCO support has benefited from complementary action financed through RTD and vice versa	Although this is discussed in the programming documents, such complementarity was not evident during the MTR. As yet there is no evidence of ACP researchers funded under the ACP S&TP moving on to FP7 funded projects.
JC 51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	This remains largely at a theoretical level and even there is not worked out in great detail. The MTR reflects on the need for more careful attention being paid to this in the assessment of proposals received.
JC 52	Extent of internal lessons learning, sharing and uptake in the EU Institutions within the sectors supported in partner countries, and at international level	The programming documents show some indication of efforts to learn lessons from the 1 <sup>st</sup> ACP S&T programme in the design of the 2 <sup>nd</sup> programme.
JC 54	Development processes and outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks	No indication of this
JC 61	Extent to which EU internal capacity to manage R&I support and conduct policy dialogue is in place at the levels required	Very limited capacity appears to exist in both DEVCO and the ACP Secretariat to manage this programme. A TAU has been established to administer the programme on behalf of the ACP Secretariat. There is no indication of on-going policy dialogue.
JC 62	Extent to which R&I policy dialogue is operational at all levels	The design of the ACP S&T programme is based on an original high level ACP-EU policy dialogue and is managed by the ACP Secretariat with the involvement of the Commission and the South African Embassy in Brussels. On-going dialogue between the ACP and DEVCO on the administration of the programme is apparent but no mechanism seems to exist for on-going policy dialogue.



### 3.A.3 ACP Sugar Research Programme

#### Brief description of Case Study subject

##### **Purpose, objective, approach, actors**

The ACP Sugar Research Programme (SRP) of DEVCO aims to provide solutions to the sugar industry in ACP countries, by responding to a selected number of clearly identified technological challenges that hamper the sugarcane sector's performance. The programme is in line with the Action Plan on Accompanying Measures for Sugar Protocol (AMSP) countries affected by the reform of the EU sugar regime.

A total of thirteen Research and Innovation projects are being implemented under the programme, covering three distinctive areas of research and a general fourth objective of strengthening ACP research capacity and enhance closer collaboration between sugar research institutes.

The purpose of this fourth objective is to assist the ACP Sugarcane Research Programme and its Steering Committee, funding the different research projects and providing them with a Coordinating Unit to support five research stations (MSIRI, SIRI, SRIF, SSA, WICSCBS) in attaining their goals and fostering networking among ACP research stations to strengthen their capabilities, increase communication and enhance the sharing of information and research outputs.

The ACP Secretariat is the contracting authority and it is the responsible body for the management of the research programme. The programme includes until now seven contracts in ACP countries since 2009 with a total amount contracted of over EUR 12.5 million of which EUR 5.6 million has been paid so far. The programme supported five Non-EU, and two EU research institutes, private sector and civil society organisations and a government institution and was rolled out in ACP region and countries, including Fiji, Mauritius, the Caribbean and Swaziland.

Although the Sugar Research Programme is part of the AMSP, no mention is made of the SRP or research in general in the Multi-Annual Indicative Programme 2011-2013.

##### **How does it support or promote R&I?**

The Programme's expected results are:

1. To stimulate the development of new sugar cane varieties which are better adapted to the future requirements of the sugar industry in ACP countries.
2. To reduce the costs of sugar cane production, while at the same time reducing negative environmental externalities.
3. To reduce losses in sugar cane processing and increase the revenues from by-products such as ethanol and electricity.
4. To reinforce ACP research capacity and enhance closer collaboration between the ACP sugar research institutes and service organizations and ensure the dissemination of the research results and experiences among the ACP sugar producing countries.

To achieve these expected results, the Programme's activities are structured through the implementation of 13 individual projects contributing to the first three results and support activities for the fourth result. The research centres funded are located in Mauritius (MSIRI), Fiji (SRIF), Swaziland (SSA), Barbados (WICSCBS) and Jamaica (SIRI). Project sheets can be found in the mid-term evaluation.

The mid-term evaluation (December 2013-March 2014) argues that impact of the programme is limited. Research results (especially for breeding programmes) take a long time to have effect<sup>14</sup> and they do not consider it likely these results will be able to improve the competitiveness of the sugar sector in the ACP countries. The programme and projects are relevant, but efficiency has not been good, partly due to lack of administrative capacity to manage the grants and flexibility of research institutions to adjust logframes and management. The extent of impact of results is partly contested; a reviewer of the evaluation notes that progress has been made mainly in Result 4 (research capacity has been strengthened and collaboration between research institutes has improved, e.g. through training and workshops). Dissemination of results sector wide, exceptional in the conservative sugar sector, has been spurred by the technological Internet platforms.

##### Development policy objectives:

The programme purpose is to enhance the competitiveness of the sugar industry in ACP countries. The process of formulating the SRP objectives seems to have lacked the participation of important stakeholders as it is solely oriented towards technical themes. Two objectives of the National Adaptation

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<sup>14</sup> "The OVIs at a PP level are not measurable for any of the projects, partly due to their poor formulation but also due to a lack of general progress in their attainment."

Strategies - to promote the economic diversification of sugar-dependent areas and to address broader impacts generated by the adaptation process – are sparsely addressed through the SRP.

The Mid-term Evaluation team (MTE team) points out that more attention should be given to market issues, economic prospects, insufficient production areas, inefficient production systems, and low productivity. The emphasis on technological research – and a bias for research aimed at improving yields and breeding programmes – is inherent to the design of the programme.

Too little attention seems to be given to integrating solutions to the complex problems the ACP Sugar Countries are facing (illustrative for the complexity is how MTE team's challenges in identifying the main problem of the sugar sector in Mauritius: In one instance it is high production costs, in another the lack of labour).

#### Design and implementation

The overall objectives and project purposes are relevant from a technical point of view, however, as indicated above, not necessarily addressing the most imperative challenges facing the sugar sector. A part of the explanation to this is that the projects in Mauritius were designed eight years before the start of the programme, and the main beneficiary, the MSIRI, experienced only little room for changing the projects when approaching the actual initiation of the programme. The initiatives of the Programme are coherent with country policies and with the measures designed by EU to support Sugar protocol countries. Projects have been implemented according to the NIPs (National Indicative Programmes) formulated in the National Adaptation Strategies and complementary to other EU Member State support.

The majority of the projects are implemented in Mauritius and at the time of the field mission in Mauritius (November 2015) the projects were in the final stage and delivering some measurable results according to the project documents, in terms of improved capacity, more efficient manufacturing processes, quarantine facilities enabling export and use of healthy varieties, web-catalogue, breeding programmes, and diversifying and reducing sugar production costs (no results on new varieties were realistically expected within the programme time frame as a breeding programme will take up to 15 years to produce results).

#### Impact

The changes envisaged to be generated thanks to the SRP respond to real needs and support ongoing processes that have been speeded up by sector reforms but that are still, however, slow and that need more time to reach their full potential.

Dissemination of results sector wide has to a certain extent been spurred by the internet platforms, but although the projects in Mauritius have now resulted in some tangible outputs, the impact of the programme up to date is limited as results have not yet been applied in the sector (farming and manufacturing). No specific plan for dissemination to end beneficiaries and broad application of results and technologies has been identified in Mauritius.

The MTE team had very low expectations of the overall impact of the programme and projects because the programme was not seen to enhance capability of ACP countries (the overall objective of the programme). However, in Mauritius the programme has actually resulted in increased technological capability (no information about the other countries).

The programme has resulted in improved cooperation between sugar research institutes and service organisations and information has been spread at regional level during workshops and training. Real effects on other stakeholders at regional or country level have been limited.

#### Capacity and networking

The prospects for sustainable research especially in Mauritius have improved. There is better equipment, more and better trained staff, and greater capacity to manage and carry out research projects. Cooperation between research institutes varies but there is potential for sustainable relationships, also with one French research institution. There is a good level of technical expertise and scientific level, but the MTE team finds weak capacity in the management of the projects and there is a lack of experience with EU project procedures. The Coordinating Unit effectively supported coordination and networking between different research institutes.

#### ***Features: scale, funding source, geographical coverage, time period***

The total project cost at the time of the start of the programme was EUR 13 million for a five-year period, financed from the Intra-ACP funds of the 9<sup>th</sup> EDF. The period of execution of the financing agreement started in December 2007 and ends 31 December 2016. EUR 0.8 million was allotted in a competitive fund.

Originally a total of four grants (worth EUR 8.2 million) that cover 11 projects were concluded with four research stations. Mauritius received eight projects and more than 60% of the funds for projects. Two

projects in Fiji were selected for the competitive fund. A total of thirteen projects were thus funded through the ACP Sugar Research Programme.

A contract for a coordinating unit to support the coordination and implementation of the four grant contracts was awarded to a consortium led by French consultancy SOFRECO for EUR 3.5 million.

The Programme partners and direct beneficiaries of the Programme are the research centres in Mauritius (MSIRI), Fiji (SRIF), Swaziland (SSA), Barbados (WICSCBS) and Jamaica (SIRI). The final beneficiaries are the operators in ACP countries' sugar industries.

For five projects the MTE team recommends expanding the lifespan of the grant. The MTE team signals that the research institutes had problems with the rules around the EU grant funding procedures.

#### **Sources of evidence available, their coverage and limitations**

- Mid-term Evaluation of Sugar Research Programme, March 2014
- Financing Agreement including Technical and Administrative Provisions for Implementation, December 2007
- MIP Accompanying Measures for Sugar Protocol Countries (AMSP) Mauritius 2011-2013
- Field mission to Mauritius, November 2015.

#### **Links with Commission R&I strategy and other R&I support programmes (including RTD)**

The programme documentation consulted does not suggest any explicit links between the ACP Sugar Research Programme and R&I support programmes. In the list of FP7 funded projects there are no projects on sugar.

#### **Key observations for JCs**

<b>No.</b>	<b>JC</b>	<b>Relevant observations</b>
11	Link between R&I activities and EU development objectives	R&I needs do not seem to have been defined with sector beneficiaries. See JC 51
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	Support to SRP is aligned with National Adaption Strategies and AMSP, but lack coherence with lessons learnt (innovative and locally owned, sustainable, multi-stakeholder, clearly defined impact pathway, etc.)
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	From mid-term evaluation (p. 30): "Evidence for more and better qualified staff, modern equipment and greater capacities to manage and carry out research projects." At the beginning of projects however, burden of administrative procedures is not sufficiently taken into account. The research institutes are also funded by the sugar sector or export levees, and these contributions are expected to decrease as a consequence of decreasing income from sugar production and export.
24	Enhanced networking of developing countries' researchers at regional and international level	Coordinating Unit and creation of data platforms increased networking between Research Institutes.
31	Appropriateness of the financing modalities and types of funding under different EU instruments and the way they have been applied for enhancing R&I	Problems with administrative and financial management of grants schemes, causing delay in all projects.
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	From mid-term evaluation (p. 37): "Judging from the field visits, it seems that the research projects' themes were solely defined by the same research centres. The sector's other beneficiaries appear not to have participated in the definition of these themes. The projects on Mauritius were developed eight years before and had been submitted to different donors on various occasions before being financed by the SRP."
53	Extent of external lessons learning, sharing and uptake within the sectors supported in partner countries, and at international level	Coordination Unit of Sugar Research Programme has been able to link research institutes and results by e.g. sharing developed database and software.
54	Development processes and outcomes have been built on or used the results of research	One of the issues this programme struggles with is the long lifespan of breeding research and the question if it is fitting for a grant-financed project with a relatively short timeframe. Also, the responsi-

No.	JC	Relevant observations
	funded by DEVCO or shared through DEVCO supported research networks	bility of uptake of research results is weakly embedded in the programme.

Table 18 Observations from MTE of ACP Sugar Research Programme (by project)

Project and location	Observation in Mid-term Evaluation
Expected result 1: To stimulate the development of new sugar cane varieties	
Upgrading of laboratory equipment for sugar cane breeding in the Caribbean (WICSCBS)	<p>The analyses of sugar cane and fibre content have been strengthened and the measurement of list of sugar cane components, from the family evaluation stage of selection to the final stage (stage 5), has been improved.</p> <p>In the Caribbean area, SAC sugar industries have now state-of-the-art equipment in their variety selection programmes and they collect data in a consistent and compatible format.</p> <p>In Barbados three Spectra cane have been installed and are operating, as have two Dual Wavelength Polari meters, three Sugar cane Shredders and one Hydraulic Press; two technicians for each research centre in Belize, Guyana and Jamaica have been trained in the operation and maintenance of new equipment and supplies.</p>
Developing "high-sucrose, early ripening" sugar cane genotypes (MSIRI)	<p>Activities have been carried out according to schedule.</p> <p>The methodology for categorization criteria has been established.</p> <p>A database has been created, an important gender-approach is being promoted (female scientists contribute to the project) and local technical and scientific expertise has been endorsed.</p> <p>Data analyses and the interpretation of HS/ER genotypes have been carried out based on the latest results available; a database has been created and is accessible to the entire ACP group.</p>
International quarantine facility for sugar cane germ plasm exchange (MSIRI)	<p>40 varieties have been screened and 40 varieties were found to be infected and diseases were detected.</p> <p>The ACP countries expressed interest for an international quarantine facility and forty officials from ACP countries were trained in a workshop activity in Mauritius.</p>
A comparative study of family and individual mass selection methods as early selection criteria (SRIF)	<p>Both Fiji projects have a weak relationship with problems faced by Fiji cane sugar farmers as identified by evaluation team. The projects are very first steps for further research in breeding programme. No impact in project life-time is therefore expected.</p> <p>High yielding sugar cane varieties were received, made available for cross-breeding, sugar and cane yields were recorded.</p> <p>In Fiji spill over effects to other programmes with use of software (BLUP) analysis has taken place.</p> <p>In Fiji financial performance data and information on budget expenditure has not yet been made available for 2013 and SRIF's financial management system does not provide complete updated expenditure figures. A second disbursement of EU funds is overdue because the original files have been lost at the ACP Secretariat causing slight problems with the availability of project funds.</p>
Mobilisation of Erianthus (SRIF)	<p>Varieties were collected, characterization is underway and will be completed by early 2015, parents are available. However, the project was unable to identify "true hybrids" and consequently there will not be any hybrids available for ACP countries.</p>
Expected result 2: To reduce the costs of sugar cane production	
Developing bio-pesticides to control white grubs in sugar cane fields (MSIRI)	<p>Regional and local environmental impact expected but not achieved yet.</p> <p>Trials were carried out in South Africa and Mauritius and promising results with the pathogens in laboratory bioassays have been obtained; 375 samples of live fungal material have been collected, stored and maintained; the taxonomy of white group species has been made available to the public domain.</p> <p>A healthy and environmentally relevant cooperation with South Africa has been forged; this is deemed to be an effective added value to FIROP (Field Operations and the Regrouping of Planters).</p> <p>Taxonomy of white group species is now available publicly.</p>
Optimizing phosphorus fertilizer application in sugar cane to decrease production costs and to protect water resources (MSIRI)	<p>Extension recommended.</p> <p>No outcomes, no best practices before 2017 expected.</p>

<i>Project and location</i>	<i>Observation in Mid-term Evaluation</i>
Increasing sugar cane yields for smallholder farmers in Swaziland through improvements in irrigation scheduling (TSSSA)	Project is in its second year. No impact visible yet. In Swaziland the financial management of the project is provided by the SSA staff who are supported by the technical extension staff of the sugar mills. The day to day extension work is carried out well.
Developing an Irrigation Management Information System to optimize water use in sugar cane production (MSIRI)	Extension recommended. Results achieved. IMIS seems impractical for small scale farmers.
<b>Expected result 3: To reduce losses and increase the revenues from by-products</b>	
Developing and introducing an alternative method to determine dextran in sugar juice and raw sugar (SIRI)	Extension recommended. The DASA ( <b>Dextran and Sucrose Analysis</b> ) method for juice and raw sugar analysis has been developed with an increase in the institutional capacity related to performing dextran analysis, as well as, capacity building in core laboratories in each sugar industry factory. Nevertheless the construction of the laboratory area of Belize is still underway and in Guyana the contract with the GuySuCo Sugar Research Institute of Guyana has been signed but the project has not yet started. Several activities have been undertaken - the laboratory area has been built; equipment has been installed and is operational and three SIRI technicians have been trained in the operation of the DASA system – with some outputs obtained. In Jamaica the lower detection limits of the DASA system is available and is associated to the stability and repeatability of this system.
Assisting sugar-producing ACP countries through consultancies and training to make efficient use of energy resources in sugar cane processing (MSIRI)	Extension recommended No outcomes to date.
Developing a technology to dispose vinasse by incineration (MSIRI)	Extension recommended. Technical report on available technologies available.
Developing a technology to transform biomass into bio-plastic in a cost efficient way (MSIRI)	Extension recommended. The technical description of the identified bio-plastic is ready, but no impact expected within project's lifetime.
<b>Expected result 4: To reinforce ACP research capacity and enhance closer collaboration and ensure the dissemination of the research results and experiences</b>	
Thematic workshops at mid-term and end of programme to present and discuss research results (all ACP sugar-producing countries invited)	Activities planned and implemented by Coordinating Unit
Competitive funding facility for visiting researchers and for attending scientific conferences	Activities planned and implemented by Coordinating Unit
Competitive funding to support joint sugar cane proposals	Activities planned and implemented by Coordinating Unit
Creation of a website as a platform for exchanging research results and experiences	Activities planned and implemented by Coordinating Unit

Source: Mid-Term Evaluation 2014.

### 3.A.4 ASARECA

#### Brief description of Programme

##### **Purpose, objective, approach, actors**

Support to ASARECA is a component of the Food and Security Thematic Programme (FSTP) of the EC. The FSTP stresses the need for greater and more coordinated investments in agricultural research and development at global, continental and national levels in order to contribute to achieving the Millennium Development Goals. The agricultural sector plays a crucial role in achieving these goals because of its important linkage with food security.

The FSTP addresses agricultural research and development along two dimensions: (i) The global level, which includes support to the Consultative Group on International Agricultural Research (CGIAR) and launching a Global call for Proposals for Agricultural Research for Development (GPARD); and (ii) The continental sub-regional level in Africa, Asia, Central and South America. Support to ASARECA falls under this sub-regional dimension. The specific purpose of support to ASARECA is to create and develop regional public goods (knowledge, products, technologies, services, systems of rules, policy regimes or a combination of these factors) and to promote access to these goods by relevant stakeholders, such as smallholder farmers or decision makers.

ASARECA is a non-profit member organisation of the National Agricultural Research Institutes (NARI) of eleven East and Central African Countries and was founded in 1994. The ten founding countries are Burundi, Democratic Republic of Congo, Ethiopia, Eritrea, Kenya, Madagascar, Rwanda, Sudan, Tanzania, and Uganda. After the independence of South Sudan and its accession, ASARECA now has eleven members. The aim of this association is to strengthen and promote cross-border agricultural research for development (AR4D), extension, training and education to promote economic growth, improve food security, reduce poverty and enhance sustainable management of natural resources in Eastern and Central Africa. It does so through the following actions:

1. Strategic guidance on research for development priorities in the subregion;
2. Representation and an institution memory of the region in international and emerging Africa-wide fora;
3. Maintenance of multiple mechanism to facilitate collaboration at the subregional level (e.g., networks, competitive grants, exploratory initiatives); and
4. Facilities for on-going monitoring and evaluation of regional programs supported by multiple donors.

ASARECA is a sub-regional organisation of FARA, the Forum for Agricultural Research in Africa. It aims to strengthen the national agricultural research systems (NARS) of its East and Central African member countries and link them regionally. It is a platform to generate and share ideas and develop a common voice. It provides representation of the NARS in international fora, like New Partnership for Africa's Development (NEPAD), G-8, Global Forum on Agriculture Research (GFAR) and the Common Market for Eastern and Southern Africa (COMESA), linking research to political dialogue. By providing information, a platform for dialogue and best practices in institutional arrangements, it aims to facilitate donor entry in the AR4D sector. ASARECA also wants to meet the needs of these donors on monitoring, reporting, assessments and aggregating and allocating funds. Needs that donors individually cannot organise easily.

The results of ASARECA's activities according to the five-year Operational Plan 2008-2012<sup>15</sup> are:

- a) Performance-driven governance and management structures and systems established and operational;
- b) Generation and uptake of demand-driven agricultural technologies and innovations facilitated;
- c) Policy options for enhancing the performance of the agricultural sector in the ECA (Economic Commission for Africa) sub-region facilitated;
- d) Capacity for implementing agricultural research in the IAR4D approach in the ASARECA sub-region strengthened;
- e) Availability of information on agricultural innovation enhanced.

ASARECA coordinates efforts to meet the Comprehensive African Agriculture Development Programme (CAADP) Agenda, together with COMESA. It also plays a coordinating and supporting role in the East Africa Agriculture Productivity Programme (EAAP) in four of the ASARECA member countries. It's also the institution that aims to improve the collaboration between the CGIAR and the NARI

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<sup>15</sup> D-23961, p. 11.

in the region, providing the platform for dialogue and setting of research priorities for example in the case of the Biosciences Eastern and Central Hub, established in 2004 as part of the African Union/NEPAD African Biosciences Initiative and hosted by the International Livestock Research Institute (ILRI).. Management of some of the ASARECA research programmes is delegated to CGIAR Centres. In the Operational Plan 2014-2018<sup>16</sup> CGIAR and FARA are mentioned as being the two key partner organizations for ASARECA.

After 2006 ASARECA changed from being a loosely organised association of commodity networks coordinated by CGIAR centres to a more consolidated regional mechanism implementing regional programs.<sup>17</sup>

Besides a Committee of Directors and a Secretariat based in Entebbe, Uganda, ASARECA works through its so-called NPPs (Networks, Programs and Projects) and a Competitive Grant Scheme. The semi-annual performance report of 2012<sup>18</sup> indicates that in January 2012, 13 projects were funded through the grant scheme and a total of 40 were closed.

Table 19 Status of ASARECA-funded projects (2011-2013)

Program	Old projects ended by 31 December of...			New projects ended by 2013	Projects in the pipeline	Total (by programme)
	2011	2012	2013			
Staple crops	15	-	-	2	6	23
High value non-staple Crops	3	-	-	1	5	9
Agro-biodiversity & biotech	4	-	-	4	3	11
Livestock & fisheries	9	-	1	2	4	16
Natural resources management	6	-	1	1	1	9
Policy analysis & advocacy	3	1	2	2	1	9
Knowledge management & upscaling	-	3	1	3	2	9
Info & communication	-	1	-	-	-	1
Partnerships & capacity development	-	1	-	-	-	1
Total (by status)	40	6	5	15	22	88

Source: Semi-annual performance report Jan-May 2012

The revenues and expenditures of ASARECA in 2011 and 2012 were around USD 14 million.

#### **How does it support or promote R&I?**

Support to ASARECA is channelled through a Multi-Donor Trust Fund (administered by the World Bank). There are therefore no projects directly funded by the EU.

ASARECA coordinates multi-stakeholder projects with different multi-disciplinary partners (national agricultural research institutes, but also regional and international research, extension and training organizations, farmers, NGOs etc.). The 17 NPPs ASARECA coordinated and oversaw were mostly regional programmes or approaches in partnership with CGIAR centres and CGIAR Research Programmes (e.g. with Biodiversity, IFPRI, ILRI, CIAT (International Centre for Tropical Agriculture), ICRAF, CRP on Climate Change and Food Security (CAAFS)).

In 2012 the projects were organized according to these seven programmes:

- Staple crops
- High-value non-staple crops
- Livestock and fisheries
- Agro-biodiversity and biotechnology
- Natural resources management and biodiversity
- Policy analysis and advocacy
- Knowledge management and upscaling.

In these programmes technologies, innovations and management practices (TIMPs) were developed and promoted. These TIMPs vary from seed multiplication, distribution and certification, to water man-

<sup>16</sup> D-27362, p. 5.

<sup>17</sup> USAID evaluation 2011, c-200096.

<sup>18</sup> c-200096.

agement and conservation practices and the policy development of regional standards for certain commodities like cassava and sweet potatoes. Between 2008 and 2012, ASARECA claims to have developed 364 agricultural technologies, innovations and practices and to have reached over 1.370.000 smallholder farmer households.<sup>19</sup>

ASARECA has formulated a ten-year strategy plan (2007-2016). The strategy is implemented through the operational plans that are included as annexes of the annual action programme for Food Security in CRIS (2008-2011, 2009-2013 and 2014-2018). The strategic planning process “worked within an innovation systems framework that encompassed new concerns with policy and institutions, production-to-consumption chains, and broader economic and political influences”.<sup>20</sup>

In the operational plan a shift from commodity-centred approach to a more multi-disciplinary, user-centered approach can be identified. ‘ASARECA will develop multi-disciplinary projects which capture crosscutting issues and are based on priorities clustered under *Themes*.’ The three themes are: i) Natural Resource Management and Ecosystem Services ii) Markets, Market Linkages and Trade and iii) Sustainable Agriculture, Food Security and Nutrition.

Partnerships with different stakeholders, especially the private sector, are very central in this operational plan. “*Market orientation is a key element in addressing rural poverty through an agricultural innovation systems approach*. A market-based, value chain approach must be used because while the challenges facing farmers may be commodity-based, they are linked to entire household needs.” Other lessons learned from the previous operational plan are: ii) holistic approach produces engagement and benefits, iii) successful scaling up requires multi-stakeholder participation, iv) strong and productive partners enhance success v) longer projects with assured funding are more likely to succeed vi) communication strategies and mechanisms are essential for success.<sup>21</sup>

#### ***Links with Commission R&I strategy and other R&I support programmes (including RTD)***

ASARECA collaborates closely with CGIAR and FARA on many regional research projects. ASARECA plays a regional coordination role, promoting and facilitating regional collaborative research.<sup>22</sup> There is no evidence of explicit linkages between ASARECA and other R&I programmes, however EU support to ASARECA has often resulted in successful bids by Kenyan institutions on Calls for Proposals, contributing to EU goals of R&I institutional capacity building and integration into international research networks.

While there is reasonably good communication between institutions domiciled in Kenya, there is widely acknowledged to be little coordination or effort to obtain complementarity between bilateral, regional, and global instruments / programmes.

#### ***Features: scale, funding source, geographical coverage, time period***

Support to ASARECA is pooled with other donors. The European Commission (EC), Canadian International Development Agency (CIDA) and the British Department for International Development (DFID) are contributing to an existing Multi-Donor Trust Fund (MDTF) with the World Bank. Other donors include the United States Agency for International Development (USAID), the Swedish International Development Cooperation Agency (SIDA), the African Development Bank (AfDB), the International Fund for Agricultural Development (IFAD) and the International Centre for Tropical Agriculture (CIAT). The duration of the MDTF will be until June 2014. One of the aims of the MDTF is to harmonise support and monitoring burden for ASARECA by organising joint monitoring missions for example.<sup>23</sup>

ASARECA’s organisational structure is two-tiered. The General Assembly is the top governance organ. A board of directors is responsible for stewardship and strategic leadership. The board of directors consists of the directors of the founding NARIs and representation of key stakeholders such as the private sector and farmer organisations. Development partners have an observatory role.<sup>24</sup> Development partners are represented in a Steering Committee that meets twice every year and reports decisions to the Board of Directors.<sup>25</sup>

The overall budget for the 2008/09-2013/14 ASARECA Operational Plan is EUR 75.4 million. The EC contribution of EUR 14 million is financed under EDF (*D-15102: Support Agricultural Research in East Africa*) and EUR 4 million is financed under the Food Security Thematic Programme 2007-2010, Stra-

<sup>19</sup> ASARECA Annual Report 2012.

<sup>20</sup> Strategic Plan 2007-2016, p. 5.

<sup>21</sup> Operational Plan 2014-2018, p. 2.

<sup>22</sup> USAID evaluation 2011, p. 20.

<sup>23</sup> Operational plan 2014-2018, p. 7.

<sup>24</sup> Implementation status report November 2011, c-185848, p. 15.

<sup>25</sup> Operational Plan 2014-2018, p. 6.



tegic Priority 1 'Supporting the delivery of international public goods contributing to food security through research and technology'.<sup>26</sup> The operational duration is 60 months from the signature of the Administration Agreement.

The ASARECA official interviewed during the field mission expressed the view that the multi-donor trust fund has been effective at simplifying finance, but pointed out that ASARECA is significantly downsizing under donor pressure. It has not been possible to effectively mobilise member country support: in the past, annual contributions were a token USD 8,000; now each is being asked to make a one-off contribution of USD 100,000.

A structural problem is that R&I is a long-term process – from laboratory to farmer involving about 6-8 years in the case of developing crop varieties and can take up to 20-30 years in developing livestock breeds. It is not realistic to support long-term R&I endeavours on the basis of recurrent short-term project finance. Research institutions require, in addition, core funding to finance recurrent expenditure; finance that is almost by definition excluded from EU funding instruments.

Table 20 Contracts of EU funded support to ASARECA

Contract number	Short title	EU contribution (in million EUR)	Instrument
c-185848	World Bank/Multi Donor Trust Fund for Support to the Association for Strengthening Agricul Research In E/C Africa (ASARECA)	14	2008 (EDF)
c-200096	Support to ASARECA Operational plan 2008-2012	4	2009 (FSTP I)
c-259809	Support to ASARECA Operational plan 2009-2013	5	2011 (FSTP II)
c-306775	Support to ASARECA Operational plan 2014-2018 (contribution to Multi-Donor Trust Fund)	10	2011 (FSTP II)

Source: R&I inventory

### Findings

Under ASARECA's Eastern Africa Agricultural Productivity Project, national laboratories for dairy (Kenya), cassava (Uganda), rice (Tanzania), and wheat (Ethiopia) were equipped and seminar rooms, libraries, etc. were put in place. In Kenya, seven PhD and five Master degrees were earned on various aspects of dairy.

All projects that involved bringing researchers from different countries together were viewed as having contributed to capacity building in ways that national institutions would find difficult to replicate.

A structural problem is that capacity building efforts tend, both at the institute and individual levels, to disproportionately benefit those whose capacity is already reasonably high. For example, in response to this problem ASARECA has adopted a form of "affirmative action" to ensure that weak countries like Burundi benefit from calls for proposals as well as the traditional strong performers such as Kenya.

Another structural problem is that capacity at national level is severely skewed towards downstream implementation rather than upstream fundamental research. This is an unintended but unavoidable consequence of the increase emphasis on translating research results into tangible development impacts. "Hard" scientists are poorly equipped to communicate to Government why their work is important and to justify the high infrastructure requirements and long-term time frame that are required.

A challenge for sustainability is that there is virtually no donor support in the form of core funds. This weakens the institutions' ability to serve as global centres of excellence, to serve the needs of graduate students and visitors, etc. In the end, it is a major barrier to sustainability, as the institutional infrastructure necessary to support and solidify project results is not in place, as a result of which they depreciate.

### Sources of evidence available, their coverage and limitations

- Food Security Thematic Programme, Thematic Strategy Paper 2011-2013
- Operational Plan 2008-2012 (Action Fiche for Food Security Thematic Programme "Support to ASARECA Operational Plan 2008-2012")
- Operational Plan 2009-2013 (Action Fiche for Food Security Thematic Programme II "Support to ASARECA Operational Plan 2009-2013")

<sup>26</sup> FSTP Strategy Paper 2011-2013.

- Operational Plan 2014-2018 (Annex 2 of the Commission Implementing Decision on the Annual Action Programme 2013 for Food Security “Support to ASARECA Operational Plan II 2014-2018”)
- USAID evaluation 2011 (revised Final Report)
- MDTF Mid-term Review Mission September 2011
- Annual Performance Report Jan-Dec 2011
- Semi-annual Performance Report of Jan-May 2012
- MDTF fifth review mission aide memoire June 2012
- Implementation status report November 2011
- ASARECA Annual Report 2012
- Strategic Plan 2007-2016
- Operational Plan 2014-2018

### Key observations for JCs

Number	JC	Relevant observations
11	Link between R&I activities and EU development objectives	Increased emphasis on pro-poor, demand driven agricultural research, outreach and dissemination between Strategy Plan 2007, AAP 2009 and AAP 2011.
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	ASARECA's strategy and action is well aligned with the continental and regional agricultural agenda (CAADP and the Framework for African Agricultural Productivity). Still, there is much to be done in supporting the post-compact implementation stage. EU support to ASARECA has often resulted in successful bids by Kenyan institutions on Calls for Proposals, contributing to EU goals of R&I institutional capacity building and integration into international research networks.
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	<ul style="list-style-type: none"> <li>• One of ASARECA's main points is individual and institutional capacity building of researchers and research institutes in its member countries.</li> <li>• Under ASARECA's Eastern Africa Agricultural Productivity Project, national laboratories for dairy (Kenya), cassava (Uganda), rice (Tanzania), and wheat (Ethiopia) were equipped and seminar rooms, libraries, etc. were put in place. In Kenya, seven PhD and five Master degrees were earned on various aspects of dairy.</li> <li>• All projects that involved bringing researchers from different countries together were viewed as having contributed to capacity building in ways that national institutions would find difficult to replicate.</li> <li>• A structural problem is that capacity building efforts tend, both at the institute and individual levels, to disproportionately benefit those whose capacity is already reasonably high. For example, in response to this problem ASARECA has adopted a form of “affirmative action” to ensure that weak countries like Burundi benefit from calls for proposals as well as the traditional strong performers such as Kenya.</li> <li>• The decrease of donor support in the form of core funds has weakened ASARECA's ability to serve as global centres of excellence, to serve the needs of graduate students and visitors, etc. It considered is a major barrier to sustainability.</li> </ul>
24	Enhanced networking of developing countries' researchers at regional and international level	Enhancing the network capacities of research communities in East and Central Africa is one of the main activities of ASARECA. Evidence from the field mission confirms that ASARECA promoted regional networking by establishing collaborative networks. The distribution of resources between stronger and weaker research institutes is a continuous point of attention for ASARECA.
31	Appropriateness of the financing modalities and types of funding under different EU instruments and the way they have been applied for enhancing R&I	<ul style="list-style-type: none"> <li>• Channelling funds through the multi-donor trust fund of the WB is resulting in less bureaucratic pressure for ASARECA and better coordination in reporting demands and recommendations from funding partners.</li> <li>• The ASARECA official interviewed expressed the view that the multi-donor trust fund has been effective at simplifying finance, but pointed out that ASARECA is significantly downsizing un-</li> </ul>

Number	JC	Relevant observations
		<p>der donor pressure. It has not been possible to effectively mobilise member country support: in the past, annual contributions were a token USD 8,000; now each is being asked to make a one-off contribution of USD 100,000.</p> <ul style="list-style-type: none"> <li>• A structural problem is that R&amp;I is a long-term process – from laboratory to farmer involving about six to eight years in the case of developing crop varieties and can take up to 20-30 years in developing livestock breeds. It is not realistic to support long-term R&amp;I endeavours on the basis of recurrent short-term project finance. Research institutions require, in addition, core funding to finance recurrent expenditure; finance that is almost by definition excluded from EU funding instruments.</li> </ul>
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	Positive development of clear and logical thinking on impact pathways, for example by implementation of lessons learnt, the up scaling of the Integrated Platform for Technology Adoption (holistic, multi-disciplinary, multi-stakeholder approach).
54	Development processes and outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks	ASARECA, through their Up-Scaling and Knowledge Management Program (USKM) as well as the Information and Communication Unit (ICU), has developed powerful tools for dissemination and uptake of research, involving an appropriate mix of partners and stakeholders and piloting many new methods like online learning and the application of Integrated Platforms for Technology Adoption <sup>27</sup>

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<sup>27</sup> USAID 2011, p. 13.

### 3.A.5 EU-Asia Link Phase III

#### Brief description of Programme

##### **Purpose, objective, approach, actors**

The purpose of the EU-Asia Link programme was to “foster the creation and reinforcement of sustainable linkages/networking between higher education institutions in EU member states and Asia” (logframe). Ultimately, so the argument goes, these links and ties between higher education institutions (HEIs) in both regions were to contribute to encourage economic co-operation between the two regions. This would, so the programme documentation, improve the “the scientific and technological potential and the economic, social and cultural environment in both regions” (logframe). The vehicle for bringing about these improvements were both “training schemes and the transfer of know-how“ between Asia and Europe.

Specifically, the EU-Asia Link Programme set out to four goals. First, the projects funded by the programme were to promote “mutual awareness and understanding”. Second, the programme aimed to develop the framework upon which to base EU-Asia co-operation in the field of higher education. Third, the programme sought to find ways of introducing an EU regional dimension to higher education co-operation with Asia. Last, the programme was to encourage Asian stakeholders to perceive Europe as being a centre of excellence in both HE research and teaching.

In order to attain these objectives, the programme set out to create sustainable ties between HEIs at individual and institutional level through “student exchanges, staff exchanges, joint research, joint curriculum development, collaborative arrangements and co-operative projects” (logframe). In addition, the programme would endeavour to bring about the recognition of qualifications and degrees as well as the recognition at home institutions of credits earned and courses attended in European/ Asian HEIs. Mutual understanding between the two regions would emerge from increased the training and education of Asians about European issues and vice versa. This would include the development of European/ Asian Studies curricula.

The available documentation for the overall programme does not explicitly specify the types of actors to be involved in funded projects. Indirectly, the logframe indirectly implicates a fairly unsurprising set of HE actors to be involved in projects. These include students, academic staff, researchers and administrators.

##### **How does it support or promote R&I?**

Seven EU-Asia Link projects were implemented during the reporting period in the group of countries sampled for this evaluation (see Table 21 at the end of this profile). Although each of the projects featured a different thematic and disciplinary focus, the overall aims and approaches were remarkably similar across the projects. To a greater or lesser extent, all projects engaged in the following:

- Human resource development for post-graduates, PhD students, post-docs and practicing professionals;
- Curriculum development, testing and delivery;
- Network building and the institutional linking of Asian and European HEIs;
- Transfer and exchange of knowledge either in terms of workshops or in terms of virtual platforms.

The *Asia-Europe Clinical Epidemiology & Evidence Based Medicine Programme (c-128713)* aimed to the upgrade of the education, knowledge and skills in clinical epidemiology and evidence based healthcare and health policy in Malaysia and Indonesia (description). The project consortium, consisting of the university hospital Cipto Mangunkusumo Hospital (CMH) of the University of Indonesia, the University of Malaya (UoM) in Kuala Lumpur (Malaysia), the University of Oxford (UK) and the University Medical Centre Utrecht (UMCU) (the Netherlands), set out to “contribute to a structural and sustained improvement of the quality of healthcare and health policy in Malaysia and Indonesia” (description, p. 6). Further, the project sought to contribute to “...increased international cooperation in high quality clinical (epidemiologic) research between Asia and Europe” (REF).

The project promotes R&I in three interrelated ways. First, the project builds capacity through *HR development* measures at different levels. The project consortium developed and provided training in clinical epidemiology and evidence-based medicine at different levels to different target groups. These ranged from 6 week elective courses to third-year medical students to full post-graduate courses aimed at practicing physicians. Here, the project developed curricula to suit users and producers of Clinical Epidemiology & Evidence Based Medicine (CE&EBM). The students and practitioners trained in these courses, the project consortium contends, “will become the future opinion leaders in the re-

gion, responsible for – and positioned to – further disseminating their knowledge on clinical epidemiology and EBM”.<sup>28</sup> Second, the project *built institutional capacities* by setting up a CE&EBM (Clinical Epidemiology and Evidence-Based Medicine) support unit in Kuala Lumpur. Last, the project enabled the *exchange and transfer of knowledge* by organising a “seminar on CE&EBM with leading scientists from Europe and Asia” (description). This, along with the collaborative curriculum development, “will act as a catalyst to increase collaboration between Europe and Asia in clinical epidemiological research, involving Malaysian and Indonesian researchers and practicing Medical Doctors on a far more profound level as is currently the case”.<sup>29</sup>

The *EU Asia Inter-University Network for Teaching and Research in Public Procurement Regulation* (c-128899) aimed to establish and EU-Asia inter-university network for teaching and researching the public procurement law and practice.<sup>30</sup> The project consortium consisted of the University of Nottingham (UNott, lead partner) the Central University for Finance and Economics, the Copenhagen Business School, Xinjiang University of Finance and Economics (Xinjiang), the University of Malaya (UoM). The documentation suggests that the consortium was successful in engaging a wide range of stakeholders – in particular government officials – in the design and implementation of the project.

The project contributed to the development of R&I in two ways. First, the project *developed teaching and training capacities*. For one, the project cooperatively developed and implemented curricula for comparative public procurement as well as public procurement in China. This comprised an executive Master of Law (LLM) in Public Procurement Law and Policy as well as post-graduate modules and courses that the Central University for Finance and Economics and Xinjiang integrated into their “official teaching plan”.<sup>31</sup> Moreover, the consortium developed a module on “Legal Research Methodology in Public Procurement” to be integrated into LLM/MA and PhD curricula in partner HEIs.<sup>32</sup> The consortium also organised training workshops. One workshop took place at the UoM on the legal research methodology attended by “2 from the Central University for Finance and Economics, two from Copenhagen Business School, 14 UoM staff, two officials from the Malaysian Ministry of Works and three others from Malaysian universities”.<sup>33</sup> Another set of workshops trained staff from partner HEIs on operating and funding special research centres on procurement. Second, the project consortium engaged in network building at individual and institutional level. This is not only true for inter-university networks between Asia and the EU but also for between HEIs and other institutional stakeholders, most notably government officials involved in public procurement.<sup>34</sup> This, so the consortium leaders, has developed “...sustainable expertise in the two institutions that did not have an expertise in this area prior to the project, namely UoM and Xinjiang”.<sup>35</sup>

The objectives of the project *Tackling BIOSECURITY between Europe and Asia: innovative detection, containment and control tools of Invasive Alien Species potentially affecting food production and trade* (c-129036) were to generate and disseminate knowledge about Invasive Alien Species (IAS) management among “Asian faculty staff, senior experts and young researchers”. This knowledge was to feed into and inform the development of Standard Operating Procedures (SOPs) and management regimes for IAS control. The consortium included the University of Torino (Italy, lead partner), the University of Lleida (Spain), the University of Bonn (Germany), the Chinese Academy of Agricultural Science (China), the Zhejiang University (China), and the Rajamangala University of Technology (Thailand).

The heart of the project that contributed to R&I development was the collaborative research projects and concomitant exchanges of both junior and senior researchers. These took the form of short training programmes (organised in Europe), long research exchanges for PhD students and post-docs, short-term study visits (to both Asia and Europe). The outcomes of this research were to be a catalogue of “IAS capable to negatively influence food production in and trade between Europe and Asia”<sup>36</sup> as well as technical guidelines and methodologies for “...quick detection, containment and control of IAS”.<sup>37</sup>

Apart from strengthening links between Asian and European HEIs, the project *Managing the Health and Reproduction of Elephant Populations in Asia* (c-141055) aimed at achieving three goals. First,

<sup>28</sup> Project description, p. 3.

<sup>29</sup> Project description.

<sup>30</sup> 1<sup>st</sup> interim report.

<sup>31</sup> 2<sup>nd</sup> interim Report.

<sup>32</sup> 1<sup>st</sup> Interim Report.

<sup>33</sup> Idem, p. 6.

<sup>34</sup> 1<sup>st</sup> interim Report.

<sup>35</sup> 2<sup>nd</sup> interim Report, p. 8.

<sup>36</sup> 1<sup>st</sup> Interim Report, p. 5.

<sup>37</sup> Idem, p. 7.

the project wanted to improve the "...the skills of veterinarians and veterinary support staff". Second, the consortium wanted to bring about improvements in the "...health, reproductive management and sustainability of (semi)-domesticated Asian elephant populations". Last, the project was to build a network dedicated to the conservation of Asian elephant populations (description). The project consortium included veterinary facilities from Utrecht University (Netherlands), the Royal Veterinary College and Institute of Zoology (UK), Kasetsart and Chiang Mai Universities and the National Elephant Institute (Thailand), and the University of Peradeniya (Sri Lanka).<sup>38</sup> In addition, the project consortium enlisted a range of stakeholders (such owners of camps featuring elephants or zoos) to provide research students with access to elephants.

The project primarily aimed and seems to have succeeded at developing human resources in Asian HEIs and institutes.<sup>39</sup> To this end, the consortium developed and implemented a range of training and educational programmes. This included short training courses on specific aspects of elephant health for Asian faculty and veterinarians as well as MSc curricula on wildlife health and management for implementation in Thailand and Sri Lanka. Further, knowledge transfer and dissemination took place during two symposia and in terms of an "internet-based knowledge sharing platform and a database of sound breeding practices and genetic management of elephants in Asia".<sup>40</sup> The project enabled nine Asian students (five PhDs, two MPhil and two MSc) to "...undertake post-graduate research studies, sandwiching periods of residence in Europe to learn new skills and use specialised equipment with longer periods in Asia to undertake fieldwork and sample collection".<sup>41</sup> The consortium foresees that these "...young academics will very probably also be at the hub of future networks on Asian elephant health, reproduction and conservation".<sup>42</sup> The available monitoring report suggests that both project design and implementation were left the consortium well positioned to deliver this vision.

The project entitled *The Conversion of local Feeds into Human Food by the Ruminant (c-141176)* concentrated on "improving the exchange of veterinary and animal sciences". This, so the project consortium argued, would ultimately lead to the increase of net incomes from agriculture and would bring about sustainable rural development. The consortium comprised Utrecht University (Netherlands), Ghent University (Belgium), Khon Kaen University (Thailand), Kasetsart University (Thailand), Rajamangala University of Technology-Isan (Thailand) Hue University of Agricultural and Forestry (Vietnam), University Putra Malaysia (Malaysia).

This project supports the development of R&I capacity primarily through the training of PhD students, faculty, research staff and practicing veterinarians. This includes short courses for veterinarians and research staff as well as PhD-level training of five Asian students (future faculty of the respective universities). By organising so-called "sandwich courses" and "sandwich research projects" students and researchers can forge inter-university links and exchange emerging knowledge on animal health. The project also developed and delivered curricula on a range of animal feed and animal nutrition themes. The five PhDs to emerge from this project are to function as multipliers for new knowledge, methods and teaching approaches in their home HEIs.

Unlike the other projects in the sample, the venture *Efficient Lighting Management Curricula for Asia (ELMCA) (c-141236)* concentrated on a more technological field. Apart from the overall – and indeed universal – objective of fostering stronger links between European and Asia HEIs, this project aimed to survey the needs and opportunities for "efficient lighting management in South East Asia" (description). It then sought to develop curricula for teaching efficient lighting management and promote these throughout South East Asia. In this way, the project aimed to "stimulate the links between university and industry and encourage the exchange of knowledge and experience between students and professionals in both regions"<sup>43</sup>. This, the project consortium argued, could enable the identification and exploitation of opportunities with economic and environmental benefits. The project consortium included Chulalongkorn University (Thailand, lead partner), Helsinki University of Technology (Finland); University Karlsruhe (Germany), University of the Philippines, and the University of Technology (Vietnam).<sup>44</sup>

The project supports the development of R&I in partner countries in terms of human resource development as well as in terms of a systematic needs-analysis. The project aimed to develop and test efficient lighting management curricula. The project intended to design four courses that featured "inter-disciplinary skill development in the building engineering supply chain" which, in turn, required collabo-

<sup>38</sup> PS-110860.01.

<sup>39</sup> PS-110860.01, MR-110680.01.

<sup>40</sup> PS-110860.01, p. 1.

<sup>41</sup> Idem.

<sup>42</sup> Project description, p. 28.

<sup>43</sup> Project description, p. 3.

<sup>44</sup> PS-110681.01.

ration not only across regional boundaries but also between HEIs and industry. These courses were targeted at the practical needs of engineers and professionals from the construction industry (description). Unlike many other projects in this sample, this project does not target PhD students or post-docs. Instead, it concentrates on the transfer of knowledge and innovative solutions into industry. The needs analysis provides an overview of the barriers and opportunities for developing efficient lighting management regimes in Southeast Asia. The available monitoring report for this project, while generally upbeat about the implementation, worried about the overly optimistic time-frame for testing and implementing curricula and courses.<sup>45</sup>

The *CALIBRE: Cambodia and Laos Initiative for Building Human Resources for the Environment* (c-142966) focuses on human resource development in the environmental sector. The CALIBRE project seeks to “to develop research and training expertise, including self-learning, e-learning and funding acquisition skills, of present and potential future environmental teaching staff and other environmental professionals in Cambodia and Lao PDR”.<sup>46</sup> The overall objective is to hereby empower environmental professionals in Cambodia and Lao PDR to “protect the environment and minimise environmental risks to human health”.<sup>47</sup> The project consortium consisted of the University of Manchester (UK), the Université Joseph Fourier-Grenoble (France), Royal University of Phnom Penh (Cambodia) and National University of Laos (Laos).

The *CALIBRE* project promotes R&I through providing post-graduate and PhD-level training to environmental scientists, by extensive exchange and transfer of knowledge as well as by installing the requisite capacities in Asian partner HEIs. In terms of training, the CALIBRE project displays a similar pattern to most other EU-Asia Link projects: the consortium planned to train select Asian students (and prospective faculty) to a PhD-level standard, to provide professional development for environmental professionals, to develop environmental curricula with the aim to award environmental PhD in Laos and Cambodia, provide “national training” to environmental scientists that produce knowledge for policy-making. Moreover, the project aimed to exchange and transfer knowledge and ideas in workshops and through an “action website”. Initially, the project consortium planned to install video-conferencing equipment at Royal University of Phnom Penh (RUPP) and National University of Laos (NUOL), this budget item was changed to basic laboratory equipment (since the universities already possessed such equipment and current ICTs provide cheaper but equally effective solutions, i.e. Skype). Despite early delays, the available monitoring report points to the relevance and likely significant impact of the project.<sup>48</sup>

In line with the EU Regional Strategy Paper for Asia (2005/2006), the *EU-Asia Higher Education Platform (EAHEP)* (c-145686), operated by the European University Association (EUA), the German Academic Exchange Service (DAAD) and the Netherlands Organisation for International Cooperation in Higher Education (Nuffic), aims to foster academic partnerships with Asian HEIs as well as promote the EU as a global centre for HE excellence in teaching and research. Doing this meant that the EAHEP “consolidate the bi-regional relationships and networks established under the Asia-Link programme, to develop new tools for inter-regional communication and additional means for co-operation and dialogue”.<sup>49</sup> In particular, this implied three fields of activity: first, the provision of a sustainable forum for “disseminating project results, lessons learnt, and good practice gained under Asia-Link and similar vehicles for EU Asia-higher education co-operation”: second, the provision of “information on (a) the practical issues of higher education co-operation, and (b) the common challenges faced by HE administrators and HE policy-makers in Europe and Asia; (c) the role higher education co-operation can play in development, particularly in least-developed countries in Asia” and, third, to prepare Asian and European HEIs for “...increased student and academic mobility between the two regions, and/or between Asian countries”.<sup>50</sup>

The EAHEP planned to promote R&I development by hosting HE policy dialogue, by fostering institutional development as well as facilitating the cooperative Asia-Europe projects by building on the insights of the EU-Asia Link project. This was to take place in the context of eight events over a two-year period as well as in terms of a web-site ([www.eahep.org](http://www.eahep.org)) “aimed at supporting the project’s activities, stimulating discussion between stakeholders, and linking in related projects and initiatives”.<sup>51</sup>

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<sup>45</sup> PS-110860.01, MR-110680.01.

<sup>46</sup> PS-127060.01, p. 1.

<sup>47</sup> Idem.

<sup>48</sup> PS-127060.01, MR-127060.01.

<sup>49</sup> Draft Inception Report, p. 6.

<sup>50</sup> Idem.

<sup>51</sup> Idem, p. 9.

### **Links with Commission R&I strategy and other R&I support programmes (including RTD)**

Apart from the regional strategies for Asia, the available documentation does not suggest that the EU-Asia Link programme refers to other R&I strategies and support programmes.

#### **Features: scale, funding source, geographical coverage, time period**

EU-Asia Link programme launched in June 2006 and ended in December 2010. The total costs of the programme were EUR 18.6 million of which the EU covered EUR 14.4 million (D-17074). Table 21 at the end of this profile provides an overview of the features of the projects discussed in the previous section. The accumulated total cost of all the projects discussed in this report is EUR 6.7 million (of which the EU carried EUR 5.4 million). This accounts for about 36% of the total costs of the EU-Asia Link programme. With the exception of the ELMCA projects and the EAHEP, all of the projects took 36 months to complete.

#### **Relevance and added value of this programme for evaluation**

The EU-Asia Link programme is highly relevant for this evaluation for three reasons. First, the EU-Asia Link programme was explicitly dedicated to building HE as well as R&I capacity (defined as human resources) in Asian partner countries. Second, the EU-Asia Link programme adopted a regional approach to R&I capacity building. Third, the programme adopted a networking approach to R&I development that has been highly successful in the development of the European Research Area (ERA).

#### **Sources of evidence available, their coverage and limitations**

*Programme documentation:* quarterly and interim reports and detailed contract forms are available for all projects. Final reports for five projects are present. Monitoring reports are available for three projects, as are logframes (albeit not the same three projects) and audit reports for two projects. No independent evaluations for these projects are available.

*Websites:* the EU-Asia Link has a weak web presence. While there is an EU Asia Link project compendium available online, it covers the EU Asia Link Phase II.

#### **Key observations for JCs**

<b>Number</b>	<b>JC</b>	<b>Relevant observations</b>
11	Link between R&I activities and EU development objectives (as per European Consensus and Agenda for Change – MDGs, etc.)	EU-Asia Link is highly relevant to development goals as defined by MDGs, the EU and governments of partner countries. This is true both for the overall aim of the programme (forging links with EU HEIs) as well as the diverse thematic orientations of individual projects
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	EU-Asia Link is aligned with regional and country strategies but seems to have tenuous links with other R&I and RTD strategies
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	EU-Asia Link was designed and has succeeded in human resource development for Asian HEIs.
24	Enhanced networking of developing countries' researchers at regional and international level	All EU-Asia Link projects covered by our sample established international links and networks for individual Asian researchers as well as for HEIs
54	Development processes and outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks	EU-Asia Link projects aimed to extend human resource development at HEs to the respective professional environment (e.g. public procurement officers, veterinarians, physicians, construction engineers).



Table 21 List of EU-Asia Link projects for sample countries

Project	Field	Duration in months	Start/end dates	Geographic coverage	Total cost (in EUR)	EU share (in EUR)
EU-Asia Link (total)		54	06/2006-12/2010	East, Southeast and South Asia	18,578,579	14,361,912
The Asia-Europe Clinical Epidemiology & Evidence Based Medicine Programme	Medicine	36	11/2007-11/2010	Indonesia and Malaysia	918,116	688,620
EU Asia Inter-University Network for Teaching and Research in Public Procurement Regulation	Law	36	07/01/2008 31/01/2011	China	591,071	443,303
Tackling BIOSECurity between Europe and Asia: innovative detection, containment and control tools of Invasive Alien Species potentially affecting food production and trade	Veterinary medicine, food technology	36	01/11/2007 01/11/2010	China, Thailand	892,020	651,753
Managing the Health and Reproduction of Elephant Populations in Asia	Veterinary medicine, wild-life conservation and management	36	07/07/2007 07/07/2010	Thailand, Sri Lanka	859,255	633,647
The conversion of local feeds into human food by the ruminant	Veterinary medicine, food technology	36	20/07/2007 19/09/2010	Thailand, Vietnam and Malaysia	780,067	579,509
Efficient Lighting Management Curricula for Asia (ELMCA)	Engineering	24	27/08/2007 27/08/2009	Southeast Asia	741,327	530,900
CALIBRE: Cambodia and Laos Initiative for Building Human Resources for the Environment	Environmental science	36	01/01/2008 01/01/2011	Laos, Cambodia	660,147	590,906
EU-Asia Higher Education Platform		24	17/12/2007 11/02/2008	Asia	1,249,281	1,249,281
Total of all projects in sample					6,691,283	5,367,919
% of overall EU-Asia Link budget					36.0	37.4

Source: Detailed Contract Forms for c-128713, c-128899, c-129036, c-141055, c-141176, c-141236, c-142966, c-145686

### 3.A.6 Intra ACP Energy Facility

#### Brief description of Programme

##### **Purpose, objective, approach, actors**

From 2002-2007, the Rural Electrification Club (Club-ER) brought together in a network rural electrification institutions in francophone Africa. By 2007, when the present project commenced, 19 such organisations were involved. This project, financed by the European Commission (EC), *Institut de l'énergie et de l'environnement de la francophonie* (IEPF, an emanation of the *Organisation Internationale de la Francophonie*), and *Agence de l'environnement et maitrise de 'énergie* (ADEME), represented a continuation phase. It developed, in addition to annual meetings, thematic working group studies and an internet site with a weekly online newsletter. The basic goal was South-South capacity building; permitting groups with greater experience to transmit their knowledge and competences to members with less experience. Throughout, the collegial theme of a club was advanced, and the regularity of meetings and formation of friendships and professional relationships was regarded as one of the strong points of the project.

The overall objective was to pursue the Millennium Development Goals (MDGs) by improving governance in the field of rural electrification. Specific objectives were strengthening the capacity of those responsible for operational teams in agencies and national structures responsible for rural electrification and developing a network for exchange of expertise and for dialogue in the area.

The Secretariat of the Club-ER was provided by *Innovation-Energie-Développement* (France).

##### **How does it support or promote R&I?**

The project supported innovation in the form of South-South transfer of competences; members with greater experience informing those with less. Approaches included thematic sub-group meetings mobilising experts associated with participating institutions, thematic training workshops, dissemination and communication using the Website and a newsletter, and annual meetings of all participating institutions.

Five focal themes were identified by the participants:

- Multi-sectoral coordination to maximise poverty impacts;
- Public-private partnerships;
- Methods and planning tools for rural electrification;
- Financing and regulation of rural electrification;
- Technical specifications and cost reduction.

On average, 14 countries participated in each thematic group. Each action area was supported by:

- Organisation of a thematic meeting for exchange on experience and practices;
- Organisation of a training session covering all five areas;
- Production of five thematic documents relating the experiences of Club members.

On average, ten countries contributed to the drafting of thematic papers and an average of 13 experts participated in each thematic workshop. Software tools and manuals were exchanged between countries.

Three annual meetings of all Club members were organised, in addition to which, the internet site and online newsletter described above were produced.

Some of the expertise provided was contracted out to expert consultants. a fact which the interim report found problematic in view of the fact that those responsible for thematic sub-groups, who selected consultants, lacked expertise. Doubts were expressed whether some of the sub-groups had even managed to mobilise the best expertise within the Club-ER. Incentive problems were cited, viz. that institutions tended to sign up for working groups because they wanted to learn, not because they wanted to contribute expertise.

Five African institutions took the lead, and the competence and regional reputations of their experts was enhanced. These were:

- *Agence de Développement de l'Électrification Rurale* - ADER - Mauritania
- *Agence d'Électrification Rurale* - AER - Cameroon
- *Société d'Opération Ivoirienne d'Électricité* - SOPIE - Cote d'Ivoire
- *Agence Malienne de Développement de l'Énergie Domestique et de l'Électrification Rurale* - AMADER - Mali
- *Agence Sénégalaise d'Électrification Rurale* - ASER - Senegal

Among the less-developed members of the club, interaction with more experienced members led to improvements in the governance of rural electrification.

The final evaluation of the project judged that the Club-ER was an unparalleled assemblage of expertise in the field for Africa.

**Links with Commission R&I strategy and other R&I support programmes (including RTD)**

None in documents consulted. Alignment with MDGs noted.

**Features: scale, funding source, geographical coverage, time period**

The project, budgeted at EUR 1.1 million and financed by the European Development Fund EDF, ran from 2008-2010. Annual meetings were held in Bamako (2008), Casablanca (2009), and Mombasa (2010), the latter attended by over 100 experts.

Target countries were Benin, Burkina Faso, Cameroon, Central African Republic, Cote d'Ivoire, Congo Brazzaville, DR Congo, Gabon, Ghana, Guinea, Madagascar, Mali, Morocco, Mauritania, Niger, Senegal, Chad, and Togo.

**Relevance and added value of this programme for evaluation**

This unassuming project is interesting because it had no ambition to stimulate research, but rather to promote innovation via the South-South exchange of experience and good practice. Little of the project's content was scientific per se – it consisted of seat-of-the-pants engineering, including socio-economic impacts, management structures, and planning procedures.

**Sources of evidence available, their coverage and limitations**

- Final narrative report
- Mid-term evaluation
- Final evaluation
- Project description

**Key observations for JCs**

No.	JC	Relevant observations
11	Link between R&I activities and EU development objectives (as per the European Consensus and Agenda for Change – MDGs, etc.)	Appears to have contributed to MDGs.
12	Extent to which R&I has informed sector policy dialogue and sector support at national and regional levels	Has contributed to energy and climate change policy dialogues in Africa.
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	Aligned with DEVCO support on sustainable energy and rural poverty reduction.
22	Increased focus of EU support on “capacity building” and enhancing institutional sustainability	Has contributed to capacity and visibility of rural electrification authorities; less likely to their sustainability.
24	Enhanced networking of developing countries' researchers at regional and international level	Significant contribution to innovation-related networking.
41	Extent to which DGs DEVCO and RTD have formulated clear strategies on how they should cooperate in a complementary way and how the work of other relevant EU institutions (such as the EIB) is also complementary with their own	Extent or lack of complementarity with RTD-sponsored research in sustainable energy strategies.
42	Degree to which DEVCO support addresses issues that could/would not have been better, or equally well, ad-	Financing innovation complementary to RTD-financed research.

<b>No.</b>	<b>JC</b>	<b>Relevant observations</b>
	dressed though RTD and vice versa	
43	Level at which DEVCO support has benefited from complementary action financed through RTD and vice versa	Innovation network aware of and used results from RTD-sponsored research.
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	Extent of coordination with DEVCO-financed energy/rural poverty interventions.
52	Extent of internal lessons learning, sharing and uptake in the EU institutions within the sectors supported in partner countries, and at international level	Lessons shared on rural electrification taken up at EUD level in relevant countries; integrated into DEVCO policy on sustainable energy strategies.

### 3.A.7 Joint Africa-EU Strategy (JAES) 8th Partnership

#### Brief description of Case Study subject

##### **Purpose, objective, approach, actors**

The Joint Africa EU Strategy (JAES) was adopted by the EU and Africa's leaders at the Lisbon Summit in 2007. The JAES is a platform for both dialogue and collaboration between the EU and the African Union. Under the Strategy a number of partnerships were agreed, of which "Science, Information Society and Space" is the 8<sup>th</sup> Partnership.

##### **How does it support or promote R&I?**

The objective of the partnership on Science Information Society and Space is to promote the development of knowledge-based societies in Africa. Development of S&T and Innovation are recognised as essential engines of socio-economic growth and sustainable development. Not only does meeting the MDGs require scientific and technological capacities, but knowledge and innovative ways of applying modern technology are crucial for competitiveness in the global economy. The Partnership thus aims to bridge the digital and scientific divide by harmonising policy and regulatory frameworks, upgrading capacity and strengthen collaborative links between African regional and sub-regional as well as European partners.

The JAES strategy is accompanied by Action Plans. The First Action Plan (2008-2010) noted three priority actions under Partnership 8:

- Support S&T Capacity Building in Africa and Implement Africa's Science and Technology Consolidated Plan of Action (CPA) (Science Pillar)
- Support the development of an inclusive Information Society in Africa (Information Society Pillar)
- Enhance Cooperation on Space Applications and Technology (Space Pillar).

These three priority pillars of the Partnership 8 remained in the Second Action Plan (2011-2013).

The JAES is also linked to the dialogue framework of Africa-EU relations with periodic Joint Summits, Commission-to-Commission dialogues and various other meetings. As part of this the two Unions held a 1<sup>st</sup> High-Level Policy Dialogue (HLPD) on STI in October 2011 and a 2<sup>nd</sup> HLPD on STI in November 2013 where the continental R&I programmes of both Unions were discussed and priorities for the next period were set.

HTSPE produced a Report on "Mapping Best Practice" in the JAES 8<sup>th</sup> Partnership in November 2013 at the time of the HLPD. The study talks about the prolific history and a "rich, multi-dimensional web of collaborations" between Europe and Africa on STI but without any overall coordination. The study covered 150 projects in its inventory for the period 2008-2012 covering a very broad spectrum but with an overall focus on Africa's development agenda. It highlights a number of issues on the 8<sup>th</sup> Partnership:

- Co-financing is seen as the single most important feature in sponsoring co-ownership, citing the ERAfrica and EDCTP (European and Developing Countries Clinical Trials Partnership) as good models of co-financing;
- Partnerships and personal relations are seen as particularly important for effective collaboration;
- Asymmetries in partnerships notably around funding do frequently exist however;
- Collaborative models that support the consolidation of long-lasting partnerships are most fruitful;
- Statistics demonstrate that the private sector is successfully using the EU FPs but the weakness of African SMEs and their poor participation record is also noted;
- The product development partnership model of collaboration is, as exemplified by the Drugs for Neglected Diseases Initiative, a good model that should be transferable to other S&T areas;
- The EDCTP collaborative model is also, in principle, transferable to S&T cooperation;
- On impact the report concludes that cooperation between Africa and Europe in STI is generating tangible outputs and contributing to the knowledge economy;
- Few projects are contributing directly to economic growth but a much larger number are contributing to the development of skills and building institutional capacity;
- On the whole the cooperation is "dynamic and effective";

- Successful collaborative STI initiatives tend to be built on lessons learned from prior initiatives, underlining the significance of partnership continuity.;
- Gaps, challenges and barriers:
  - The absence of an established joint funding mechanism or of co-financing arrangements is most prominent among the gaps;
  - A shortage of skilled human resources in both technical and administrative functions, weak societal institutions, institutional capacity, poor infrastructure, fragmented policy and weak regulatory environment are poor conditions for optimal collaboration;
  - Among the most important barriers to effective collaboration is dependence on a skewed funding landscape, contributing to a cascade of issues around access to financing and suitability of instruments;
  - Parties to P8 appear to have divergent views of the primary purposes it fulfils. The absence of a unified vision and the widespread confusion around expectations may undermine the potential of the partnership.

### ***Links with Commission R&I strategy and other R&I support programmes (including RTD)***

The JAES and its partnerships involve not only the institutions (European Commission, African Union Commission) but have also ties with all Member States. The 8<sup>th</sup> JAES Partnership thus encompasses components that are funded by different sources going beyond the support of DG DEVCO.

The GMES support under the Space Pillar has synergies with the African Monitoring of Environment for Sustainable Development (AMESD)<sup>52</sup> – EUR 21 million (9<sup>th</sup> EDF) - which was then followed by MESA<sup>53</sup> (10<sup>th</sup> EDF). Both are funded from the EDF Intra-ACP envelope and in part via the EDF RIPs.

Some projects for the 8<sup>th</sup> Partnership are also funded by DG RTD under the FP7 Call for Africa. The FP7 EU-Africa Related Project<sup>54</sup> has involved about 800 African participations receiving about EUR 150 million. The FP7 Africa Call 2010 (EUR 67 million) focused on Food, Agriculture, Fisheries and Biotechnologies. DG RTD funding to the EDCTP – European and Developing Countries Clinical Trials Platform also benefits Africa.

### ***Features: scale, funding source, geographical coverage, time period***

From EU institutions no new instruments were developed but existing ones streamlined to provide funding under projects of the partnership. The bulk of the funding has come from the EDF Intra-ACP envelope. Projects funded under the JAES 8<sup>th</sup> Partnership involve about EUR 37 million in funding (see details in Figure 14 to Figure 17 at the end of this profile).

In order to implement the first Action Plan of the 8<sup>th</sup> JAES Partnership, the African Union Commission and the European Commission compiled a book of Lighthouse Projects in 2008, which contained 19 projects. These were in line with Africa's priorities Implementation Roadmap of the Consolidated Plan of Action. These projects were open for in-kind/ financial contributions from all sources. Six of the projects in the Lighthouse Projects book were chosen as "Early Deliverables" (two for each of the pillar) to be funded by the EU Commission and implemented together with the African Union.

In October 2008, six of the projects in the Lighthouse Projects book were chosen as "Early Deliverables" (two for each of the pillar) to be funded by the EU Commission from the EDF Intra-ACP envelope and implemented together with the African Union. A seventh was to be funded under FP7 from DG RTD funds.

#### **Science Pillar - Early Deliverables:**

- Water and Food Security in Africa – Financed under the FP7 Call for Africa
- African Research Grants – Financed with EUR 14.7 million from 10<sup>th</sup> EDF Intra-ACP Indicative Programme and staff to manage the grant were funded by the 9<sup>th</sup> EDF AUC Capacity Building Programme. These were handled through two calls for proposal (CfP): 1<sup>st</sup> CfP awarded nine projects in March 2012 and the 2<sup>nd</sup> CfP awarded grants in December 2012.
- Popularisation of Science and Technology (Nkrumah Scientific Awards for Woman Scientist/ Young Scientist and Continental African Scientist Awards) – funded from the 9<sup>th</sup> EDF AUC Capacity Building Programme

<sup>52</sup> [http://eeas.europa.eu/delegations/african\\_union/eu\\_african\\_union/development\\_cooperation/index\\_en.htm](http://eeas.europa.eu/delegations/african_union/eu_african_union/development_cooperation/index_en.htm)

<sup>53</sup> See separate Regional Programme Profile on MESA for this Evaluation.

<sup>54</sup> Magalhaes, Luis (European Co-Chair of JEG), presentation to JAES 8<sup>th</sup> Partnership JEG Meeting May 2012

Information Society Pillar – Early Deliverables:

- Africa Connect – EUR 11.8 million under the ACP Connect Programme from the 10<sup>th</sup> EDF Intra-ACP Facility
- African Internet Exchange System (AXIS) – grant of EUR 5.1 million awarded in 2010 through the EU-Africa Infrastructures Trust-fund (co-financed with Luxembourg).

Space Pillar – Early Deliverables:

- African Global Monitoring for Environment and Security (GMES and Africa) – approx. EUR 20 million assigned under the 10<sup>th</sup> EDF Intra-ACP Facility (Environment component)
- African Union Spatial Data Observatory – Capacity building in the AUC on Geospatial Sciences

Two decisions for the JAES 8<sup>th</sup> Partnership were downloaded from CRIS:

**D-21575 ACP Research for Sustainable Development: AU Africa Research Grants (ARG) (10<sup>th</sup> EDF)** – EUR 20 million contract signed January 2010 for a period of 84 months – only the contract was available

According to the Decision form, “The overall objective of this research programme is to ensure progress towards MDGs and strengthen international economic competitiveness of ACP countries through research. The specific objective is to provide support to research activities that contribute to the sustainable development of ACP countries and the fight against poverty.” The Decision includes a series of 20 contracts (total value: EUR 13.8 million) of between EUR 500,000 and EUR 750,000 for the African Union Research Grants Programme for which a second call for proposals was issued in 2012.

The OECD IHERD (Innovation, Higher Education and Research for Development) Programme did a Case Study of the African Union Research Grants. The Report for this (no date) describes the AU programme (financed by the 10<sup>th</sup> EDF Intra-ACP envelope) as one of the Lighthouse Projects under the JAES 8<sup>th</sup> Partnership. The AUC managed the programme through an Open Call for Proposals in 2011 and 2012 inviting consortia of minimum three academic organisations/research centres from at least two African countries (excluding South Africa). Regional Economic Communities (RECs) are considered as consortia and can apply directly. The focus is on socio-economic issues in the sectors of food security, sustainable energy and integrated water resources and waste management. This OECD report suggests that it is important to consider the longer-term sustainability of this Research Grants Programme because few funders are willing to fund research per se but rather prefer to see it having an impact beyond academia. They go on to conclude that “Even if the emphasis in the current African Union Research Grants Programme is on managerial and operational aspects, it is unclear to what extent the projects are evaluated using qualitative defining markers of scientific excellence.” In interviews, however, EU and AU officials explained the design of the assessment process had been modelled on the RTD process used for FP7 and contracted to an external firm with similar ToR. The OECD report also suggests that the programme seems to assume that because the funded projects address socio-economic problems there will be uptake, whereas the experience of developed countries shows that it is important to facilitate this transfer from research to uptake.

*Findings from the field mission (Ethiopia CN):*

EU and AU officials interviewed see the Africa Research Grants as a positive tool for capacity building and for providing a funding opportunity in Africa to encourage research tailored to the African context and needs. The programme is also seen as an enabler for networking across research communities over the African continent and promoting regional integration. However, other interviews showed that at least among the Ethiopian research community the AU Research Grants are not well known. Researchers who have experience with FP7 funding were less familiar with the AU Research Grants.

Under the two AURG (African Union Research Grant) calls, there was a problem of high wastage and unmet demand with only 20 grants being made (with a further 11 reserves) against the 450 bids received (i.e., a success rate of about 5%). Of these 20 proposals, five were led by European organisations, whereas 15 were from African ones (although activities always take place in Africa). The available funding is thus not adequate to meet the strong demand for Africa-focused research grants. Interviewees at both the EU and AUC agreed on the need to upscale the funding available and hope to be able to do so a bit in the next call. At the same time, they also indicated that the next call for proposals will be more focused, which should reduce the number of proposals submitted and limit wastage. In the longer term there is also a sustainability issue as the EU intends to phase out its support and the AUC recognizes it will have to find alternative sources of funding. Given the evident demand and now that the capacity to manage these grants at the AUC has been built up, there is a strong incentive to keep the programme going.

Several people argued that these small research grants provide an opportunity to build capacity of researchers to move towards (more demanding) FP7 application. At the same time the procedures for the AURG are based on those of FP7 and are not particularly easier. The big advantage however is that the AURG is focused on African priorities whereas FP7 is not (except for the FP7 Africa Call in 2010) Nevertheless African research organisations and universities are often handicapped by poor institutions, limited administration capacity and experience for managing research grants.

**D-21576 ACP Connect for Research and Education Networks** (10<sup>th</sup> EDF) – EUR 13 million contract signed January 2010 for a period of 120 months – contract and 14 pages.

The rationale puts the accent on the lack of access to modern information technologies and the negative impact this has on research, education and health. It is argued it is often also a cause of brain drain. The programme addresses one aspect of MDG8.f: related to the digital divide. It proposes to build-up and Inter-connect NRENs (National Research & Education Networks) in ACP countries. These would also be linked to the European equivalent, GEANT, and the other networks in Asia (Trans-Eurasia Information Network and Central Asian Research and Education Network), Latin America (@lis) and North Africa (EUMEDCONNECT) that the EU is supporting. In the ACP regions, progress on NRENs is at different stages – ACP Connect will therefore complement these and provide the link to GEANT. A major expected result of ACP Connect is to improve communication between universities, research institutes and centres and individual academics and researchers, thereby promoting networking and joint collaborative research projects. More specifically the six expected results are:

1. Improved regional interconnectivity for the research and education community,
2. Increased communication and collaboration between universities and research centres,
3. Increased use of online applications for research cooperation,
4. Increased institutional capacity of ACP NRENs and self-sustainability,
5. Needs of C@ribnet stakeholders identified and action plan developed,
6. Strategy for the connection of Research and Education.

The duration of the project will involve 12 months for the preparatory phase, 84 for execution. The ACP Groups of States will delegate the execution to the Commission. A Steering Group will include representatives of the ACP Secretariat, the European Commission, the AU Commission, DANTE (Delivery of Advanced Network Technology to Europe) and the NRENs when necessary. DANTE is a semi-public limited liability and non-profit making company founded by the European NRENs to implement international research and education networks on their behalf and is establishing GEANT and TEIN. The technical execution of the ACP Connect project is awarded to DANTE, justified on the basis of their semi-monopoly position. Mid-term and final evaluations are foreseen within the budget. DANTE is also responsible for visibility.

#### ***Relevance and added value of this programme for evaluation***

The JAES 8<sup>th</sup> Partnership is a programme based on a continent-to-continent joint partnership dialogue. It thus provides a case of a dialogue platform which is expected to lead to the joint identification and agreement on a strategic support to capacity developing in R&I and the implementation of a programme of support derived from that dialogue.

#### ***Sources of evidence available, their coverage and limitations***

- The two decisions chosen from CRIS only provide contracts and only in case did the contact have the TAP including project description attached. No narrative reports, MRs or evaluation documents were found in CRIS;
- OECD Case Study report of African Union Research Grants Programme (no date but post 2012) Woods, D. Padayachee A and Olsson A. IHERD (Innovation, Higher Education & Research Programme);
- HTSPE Report, 18 November 2013, on Mapping of best practice regional and multi-country cooperative STI initiatives between African and Europe;
- Field Mission interviews in Addis Abeba – see Ethiopia Country Note (Volume 4).

#### ***Key observations for JCs***

<b><i>Number</i></b>	<b><i>JC</i></b>	<b><i>Relevant Observations</i></b>
11	Link between R&I activities and EU development objectives (as per European Consensus and Agenda for Change – MDGs, etc.)	The link between the R&I activities and the EU's development objectives are stated in the planning documents and confirmed in the HTSPE Mapping exercise.
12	Extent to which R&I has informed sector poli-	Activities under the JAES 8 <sup>th</sup> Partnership on SISS



Number	JC	Relevant Observations
	cy dialogue and sector support at national and regional levels	(Science, Information Society and Space) are strongly rooted in sector policy dialogue between the EU and the AU. This occurs at the continental level but there are also examples of R&I projects feeding into sector dialogue at regional and even national level.
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	There appears to be good alignment and coherence appears. The 8 <sup>th</sup> partnership of the JAES is aligned with and contributes to the realisation of the AU's Science, Technology and Innovation Strategy for Africa (STISA) 2024, adopted in 2014. One of the main objectives of the AU Research Grants is to allow African researchers to conduct research that is of direct interest for Africa and its needs, e.g. in terms of agriculture or food security. The contracts need to be linked to the priorities of the AU high-level dialogue and are therefore in principle aligned to the AU's priorities.
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	Capacity building and institutional sustainability is an on-going concern in the documentation. The need to find a balanced and sustainable co-financing system was cited by the HTSPE Mapping study as one of the most pressing concerns. Institutional sustainability and capacity building is clearly a major concern in the dialogue between the AU and the EU but finding sustainable funding once the EU support phases out is a critical issue.
23	Improved access of developing countries' research communities to EU FP7 funding through RTD	FP7 Call for Africa is aimed directly at African researchers and some 800 of them are reported as having benefited from FP7 funding
24	Enhanced networking of developing countries' researchers at regional and international level	Enhanced networking is seen as a key issue for promoting quality of research in the HTSPE Mapping Study. It is the core objective of the ACP Connect project.
31	Appropriateness of the financing modalities and types of funding under different EU instruments and the way they have been applied for enhancing R&I	<p>The Africa Research Grants were administered directly by the AUC using EDF funds which seems a good way to encourage African ownership.</p> <ul style="list-style-type: none"> <li>• The EDF Intra-ACP envelope is used extensively which means the wider ACP is involved in decisions which affect only Africa.</li> <li>• Funding available for AU Research Grants is very limited. As a consequence, the success rate for applying is low, and many potentially interesting projects do not receive funding. Nevertheless, the AUC is happy with the grant system, as one AUC official stated that the amount of funding available is 'better than nothing'. The research grants are seen by the AUC as a good opportunity for African research organisations to invest in research capacities and conduct research relevant for Africa. At the same time, it is seen as a good preparation to be successful in FP7 calls, although it is too early to say whether AURGs will contribute to more success under FP7.</li> <li>• Whether the AU Research Grants will remain sustainable as a funding modality remains to be seen. This will depend on the future of the Pan African Programme. The EU is pushing the AUC strongly to find other funding sources, including AU Member States, but this continues to be a struggle. Another suggestion would be to look for a Public-Private Partnership offering commercial sponsorship to beef up the budget of the AU Research Grant.</li> </ul>
32	Strategic approach adopted to choosing dif-	The choice of the AU as a partner at the overall level

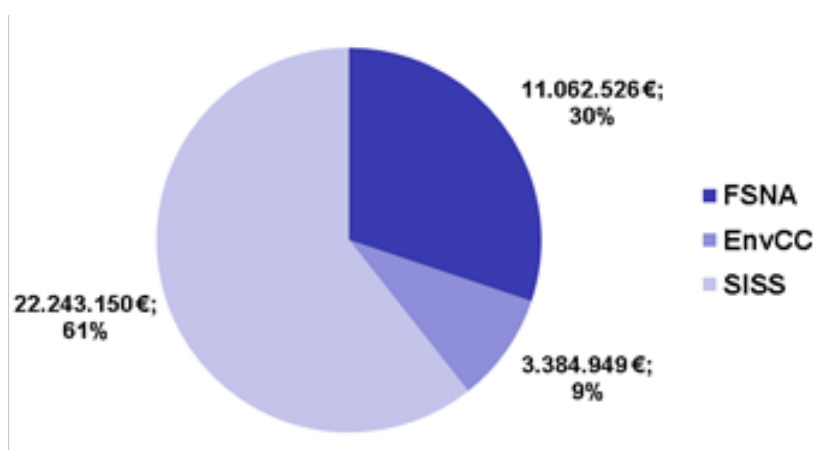
Number	JC	Relevant Observations
	ferent possible actors / channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities available	appears to be a sound strategic decision. More evidence would be required to judge how the system then works down the line.
33	Level of efforts taken to choose between and to combine different modalities and channels	Not apparent.
41	Extent to which DGs DEVCO and RTD have formulated clear strategies on how they should cooperate in a complementary way and how the work of other relevant EU institutions (such as the EIB) is also complementary with their own.	DG RTD is also involved in the funding for the 8 <sup>th</sup> Partnership. What division of labour may have been agreed is however not apparent from the documents. One of the main objectives of the AU Research Grants, in the words of an EU official, is to allow African researchers to conduct research that is of direct interest for Africa and its needs, e.g. in terms of agriculture or food security. In this sense, complementarity with FP7 is an explicit objective of the AU Research Grants in that they provide opportunities for African institutions to do research for Africa, unlike FP7. The one exception to this is of course the FP7 Africa Call.
42	Degree to which DEVCO support addresses issues that could/would not have been better, or equally well, addressed through RTD and vice versa	The AU Research Grants offer better opportunities to do research that respond to Africa-specific challenges than FP7. Under FP7 there was one 'Africa' call that was specifically focused on Africa. It had a total budget of EUR 72 million, half of which went to African partners, allowing them to do research of direct relevance to the African continent..
43	Level at which DEVCO support has benefited from complementary action financed through RTD and vice versa	DG RTD is also involved in the funding for the 8 <sup>th</sup> Partnership and African researchers benefit from FP funding. University researchers interviewed in Ethiopia who were familiar with FP7, showed limited or no awareness of the African Union Research Grants. Overall, there is no strong evidence of complementarity between DEVCO support and RTD funding though there is equally no evidence of duplication of effort.
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	The programming documents for ACP Connect stress the importance of connectivity for knowledge exchange and uptake and there are many references to the importance of R&I for development. However, so far there is little indication of how the link between R&I results and development processes are to be made. In examples studied AU-EU dialogue in JAES framework has clearly resulted in R&I and S&T based regional projects which are carefully thought through in terms of how they can be beneficial to development. <ul style="list-style-type: none"> <li>• This was apparent in the AMESD and MESA (see separate Case Study).</li> <li>• The AU Research Grants are usually focused on research and innovation projects that have a developmental impact as well.</li> </ul>
52	Extent of internal lessons learning, sharing and uptake in the EU Institutions within the sectors supported in partner countries, and at international level	The HTSPE Mapping study is an important tool for lesson learning but further evidence is required on how its conclusions have been used by the EU institutions.
53	Extent of external lessons learning, sharing and uptake within the sectors supported in partner countries, and at international level	The AU Research Grants encourage knowledge sharing among the several consortia members involved. These are from several African and some European countries. Wider sharing of results is less apparent but as the first two cycles of grants come to their end some efforts are being made to advertise results more widely.
54	Development processes and outcomes have been built on or used the results of research	One tool for this (ACP Connect) is being in place, but more evidence is required to see how this might be

Number	JC	Relevant Observations
	funded by DEVCO or shared through DEVCO supported research networks	being used for this purpose. Some of the impacts of the AU Research Grant programme interviewees identified are increases in productivity and food security, increased knowledge of Groundwater Resource in Basement rocks of Africa, improved waste water management, and capacity building through training of post-graduates.
61	Extent to which EU internal capacity to manage R&I support and conduct policy dialogue is in place at the levels required	The EUD to the AU appears to have adequate capacity to engage with the AUC at the Addis level on the main R&I/S&T issues supported but capacity to cover the whole of Africa is severely limited. DG RTD has only one R&I S&T Counsellor responsible for cooperation with the whole of Africa. He is based at the EU Delegation to the AU. The EUD-AU also had one staff member each dealing with the AURG and MESA, though both also had other responsibilities.
62	Extent to which R&I policy dialogue is operational at all levels	Some dialogue exists at least at the top level as the JAES 8 <sup>th</sup> Partnership involves policy dialogue between EU and AU member state ministers for S&T.

### Inventory analysis JAES

The inventory analysis shows a total contracted amount of EUR 36.7 million for all contracts identified for JAES.

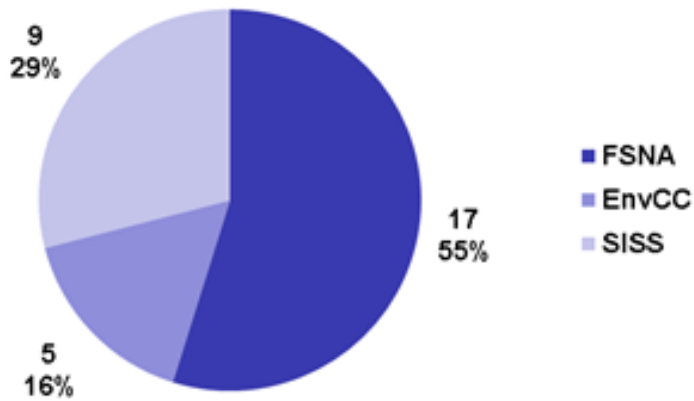
Figure 14 JAES total contracted amounts by sectors



Source: R&I inventory

The largest share of the contracted amount falls under the SISS category. Health is the only sector that does not receive attention through contracts in the JAES 8<sup>th</sup> Partnership. FSNA and EnvCC are covered through the African research grant component with thematic focus on these areas.

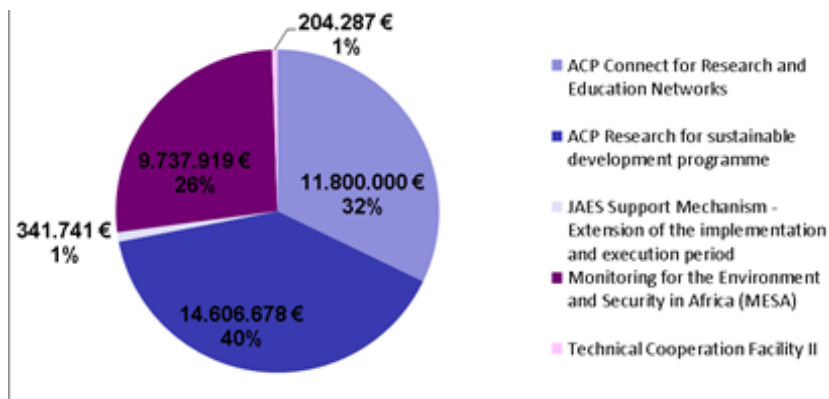
Figure 15 Number of JAES contracts by sector



Source: R&I inventory

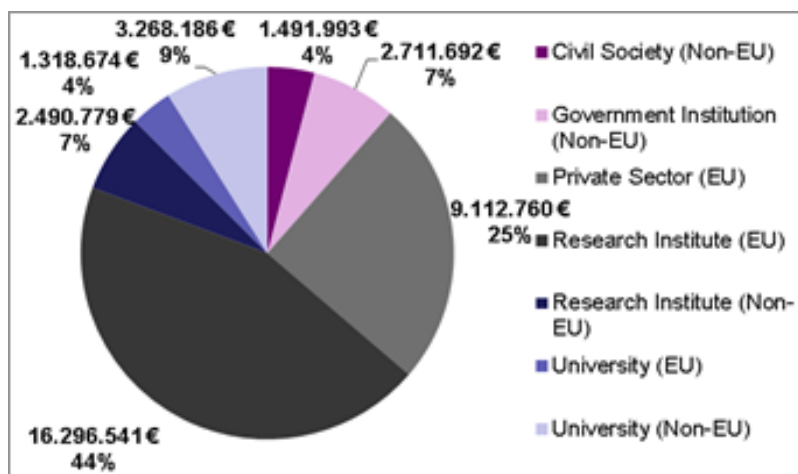
Regarding the number of contracts (31 in total), the FSNA sector represents the highest share of all JAES contracts in the inventory (55%).

Figure 16 JAES contracted amounts by decision



Source: R&I inventory

Figure 17 JAES contracted amounts by contractor channel



Source: R&I inventory

### 3.A.8 Monitoring for the Environment and Security in Africa (MESA)

#### Brief description of Programme

##### **Purpose, objective, approach, actors**

The MESA programme builds on AMESD (Africa Monitoring for Environment and Sustainable Development) programme and addresses the need for improved satellite and land-based Earth Observation monitoring, analysis and diffusion of information in support of environment, climate and food security policies, programming and decision-making in four regions of sub-Saharan Africa, namely CEMAC, ECOWAS (Economic Community of West African States), ESA-IO (incl. IGAD and IOC) and SADC. In particular, MESA is expected to make a major contribution to the NEPAD Environmental Action Plan. The AUC has a key coordinating role.

The general objective of MESA is: "To support African decision-makers and planners in designing and implementing national, regional and continental policies and development plans towards sustainable development, thereby advancing the socioeconomic progress and well-being of African populations towards achievement of the MDGs."

By strongly supporting environment and climate objectives, MESA contributes to the Joint Africa-EU Strategy (JAES) 6<sup>th</sup> Partnership on environment and climate change. At the same time, the project's reliance on proven satellite and land-based monitoring technology is consistent with the JAES 8<sup>th</sup> Partnership on Science, Information Society and Space.

Finally, MESA contributes to a number of important EU-African commitments to environment and security objectives under international treaties and conventions, for example, in a range of multilateral environmental agreements (MEAs) and various climate change discussions and negotiations.

Space-based and *in situ* Earth Observation (EO) technologies and applications are recognized as powerful tools to support socio-economic development; however, many African countries lack the human, technical and/or financial resources needed to exploit space-based EO data and services for economic and sustainable development in a systematic manner. For monitoring such a large continent as Africa, where the *in situ* infrastructure is often inadequate, EO technologies are especially valuable.

##### **How does it support or promote R&I?**

According to the Action Fiche, the programme is expected to produce data and information directly usable by decision makers at national and regional level and even by the public. Various links are suggested with FP7 and JRC projects, and the JRC is one of the implementing partners, but no mention is made of the data being used by researchers or for innovation. So while it seems very likely that the data ultimately generated by the infrastructure funded under MESA would be useful for research this does not seem to have been an explicit consideration in the project planning.

*Field Mission Findings (Ethiopia Country Note):* According to both EU and AU officials, data provided under AMESD and MESA have proven to be highly relevant for development purposes, and provide a useful basis and scope for further R&I in relevant areas in both FSNA and EnvCC. While MESA is not a research project in itself, it supports innovation and provides data for African academics and decision-makers to which they previously did not have access. The demand and interest appears to be high, particularly in meteorological services, but also for agriculture and fisheries. For the environment sector, the uptake appears to be slower. One key to the success of the project has been the involvement of universities and research communities. They have been involved in pilot applications, capacity building to develop user skills, and are now using data for their own research. The coverage has also expanded under MESA. Specialised applications (e.g. coastal services) were first piloted under AMESD and then rolled out under MESA. One interviewee expressed concern that, despite this broadening in scope, MESA is facing budgetary reductions. No solution has yet been found for the sustainability of the projects after EU support ends. Another problem cited is the limited scope of EDF funding, which means that the services are not available in North African countries. In the future, however, MESA will be funded from the Pan-African Programme, which will allow first the extension of existing services to North Africa and then their further expansion.

##### **Links with Commission R&I strategy and other R&I support programmes (including RTD)**

The Action Fiche lists a whole series of actions that are seen as complementary including the following African and EU funded ones:

- The European Space Agency's Global Monitoring for Food Security (GMFS) network, the JRC's Food Security Network,
- An FP7 project on food security (starting 2011) the Group on Earth Observation's (GEO's) Agricultural Monitoring Tasks.

- The FP7 space call for tenders in 2011, EUR 1 million has been allocated to "Support for the GMES & Africa Action Plan" to facilitate dialogue between partners in the broader GMES and Africa initiative.
- FP7 coordination and support projects underway:
- GMES for Africa – Regional Network for Information Exchange & Training in Emergencies (GARNET-E);
- Europe-Africa Marine EO Network (EAMNet);
- Support Action to GMES-Africa Earth Observation (SAGA-EO); and
- GEONETCast Applications for and by Developing Countries (DevCoCast).
- In integrated water resources management, the JRC's AQUAKNOW programme is operational;
- In climate services, the Regional Climate Outlook Forum Process for Africa, the African Union Climate Change Strategy and the Global Framework for Climate Services are most relevant.
- Joint Africa-EU Strategy (JAES) 6<sup>th</sup> and 8<sup>th</sup> Partnership initiatives that are moving forward include, among others, support of African participation in international environmental conventions, and increasing dissemination of data/services through the broadband networks increasingly deployed in Africa (avoiding the need for dedicated receiving stations).
- Relevant bilateral cooperation projects include *the Fonds Français pour l'Environnement Mondial's* (FFEM's) *Vigirisc, or Systèmes de Vigilance Face au Changement Climatique en Afrique*.
- Related EUMETSAT activities supporting the African meteorological community include ongoing training, an annual User Forum and expert groups on data dissemination.
- EU support to the AU "situation room" involved in crisis response activities; information and data available through MESA might contribute to the situation room's capacity for crisis response.
- JRC projects for monitoring deforestation and greenhouse gas (GHG) emission regimes, forest degradation, illegal logging, the navigability/water resources of African river sub-basins, land and coastal resources, etc.

**Features: scale, funding source, geographical coverage, time period**

The total cost is EUR 40 million, of which the EU contribution is EUR 37 million. The contract was signed on 13 March 2013. The final date of contracting is 13 March 2015 and the end of the operational implementation is 13 September 2017, which gives a total length of 5.5 years (sources: EDF10 all-ACP envelope (EUR 20 million) and four RIPs (EUR 17 million) (D-22553)). In-kind contributions come from the Joint Research Centre (JRC), EUMETSAT, the European Space Agency (ESA) and others.

The JRC's Global Environment Monitoring Unit of the Institute for Environment and Sustainability based in Ispra (Italy) is directly involved in the management and administration of the contract along with AUC. The services provided by JRC (E-Station software upgrade and training, diffusion of data, etc.) are of scientific and technical character.

The ACP Secretariat and the five RECs will be associated with the project planning and implementation through their participation in the Steering Committee, regular reporting and ad hoc meetings.

The AUC is the DRAO (Delegated Regional Authorising Officer) for all of the partially decentralised components (TA contracts, contracts with RECs, supply contracts, etc.). It designated a full-time MESA Project Coordinator whose related costs (salary, travel costs, etc.) are not be funded under the MESA budget.

Within the programme's budget sums have been set aside for evaluation (including a mid-term evaluation after two years), auditing and communication and visibility.

The three Contracts extracted from CRIS are:

1. c-306958: with the JRC in Brussels (EUR 1.5 million signed 23 January 2013) for support to the implementation of MESA – only the contract form is available
2. c-315947: a Technical Assistance (TA) Service contract for MESA with Hulla & Co Human Dynamics KG in Vienna (EUR 7.9 million signed 28 March 2013, first invoice 6 May 2013), including contract form and Annex with ToR showing:
  - The contracting authority was AUC;

- Background outlined: different agreements, importance of Climate Change in 2<sup>nd</sup> revision of Cotonou, need for AU+RECs to be able to monitor continental environmental change, various details as per Action Fiche;
- Six Regional and one Continental Information Centres are planned:
  - CEMAC – Fluvial water resources at CICOS, Kinshasa;
  - ECOWAS – Cropland water resources at AGRHYMET, Niamey;
  - IGAD – Land degradation and mitigation – ICPAC, Nairobi;
  - IOC – Coastal & Marine resources – MOI, Quatre-Bornes, Mauritius;
  - SADC – Agricultural and environmental resources – BDMS, Gabarone;
  - ECOWAS – Coastal and marine resources – website suggest Accra;
  - AUC Continental – Climate change monitoring – website suggests: ACMAD Niamey;
- Role of RECs explained, link made to CAADP;
- An Inception Report was due one month from start of implementation, then six monthly progress reports;
- Training and capacity building would be a crucial component of MESA;
- The principal beneficiaries are the environment decision makers but the general public were seen as the ultimate beneficiaries;
- The purpose of the TA contract was to obtain appropriate technical and development assistance for successful implementation of the MESA programme;
- The outputs against each result were listed with given time – after 1 year various outputs were expected that would enable more adequate evaluation;
- AUC provided the MESA project coordinator to be assisted by a technical assistance team (TAT) of 11 persons;
- The Programme Steering Committee would consist of representatives from the AUC, the RECs, the ACP Sect, and observers from the EC, EUMETSAT, ESA, relevant UN agencies.

3. [c-323253](#): Start up programme estimate with Hulla & Co (EUR 238,071 signed 20 August 2013) including a detailed project form and programme estimate from AUC, signed by Commissioner for Rural Economy and Agriculture on 5 July 2013, to cover the second half of 2013. The estimate details plans for this first six month period of the programme including: establishing processes, procurement, communication and visibility, procedural arrangement for finance, etc.

#### ***Relevance and added value of this programme for evaluation***

This programme is relevant to the evaluation in as much as it deals with building up infrastructure for research particularly through data collection on key thematic areas covered: EnvCC and FSNA. However, it also uses space and ICT technology that is a third theme of the Evaluation and comes under the umbrella of EU cooperation with African and ACP through the Joint Africa-EU Strategy and the Cotonou Partnership Agreement. It is also clearly linked to DG RTD funded programmes (FP7 calls) and EU funded research centres such as the JRC and EUMETSAT. However, on the down side, the project documentation available does not make an explicit link through to research but rather insists on the value of the data and information collected being made directly available to national and regional environmental decision makers and ultimately the general public.

Since its agreement in 2007, the Joint Africa-EU Strategy has had a prominent commitment to cooperation on S&T as outlined in the 8<sup>th</sup> Partnership on Science, Information Society and Space. Serious efforts have been made to implement this with 'lighthouse' projects under each of the three pillars of the Partnership. The EU has also put in place the capacity to manage the dialogue and support on S&T and has indeed supported the AUC in creating its own capacity for this. The two projects considered by the team, the AU Research Grants and the MESA, are both showing very promising results with outputs that are in much demand. In both cases, however, sustainability beyond the next period of EU funding is open to question as alternative longer-term strategies for financing have yet to be found.

The MESA project is not a research or innovation project in itself as the technology is already well established, but it is clearly an enabler of extensive research and innovation across the continent. It brings existing EU technology and satellite data to the continent in a manner that can have a major impact on development in many vital sectors. It is apparent that uptake of this data is both very widespread across the continent and very varied in the applications it is being used for. African ROs are starting to build their own research projects based on this data, which they did not have access to in the past. Government services are using it for forecasting and planning in many areas such as mete-

orology, agriculture, fisheries, transport, environment and climate change mitigation. The potential impact of the project on R&I for development is therefore huge. Again, given the value of this work, the question of finding a sustainable solution for on-going funding beyond the immediate cycle that is provided for is very important and needs to be examined seriously by both Commissions.

#### **Sources of evidence available, their coverage and limitations**

- Detailed Decision Form and Action Fiche;
- Financing Agreement with the AUC (signed February 2012) including the Action Fiche and Logical Framework, ;
- Interviews during the field mission to Ethiopia (c.f. Country Note) at the EUD and at the AUC55;
- MESA websites: <http://mesa.au.int>, <http://www.hd-mesa.org>.

#### **Key observations for JCs**

<b>Number</b>	<b>JC</b>	<b>Relevant observations</b>
11	Link between R&I activities and EU development objectives (as per European Consensus and Agenda for Change – MDGs, etc.)	There is strong evidence of a link between the R&I activities funded and EU development objectives. As stated in the final evaluation of the programme <sup>56</sup> , AMESD was the first continental project that addressed needs for better environmental monitoring towards sustainable management of natural resources in five regions in Sub-Saharan Africa. It provides a valuable knowledge tool that strengthens African capacity to deliver on the mission and objectives of the AUC's policy on environmental protection and management. Many of the applications supported by AMESD and MESA feed directly into link socio-economic activities in line with EU development objectives.
12	Extent to which R&I has informed sector policy dialogue and sector support at national and regional levels	<ul style="list-style-type: none"> <li>• Activities under the JAES 8<sup>th</sup> Partnership on SISS are strongly rooted in sector policy dialogue between the EU and the AU. This occurs at the continental level but there are also examples of R&amp;I projects feeding into sector dialogue at regional and even national level.</li> <li>• For MESA, dialogue is taking place at several levels. The Steering Committee of MESA brings together the AUC, RECs and regional implementation, as well as a whole range of observers including the EU Delegation, DG GROWTH (Directorate General for the Internal Market, Industry, Entrepreneurship and SMEs), DG DEVCO, the JRC, ESA (European Space Agency), WMO (World Meteorological Organization), UNDP (United Nations Development Programme), and UNEP (United Nations Environment Programme). This format allows for a broad dialogue with a wide range of stakeholders.</li> <li>• According to the final evaluation report of AMESD (2013), the programme has had positive impact at the policy level, as some decision-makers started to endorse the system of AMESD at an early stage to draft policies at national or regional levels for disaster management, food aid planning, priority zone identification etc.</li> <li>• Building on the experiences with MESA and AMESD, the AUC has recently adopted its own African Space Technology strategy (which itself relates to the STISA). Satellite-related projects are part of this strategy. This indicates a clear impact of EU-funded R&amp;I activities on AU policies.</li> </ul>
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	<p>The 8<sup>th</sup> partnership of the JAES is aligned with and contributes to the realisation of the AU's Science, Technology and Innovation Strategy for Africa (STISA) 2024, adopted in 2014.</p> <ul style="list-style-type: none"> <li>• As stated by the AU Commissioner for Rural Economy and Agriculture during the 4<sup>th</sup> MESA programme Steering Committee in April 2015, MESA contributes to the implementation of the Integrated African Strategy on Meteorology, the advancement of the work of the Specialized Technical Committee on Agriculture, Rural Development, Water and Environment; and the African Ministerial Conference on Environment. In this way, MESA also contributes to the realisation of</li> </ul>

<sup>55</sup> The MESA project coordinator at the AUC also provided a powerpoint presentation from the MESA Forum (Sept 2015).

<sup>56</sup> Pubellier, C., Brandolini, G. & Courboules, J., March 2014, Final evaluation of the AMESD Programme 2013 final report, Particip, Addis Ababa.



Number	JC	Relevant observations
		the development agendas of the RECs as well as the Agenda 2063 of the AU <sup>57</sup> .
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	<p>Institutional sustainability and capacity building is clearly a major concern in the dialogue between the AU and the EU but finding sustainable funding once the EU support phases out is a critical issue.</p> <ul style="list-style-type: none"> <li>Both EU and AUC officials expressed their satisfaction with the inter-institutional cooperation. However, an EU official noted that 'as long as the team as it is now can continue, we can continue good cooperation', indicating that the cooperation depends highly on personal relations, which staff turnover could threaten and possibly have negative effects for institutional sustainability.</li> <li>AMESD and MESA contain a specific component on capacity building (a EUR 3 million service contract) with the aim of fostering research skills and use of data among African researchers by establishing a good network with universities, contributing to curricula development and training. Universities were also involved from the very beginning in designing, piloting and testing applications in training personnel to use the data. Under AMESD, various types of centres across Africa were set up to establish and run services. In MESA these are now being extended to ensure full coverage. The aim is to allow African countries to develop new services according to their needs. Under MESA, generic training is provided to the implementing centres through a service contract on topics such as management and maintenance of the stations, communication of results, and understanding Earth Observation and Geographic Information Systems (GIS).</li> <li>As stated in the final evaluation report of AMESD<sup>58</sup>, the programme has helped building capacities of regional and local institutions and partners in terms of technical knowhow an experience through training and workshops.</li> </ul>
24	Enhanced networking of developing countries' researchers at regional and international level	<p>According to one EU official, one of the achievements of AMESD and MESA that it has created a good network of experts based in regional and national implementation centres. Regional steering committees are organised to encourage face-to-face interaction. There are peer review systems for each of the 18 themes. Several user seminars have been organised (three times under AMESD, and two so far under MESA). In addition, there is virtual communication and information-sharing. Four WMO (World Meteorological Organization) training institutions in Africa have been provided with infrastructure and equipment. There are also national contact points (usually a political and a technical one) in every country that have the aim of promoting networking. However, according to an EU official, there is evidence that networking among scientists is not increasing as fast as it might, due to a lack of face-to-face meetings between national focal points. Yet overall, there appears to be a good cross-fertilisation across themes under MESA, bringing academics and other users together.</p>
31	Appropriateness of the financing modalities and types of funding under different EU instruments and the way they have been applied for enhancing R&I	Choice of financing modalities is differentiated and well justified.
32	Strategic approach adopted to choosing different possible actors / channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities availa-	The choice of actors and channels is based on strategic considerations and well justified.

<sup>57</sup> African Union Commission, July September 2015, MESA News Vol. 02, No. 02, AUC, Addis Ababa.

<sup>58</sup> Pubellier, C., Brandolini, G. & Courboules, J., March 2014, Final evaluation of the AMESD Programme 2013 final report, Particip, Addis Ababa.

Number	JC	Relevant observations
	ble	
33	Level of efforts taken to choose between and to combine different modalities and channels	Some effort has gone into designing a mixed source package: the EC funding is all EDF but originates from both the all-ACP envelope and the RIPs. Both the major implementers, i.e. the JC and the AUC are contributing in kind.
41	Extent to which DGs DEVCO and RTD have formulated clear strategies on how they should cooperate in a complementary way and how the work of other relevant EU institutions (such as the EIB) is also complementary with their own.	The Action Fiche makes a clear link with various FP7 funded projects but the strategy involved is not clarified further.
43	Level at which DEVCO support has benefited from complementary action financed through RTD and vice versa	Many expected linkages with RTD projects are identified in the Action Fiche.
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	<p>In examples studied AU-EU dialogue in JAES framework has clearly resulted in R&amp;I and S&amp;T based regional projects which are carefully thought through in terms of how they can be beneficial to development</p> <ul style="list-style-type: none"> <li>The overall aim of AMESD and MESA was to make satellite data available to researchers and policymakers in various sectors important for development. Previously they had no access to this data. Thus, AMESD/MESA include support to meteorological services, the transport sector, preventive warning for droughts and weather forecasting, vegetation cover, etc. contributing to direct needs of local farmers. It also supports climate projections that could feed into climate change adaptation projects. An example of a service that is provided using MESA data is the mapping of potential fishing zones and monitoring of fishing vessel traffic to curb illegal, unregulated and unreported fishing in the ECOWAS and IOC regions, thereby contributing to food security of local fishermen through Earth Observation.</li> </ul>
53	Extent of external lessons learning, sharing and uptake within the sectors supported in partner countries, and at international level	The results of MESA were discussed during the recent MESA forum. Several national focal points came to present how they use MESA services, e.g. for wildlife protection in Kenya, algae bloom prevention, combatting illegal fishing in Western Africa, forestry services in IGAD etc. The forum therefore provided an opportunity for lessons learning and sharing with representatives of other countries.
54	Development processes and outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks	<p>The importance of R&amp;I results and S&amp;T involved in supporting development processes is apparent in the projects studied.</p> <ul style="list-style-type: none"> <li>AMESD and MESA are important flagship projects that support innovation and provide data for African academics and decision-makers. Several new research projects are being set up in different African Research Organisations that make use of these data and contribute to development processes in Africa. Services provided using MESA data include wildlife protection in Kenya, algae bloom prevention, combatting illegal fishing in Western Africa, and forestry services in IGAD. A survey conducted during the MESA Forum indicated that 90% of the National Contact Points use the information from MESA and that 80% are satisfied to very satisfied with MESA.</li> <li>At the same time more could be done. There are for instance no clear procedures in place of how the results from MESA can feed into the NIPs (National Indicative Programmes). Another major problem is the lack of finance in some areas at national level to make the best use of data on all potential sectors.</li> </ul>

<i>Number</i>	<i>JC</i>	<i>Relevant observations</i>
61	Extent to which EU internal capacity to manage R&I support and conduct policy dialogue is in place at the levels required	<p>The EU does have capacity in its EUD for the AU to manage the day to day contacts and dialogue with the AUC, but across Africa EU capacity to support dialogue on R&amp;I is very limited.</p> <p>There is only one EU S&amp;T Counsellor for the whole of Africa (located in Addis). He works with R&amp;I/S&amp;T focal points in a handful of African countries</p> <p>MESA national focal points are working primarily with the AUC, although they also meet regularly with the RECs. They often rely on the EU Delegations, although interview evidence suggests these are not well equipped to support them.</p>
63	Extent to which the EU facilitates R&I activities at all levels	The EU engages actively with the African Union Commission on R&I and S&T both in terms of research policy, procedures for research grant management and actual funding which enables the AU to run its own, albeit small, research grant facility.

### 3.A.9 Aid for poverty-related diseases in developing countries (AWP for PRD 2006)

#### Brief description of Programme

This was a regional (ACP) programme run on a call-for-proposals basis. Three country level components have already been covered in country profiles, as follows:

Mozambique: Detailed information is available on one action financed under the SANTE thematic budget line (D-17998, c-105398 in the amount of EUR 2.37 million “Support to the Malaria Control Programme in Chókwè Region,” implemented by *Instituto de Higiene e Medicina Tropical*). Chókwè Region was characterized by an elevated rate of malaria morbidity and mortality and the project was aligned with the national malaria control strategy in the context of the global WHO-headquartered Roll Back Malaria initiative. The project purpose was to:

- a) Increase the number of health facilities that are able to perform quality malarial diagnosis and treatment;
- b) Increase the number of villages with access to preventive measures;
- c) Improve epidemiological surveillance;
- d) Increase the knowledge of malaria management in selected targeted groups.

The main activities were:

- a) To equip local laboratories;
- b) To train health workers in malaria clinical and laboratory diagnosis and case management and in health information and epidemiologic surveillance systems;
- c) IEC for increased community knowledge about malaria, specifically danger signs, timely referral and use of Insecticide Treated Nets;
- d) To improve sanitation and increasing access to and use of treated bed nets;
- e) To support the Ministry of Health in monitoring the efficacy of the new treatments.

Tanzania: Under the thematic budget D-17998, Tanzania benefited from the regional action “Technology transfer and local production of high quality and affordable fixed dose anti-retroviral drugs” financed by c-105100 in the amount of EUR 5.0 million. The implementing organization was *Deutsches Medikamentenhilfswerk Action Medeor EV*. The overall objective was “HIV/AIDS – related socio-economic decline slowed down”. The project purpose was “the demand of targeted HIV/AIDS infected persons for first-line/second line antiretroviral treatment can be met by locally produced high-quality anti-retroviral drugs”. The project sought to achieve this through three results:

- a) Build the local production capacity for high quality antiretroviral drugs (ARVs) by building a Good Manufacturing Practices (GMP) compliant factory;
- b) Sufficient output of high-quality first-line ARVs to supply 80,000 AIDS patients;
- c) Knowledge generation and capacity building programmes on Quality Management in procurement and distribution and on Good Manufacturing Practices (GMP) and on ARV Pharmacology supported and/or conducted: the project planned to train 20 staff members of Tanzania Pharmaceutical Industries (TPI), 60 key personnel of non-governmental agencies, 80% of the pharmaceutical key staff of East Africa and 40 key personnel of governmental agencies.

South Africa: Under the 2006 Workplan of D-17998, South Africa benefited from the action “Drug Resistance Surveillance and Treatment Monitoring Network for the Public Sector HIV Antiretroviral Treatment Programme in the Free State” (c-147790 for 2007 in the amount of EUR 3.47 million implemented by the Medical Research Council of South Africa). This Action established the EU, in collaboration with the MRC, as a central funder of scientific research into HIV drug resistance in South Africa, including basic science research, health systems research and clinical research. The original project region was Free State Province, South Africa and through the South African Treatment and Resistance Network (SATuRN), it extended to Gauteng and Kwa Zulu-Natal (KZN) provinces and Botswana and Zimbabwe. The beneficiaries were existing public health services in the three provinces. Patients with virological failure and resistance criteria, and patients with co-morbid infection of HIV and Tuberculosis (TB) received clinical benefits of assessment and treatment recommendations from specialists. The project developed capacity, advised national programmes, and provided a model for Southern Africa. The network monitored drug resistance and adherence through surveys and cohort studies and evaluated selected interventions. The overall objective is to develop sustainable Regional Centres of Excellence with the capacity to successfully monitor and contain the spread of drug resistant HIV in the Free State, Gauteng, Kwa Zulu Natal provinces of South Africa, conduct locally relevant research and serve as a model for other regions in Southern Africa. Among results achieved were:

- a) Direct clinical benefits for patients in treatment sites, whether resident in these provinces or not – a Centre for Excellence in the treatment of complex cases was put in place;
- b) Drug resistance testing in clinical system of care in centres of excellence;
- c) Permission granted by Department of Health to collect specimens for drug resistance testing and to establish treatment failure clinics;
- d) Development of oligonucleotide ligation assay (OLA) that is low cost and customized for HIV subtype C – one of the main results of the project was the development and dissemination of a new, cheap test for drug resistance;
- e) Equipment for the assay purchased, installed and staff appointed and trained to process samples;
- f) Formation of SATuRN, a network of laboratories and clinical collaborators contributing to a database of genetic sequences;
- g) Biomedical informatics system installed to allow clinicians to monitor administration of Anti-Retroviral Therapy using secure patient clinical information and drug resistance reports;
- h) Project collaborators participated and presented papers in international conferences on HIV drug resistance and treatment failure in clinical setting.

The project financed a number of PhD studies by South African students and generated many scientific presentations and publications. SATuRN provided the core infrastructure and coordinating mechanism for a number of activities under this grant, including establishing the surveillance databases and mirror of the Stanford drug resistance database, the low cost genotyping methods, end user training, international collaborations and the research component. A significant number of personnel were trained through SATuRN and, in addition, the SATuRN network was strengthened and extended into several neighbouring countries in Southern Africa.

This profile describes the programme as a whole and focus on another contract under the programme, *c-105066*, which financed an innovative bilingual collaboration between universities in Senegal and South Africa. This action, "*Capacity building and clinical trials of new TB vaccines in Africa*" amounted to EUR 5 million.

**Purpose, objective, approach, actors**

The Annual Work Plan (AWP) for Poverty-Related Diseases (PRDs) 2006 was implemented under Budget Item 21 02 07 02 of Regulation 1568/2003 of the European Parliament and of the Council on "Aid for poverty-related diseases (HIV/AIDS, Malaria, Tuberculosis) in developing countries" – i.e. under the SANTE budget line of DCI.

The principal objectives of this programme were set out in the above-mentioned Regulation as follows:

- a) Optimise the impact of existing interventions, services and commodities targeted at the major communicable diseases affecting the poorest populations;
- b) Increase the affordability of key pharmaceuticals;
- c) Increase research and development, including vaccines, microbicides and innovative treatments.

The expected results were in accordance with those of the Millennium Development Goals for HIV / AIDS, malaria and tuberculosis:

- a) Methods and means to mitigate or reverse the adverse effects of HIV/AIDS, tuberculosis and malaria in developing countries are developed, tested and implemented.
- b) Improved access to effective and affordable drugs together with increased access and performance of services has a positive effect on the health status of the population and contribute to poverty reduction.

Partners eligible for financial assistance under the applicable regulation included:

- a) Administrative authorities and agencies at national, regional and local government level;
- b) Local authorities and other decentralised bodies;
- c) Local communities, NGOs, community-based organisations and other non-for-profit natural and legal persons from the private sector;
- d) Regional organisations;
- e) International organisations, such as the United Nations and its agencies, as well as development banks, financial institutions, global initiatives, international public/private partnerships;
- f) Research institutes and universities.

For 2006, the commitment appropriation for the budgetary item was EUR 76.1 million, divided in three main areas:

- a) EUR 41.9 million for programmes focusing on the priority areas through a call for proposals.
- b) EUR 28 million represents the annual contribution to the Global Fund to fight AIDS, malaria and tuberculosis.
- c) EUR 6.2 million used for funding of activities outside the call for proposals.

As stated, (i) was implemented through grants to institutions carrying out activities that contribute to the objectives of the programmes. Grants reaching up to 90% of the total eligible costs of a supported activity were provided for activities selected on the basis of a call for proposals and for funding of specific activities by direct award.

Of the grants outside the call for proposals process, EUR 4.2 million was allocated to support of the International Partnership on Microbicides (IPM) to accelerate the development of safe, effective, affordable topical microbicides to prevent HIV infection and to facilitate women's access in resource poor countries. The support aimed to build the capacity in order to enable the ethical and efficient conduct of trials, build community and political participation in clinical trials, enhance regulatory agency capacity to facilitate regulatory approvals of safe and effective microbicides, conduct market research to enhance demand for microbicides, and conduct operations research to identify manufacturing capacity, supply chains, and distribution venues to enhance access to resource poor populations. The EC support amounted to 60% of the cost for this programme.

Another EUR 2 million was reserved for support to events at the international level and other activities, which underpin the Community's policies, priorities and goals in the fight against HIV/AIDS, malaria and tuberculosis and, which are destined to improve the implementation and/or the visibility of projects financed under this programme.

*c-105066*, the specific action covered here, aimed at capacity building and technology transfer to allow the successful conduct of Phase I/II/III clinical trials with a leading new TB vaccine, MVA85A, in South Africa and Senegal. It represented a three-way EUR 5.0 million collaboration between the University of Cape Town, South Africa, the University of Oxford, UK and *Centre Hospitalier Universitaire (CHU) Le Dantec*, Dakar, Senegal, and proposed to develop and expand the clinical trial capacity at both African sites to undertake key Phase I-III clinical trials of the most advanced new candidate tuberculosis vaccine, MVA85A, in order to carry out the next stage of this vaccine development plan. The target group(s) for this intervention were infants in South Africa and HIV-infected adults in Senegal. The main activities were:

- a) To expand and further develop clinical trial capacity and immunomonitoring facilities at the clinical trial site in Cape Town, South Africa and to provide infrastructural support to develop these facilities in Dakar, Senegal; and
- b) To thereby underpin and allow the conduct of important Phase I, II and III trials with a leading new TB vaccine, MVA85A, at these sites.

The overall objectives of this action were:

- a) To provide infrastructural support and build and expand clinical trial capacity at the clinical trials sites in Cape Town, South Africa and Dakar, Senegal.
- b) To conduct important Phase I and II trials and build capacity for undertaking a pivotal phase III trial with the leading new TB vaccine, MVA85A, in key target populations at these sites.

The specific objectives of the action in South Africa included expanding and further developing an existing clinical trial site, further developing the immuno-monitoring capacity of this site, and support for epidemiological studies which will provide background data for the conduct of subsequent vaccine studies, and the actual conducting of Phase II clinical trials. In Senegal, specific objectives were developing capacity to conduct Phase I/II clinical trials in HIV positive subjects (establishing a clinical trials infrastructure, systems for data monitoring, vaccine storage, standard operating procedures, etc.; training and updating clinical trial teams), strengthening laboratory capacities for the immunological monitoring of Phase I/II clinical trials, and the conduct of Phase I studies with MVA85A in healthy, HIV infected adults.

#### ***How does it support or promote R&I?***

The PRD programme was a general, "workhorse" action designed to meet the EU's development-related commitments in the area. While it did not finance R&I exclusively, it made substantial funds available to it and emphasised the coherence of DEVCO-financed PRD R&I with development goals and policies. Grant eligibility criteria aimed at ownership and leadership from relevant organisations from developing countries, in partnership with international organisations or development or academic and research institutions from the EU Member States. Priority areas for grants were:

- a) Technology transfer, leading to local production of affordable key pharmaceuticals and commodities in prevention, treatment and care of HIV/AIDS, malaria and tuberculosis;
- b) Strengthened prevention within the framework of comprehensive prevention, treatment and care strategies directed at the poorest and most vulnerable populations;
- c) Support to EDCTP clinical trials sites in disease-endemic countries, to allow for their participation in Community-funded clinical trials, specifically:
  - o Infrastructural support to upgrade or adapt clinical research and laboratory facilities in clinical trials' sites in sub-Saharan Africa that participate in EDCTP-funded clinical trials;
  - o Support for preparatory studies providing local epidemiological background data required for the conduct of EDCTP-funded clinical trials;
  - o Provisions for ensuring the sustainability of medical care after EDCTP-funded clinical trials.

***Links with Commission R&I strategy and other R&I support programmes (including RTD)***

Grants under the PRD AWM 2006 were explicitly linked to EU commitments in the global fights against the diseases of poverty:

1. The priority areas (determined for 2005-2006 on an multi-annual basis) were determined in the overall context towards reaching the Millennium Development Goal for HIV / AIDS, malaria and tuberculosis, and the specific targets set for HIV/AIDS at United Nations General Assembly Special Session-(UNGASS 2001), for malaria at Abuja (April 2000) and for tuberculosis at the World Health Assembly (May 2000); and aiming at maximising pertinence by prioritising the prevention, care or treatment in areas where there is evidence of lack of progress;
  2. The HIV/AIDS, malaria and tuberculosis interventions supported were designed and implemented so as to be in coherence with EU and international and national policies, strategies and priorities;
  3. The projects selected were comprehensive and enhanced the links between prevention, treatment and care;
  4. The projects selected had to be appropriately situated within the larger context of generally improved and more effective health systems, and especially HIV/AIDS programmes integrated in sexual and reproductive health and rights policies and programmes;
  5. Projects were selected in those priority areas where EU support can make a difference. The aim was to co-ordinate and synergise with other EU financial instruments, including the European and Developing Countries Clinical Trials Partnership (EDCTP), as well as other such actions undertaken by EU Member States;
  6. The approach of the projects selected was based on the evidence of research results of improved efficacy (in pre-clinical and early clinical human testing) and efficiency prevention and care strategies, and aimed at further testing (i.e. phase II – phase III large-scale clinical trials) and rolling out innovative approaches;
  7. The nature of the projects selected was intended to provide relevant information for potential scaling up or replication, particularly on the conditions necessary for feasibility and sustainability;
  8. Gender issues were considered an essential part of the projects selected, particularly in HIV/AIDS where women are more vulnerable to infection and often bear a higher burden in care-giving for the sick and the orphans;
  9. Special attention was given to orphans, a rapidly growing, often marginalized group;
  10. A partnership approach, designed in the context of increasing donor co-ordination around country and regionally ownership strategies for poverty reduction, was employed. The projects selected complemented and reinforced both the policies and capacities of developing countries and the assistance provided through other instruments of development cooperation. Co-operation between developing countries and / or networking on a regional basis was also sought.
  11. Support for knowledge generation and capacity building, including training, of in-country organisations, institutions and individuals, was an integral part of the programme design;
  12. Monitoring and evaluation was based on indicators measuring the internationally agreed targets for HIV/AIDS, malaria and tuberculosis and disaggregated by sex, age and poverty level.
- c-105066 fell under the third overall objective of the Regulation 1568/2003 setting forth the EC action programme of aid for poverty-related diseases (HIV/AIDS, malaria and tuberculosis) in developing

countries: to increase research and development, including vaccines, microbicides and innovative treatments. The action directly addressed the urgent need within the developing world for an improved TB vaccine. It addressed the third main theme identified within the PRD AWP 2006 call, support to clinical trial sites selected by the EDCTP programme and to the populations living in areas concerned by these trials. This theme included infrastructural support for clinical trial sites and laboratory facilities and support for epidemiological studies necessary to provide background data required for the subsequent conduct of clinical trials. This proposal directly addressed both of these aims.

The action was fully consistent with EU development policy globally, regionally, and in the two countries concerned most directly. TB remains one of the leading causes of death from a single infectious agent with 2-3 million deaths annually. Existing control methods, including DOTS (Directly Observed Treatment, short-course) and the currently available vaccine, BCG (Bacillus Calmette–Guérin), have failed to control this global epidemic and it is widely agreed that the most effective control measure would be an improved vaccine.

**Features: scale, funding source, geographical coverage, time period**

*Legal basis:* Regulation 1568/2003 of the European Parliament and the Council on aid for poverty-related diseases (HIV/AIDS, malaria and tuberculosis) in developing countries

*Scale:* Entire PRD AWP 2006, EUR 76.0 million of which EUR 28.0 million financing for the Global Fund. *c-105066*, EUR 5.0 million.

*Time period covered:* The PRD decision covered the period 2003-2006. The programming document covered the years 2005-2006. The AWP covered the year 2006. The duration of an action funded could not exceed 60 months (*c-105066* covered). The minimum grant awarded under this programme had to fall between EUR 2 million and EUR 5 million. It was envisioned that up to 20 projects would be supported.

*Geographic coverage:* PRD AWP ACP countries (plus global for the Global Fund to Fight AIDS, Tuberculosis and Malaria GFATM contribution); *c-105066* Central Africa and Sahel.

**Relevance and added value of this programme for evaluation**

The PRD AWP 2006 is of interest because it represents a regional instrument being used to finance activities at country, regional, and global levels. This raises the question of whether there was any co-ordination between actions at the three levels, or if any was needed.

**Sources of evidence available, their coverage and limitations**

For Mozambique, Tanzania, South Africa country-level actions, Final Narrative Reports, Interim Reports (see country profiles). For *c-105066*, project description and interim reports.

**Key observations for JCs**

Number	JC	Relevant observations
11	Link between R&I activities and EU development objectives (as per European Consensus and Agenda for Change – MDGs, etc.)	Both PRD AWP 2006 as a whole and <i>c-105066</i> were closely tied to EU development goals, which were fully taken into account in strategic documents.
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	See comment above, with caveat that there is no real EU DEVCO R&I policy. If there were, would DEVCO wish to involve itself in vaccine clinical trials?
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	No idea on increase, but there was clear and strong focus on capacity building and institutional sustainability for the two African universities involved.
23	Improved access of developing countries' research communities to EU FP7 funding through RTD	RTD has a strong focus on vaccine development (DEVCO complains of it) yet there is no real mention in the strategic documents or Interim Reports of whether this action strengthens links between developing country researchers and RTD.
24	Enhanced networking of developing countries' researchers at regional and international level	This appears on the face of it to have been assured in this project. However, PRD AWP 2006 funded some 12 contracts across the ACP. Any evidence of networking?
31	Appropriateness of the financing modalities and types of funding under different EU instruments & the way they have been applied for enhancing R&I.	Several aspects are of interest. The strategic documents appear to take no notice of links between the three main strands of funding – calls for proposals, GFATM, and microbicides. The latter appears to be an afterthought "add-on."
33	Level of efforts taken to choose between and to combine different modalities and channels	Why DEVCO for vaccine clinical trials, not RTD. No evidence of strategic consideration.



<b>Number</b>	<b>JC</b>	<b>Relevant observations</b>
41	Extent to which DGs DEVCO and RTD have formulated clear strategies on how they should cooperate in a complementary way and how the work of other relevant EU institutions (such as the EIB) is also complementary with their own.	Same comment.
42	Degree to which DEVCO support addresses issues that could/would not have been better, or equally well, addressed through RTD and vice versa	Same comment.
43	Level at which DEVCO support has benefited from complementary action financed through RTD and vice versa	Same comment.
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	Yes. Strategic documents for <i>c-105066</i> do speak of how a vaccine, if developed, could have an impact in development processes. But, no apparent realisation of (i) slim-to-none odds of success and (ii) massive gap between successful clinical trials and roll-out.
63	Extent to which the EU facilitates R&I activities at all levels	This has to do with the extent to which national researchers were involved in networks and processes. No evidence in strategic documents.

This matrix does not refer to the Tanzania, Mozambique and South Africa drug resistance contracts. It refers to *c-105066* and the PRD programme generally.

### 3.A.10 Promoting research for improved community access to health interventions in Africa

#### Brief description of Programme

##### **Purpose, objective, approach, actors**

The action was financed under *D-24004* and ran from 2010 to 2014. Only one contract was signed, *c-253959*, with WHO.

The objective of the action is to increase access, especially for poor communities in resource-constrained health systems in low and middle income countries, to health interventions and effective health services (diagnostics, medicines and vaccines), to combat diseases that disproportionately affect developing countries, as outlined in the Global Strategy and Plan of Action (GSPoA) on Public Health, Innovation and Intellectual Property. The purpose of this initiative is to establish information and practices that provide evidence for effectively scaling up the role of communities for the delivery of Primary Health Care (PHC) within the context of national health systems in Africa.

Specific partners are: Governments of Cameroon, Democratic Republic of the Congo, Ghana, Kenya, Liberia, Malawi, Nigeria, Tanzania, Uganda, African research institutions such as University of Yaoundé, Kenya Medical Research Institute, Ibadan University, University of Liberia, Kinshasa University, University of Bamako, National Institute for Medical Research, Mwanza, Tanzania; Non-Governmental Organizations (NGOs) such as Sight Savers International and the Common Heritage Foundation, local entities as well as community groups. Collaboration will also be established with research consortia in charge of relevant ongoing initiatives under the 7th EU Framework on Research and Development (FP7).

Partnerships with local and national implementers (Ministries of Health, UN agencies, national and international NGOs, and all other groups implementing Primary Health Care packages) will be established so that agreement is reached on the implementation of Community-Directed Intervention (CDI) approaches in a specific region. In CDI, the health services and its partners introduce, in a participatory manner, the range of possible intervention(s), and the means by which the CDI concept can ensure community ownership from the onset. From then on, the community takes charge of the process, usually through a series of community meetings for collective discussion of roles and responsibilities of the community in the CDI process; community decision-making on how, when, where and by whom the intervention will be implemented, how the implementation will be monitored and what, if any, support (financial or otherwise) will be provided to implementers; and collective selection of community implementers. Health workers provide training of community implementers and monitoring but the community directs the intervention process. Among sedentary populations, a recent multi-country study showed CDI to increase access to appropriate treatment with anti-malarials and access to insecticide-treated nets by two-fold. However, the CDI approach to health interventions needs to be further assessed for its generalisability to a full array of primary healthcare interventions in rural and remains to be validated and tested in certain hard-to-reach populations, for example nomadic or urban populations. If validated for these populations it can also be scaled-up and tested as a means for strengthening delivery of essential health care.

The project is coordinated by the Special Programme for Research and Training in Tropical Diseases (TDR) secretariat housed at WHO Geneva. The TDR secretariat organizes regular workshops for all participating teams and conduct field visits. The TDR secretariat also is tasked with setting up regular list of servers/communities-of-practice for participating research teams and engaging field monitors to ensure compliance with the core protocol. TDR Scientific Advisory Committees ensures scientific rigour and quality throughout the process. Between 2012 and 2014, implementation has been studied in Burkina Faso, Nigeria and Uganda. TDR is working with a network of Africa-based and international consultants. The basic research design consists of randomized control trials. Training is provided to community health care workers and one component of the study focused on the incentives for health workers in Integrated Community Case Management. While monitoring reports point to delays both at WHO headquarters (due to difficulties mobilising the WHO contribution) and in the field, the potential for impact and sustainability was felt to be good.

##### **How does it support or promote R&I?**

The Action directly produces research studies and provides a network of African CDI researcher.

The Action responds to the following specific elements of the GSPoA:

- 1.2 (b) conduct research appropriate for resource-poor settings and research on technologically appropriate products for addressing public health needs to combat diseases in developing countries
- 1.2 (c) Include research and development needs on health systems in a prioritized strategy
- 2.5 (b) Facilitate the dissemination and use of research and development outcomes.

- 6.2 (b) Promote operational research to maximize the appropriate use of new and existing products, including cost-effective and affordable products in high disease-burden settings

The research work on community-directed interventions will provide information that will improve the capacity of the communities in which the work is being done to address their health needs. The studies and information generated will also be shared from the outset with local health officials and ministry of health officials so that it can be taken into account for relevant policy decisions and for potentially expanding coverage. This will also serve to strengthen community-based, district-based and ministry of health-based management of healthcare delivery by institutions associated with the study.

Research results will also contribute to strengthening national health systems by improving district-based health service delivery at the interface between first-line health facilities, and communities at the periphery in poor urban areas and in remote rural areas of Africa.

***Links with Commission R&I strategy and other R&I support programmes (including RTD)***

The Communication from the European Commission on the EU role in Global Health<sup>59</sup> places strengthening of health systems at the centre of EU support to ensure that their main components – health workforce, access to medicines, infrastructure and logistics and decentralised management – are effective enough to deliver basic equitable and quality health care for all without discrimination. This action essentially financed research on health systems strengthening.

The link of this action to EU R&I is through the GSPoA on Public Health, Innovation and Intellectual Property, in the elaboration of which the EU participated through the World Health Assembly. The GSPoA was adopted by the World Health Assembly (WHA) in 2008 and GSPoA aims to improve treatment for poverty-related and neglected diseases that disproportionately affect developing countries. This would be done both by stimulating innovation to find new products to combat these diseases, and by improving availability, affordability, access and acceptability of existing products. This requires promoting new thinking on innovation and access to medicines and health care, as well as providing a medium-term framework for securing an enhanced and sustainable basis for needs driven essential health research and development relevant to diseases which disproportionately affect developing countries.

In line with these concerns, in 2008, the European Parliament created a preparatory action under budget line 21 05 01 07 (“Human development”) to support research and development on poverty-related, tropical and neglected diseases. For the first year of the preparatory action, the EU co-funded an action in partnership with the World Health Organisation and the Special Programme for Research and Training in Tropical Diseases (TDR) to identify the most pressing needs and to set priorities for developing countries in terms of R&D into poverty-related, tropical and neglected diseases (PP-AP/2008/160163). While the previous action was still ongoing when this one was formulated, this one builds on its preliminary findings regarding priority areas for research. It addresses specifically the issue of innovation for access, focusing on the region that faces the biggest challenges, namely Africa. It is complementary to the joint EU-WHO/TDR initiative funded under the second year of the preparatory action (2009), which focused on innovation for interventions through support to Regional Networks for Health Product R&D Innovation in Africa, Asia and Latin America (PP-AP/2009/220143). This financed the start-up of the Africa Network on Drugs and Diagnostics Interventions.

The Action focusing on combining GSPoA Element 2 – Promoting research and development and Element 6 – Improving delivery and access.

***Features: scale, funding source, geographical coverage, time period***

- Duration: 30 months.
- Finance: EUR 3 million by and WHO each.
- Project approach (joint management)
- Geographical coverage: Africa region.

***Relevance and added value of this programme for evaluation***

The European Union is a major actor in supporting developing countries’ efforts to attain the health-related MDGs, helping them to develop national health policies, improving national health systems and combating poverty-related, tropical and neglected diseases.

Thus, the added value of the proposed Action is a unique, under-investigated niche in health systems research, i.e., the potential impact into demand, utilisation, and quality of care of community-based interventions. This impact appropriately complements other interventions, by bringing a solution to their major implementation concerns.

<sup>59</sup> See COM(2010)128 final.

The action is unusually important because it addresses the need for operational research for health systems strengthening. It also addresses an area in which, through previous work, TDR has accumulate considerable on-the ground experience, with good potential for duplication and the transmission of lessons learned.

### **Sources of evidence available, their coverage and limitations**

Documentation available is relatively complete. In addition to a project document, there is a December 2013 Technical Progress Report and three monitoring reports on the randomised control trials being implemented. The references for related TDR work, informed by the research being done here, are

[http://www.who.int/tdr/research/malaria/management\\_childhood\\_illness/en/](http://www.who.int/tdr/research/malaria/management_childhood_illness/en/)

<http://www.who.int/tdr/news/2014/iccm/en/>

[http://www.who.int/tdr/news/2013/fever\\_management/en/](http://www.who.int/tdr/news/2013/fever_management/en/)

[http://www.who.int/tdr/research/malaria/rectal\\_artesunate/en/](http://www.who.int/tdr/research/malaria/rectal_artesunate/en/)

<http://ccmcentral.com/>

<http://www.who.int/tdr/publications/year/2013/fever-management/en/>

### **Potential for further research or cross-checking during field phase**

It is not clear that any of the countries where recent research was carried out will be visited in the field phase. Nonetheless, the heavy African research institute involvement, the centralisation of management at TDR, the recent vintage of the project (and relatively good documentation) and its heavy ties to other TDR activities may make this an attractive project to learn more about.

### **Key observations for JCs**

<b>Number</b>	<b>JC</b>	<b>Relevant observations</b>
11	Links with EC development objectives	This action is clearly very closely tied to EU development policy and health communications.
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	The action filled a gap identified by DEVCO in interviews – the dearth of applied (“operational”) research on health systems strengthening,
22	Increased focus of EU support on ‘capacity building’ and enhancing institutional sustainability	No judgment yet, but the product did pay quite a bit of attention to these.
24	Enhanced networking of developing countries’ researchers at regional and international level	Presumably good network ties were established among participating African institutions.
31	Appropriateness of the financing modalities and types of funding under different EU instruments and the way they have been applied for enhancing R&I	This would appear to have been a relatively expensive action, will be a good action from which to judge how well R&I performed by specialized UN agencies worked. Was it too expensive? How did WHO add value?
32	Strategic approach adopted to choosing different possible actors / channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities available	Same comment.
42	Degree to which DEVCO support addresses issues that could/would not have been better, or equally well, addressed through RTD and vice versa	DEVCO has expressed concern over a lack of interest in operational research at RTD. Yet, a review of RTD project titles from selected countries reveals many public health projects. The question arises whether this project could equally well, and effectively, been supported by RTD. Where was DEVCO’s value added. If RTD had finance, WHO Geneva would have been out of the picture.
43	Level at which DEVCO support has benefited from complementary action financed through RTD and vice versa	The prodoc refers to complementarities for FP 6 and FP7. It will be interesting to see if these were realised.
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead	This would be a good project for checking the extent to which research findings are likely to translate into actual practice.

<i>Number</i>	<i>JC</i>	<i>Relevant observations</i>
	through to research results being used in development processes	
52	Extent of internal lessons learning, sharing and uptake in the EU Institutions within the sectors supported in partner countries, and at international level	The EU finances a lot of budget support, with accompanying policy dialogue, on health in Africa. It will be interesting to see if community-based approaches are systematically built in
54	Development processes and outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks	Same comment.

### 3.A.11 Iss Andes (Strengthening pro-poor agricultural innovation for food security in the Andean Region)

#### Brief description of programme

##### **Purpose, objective, approach, actors**

Strengthening pro-poor agricultural innovation for food security in the Andean Region is a textbook example of pro-poor programming. The service contract for this EUR 5 million programme has been granted to the International Potato Centre (CIP) after a thorough Identification Mission, which identified needs, actors and approaches. The programme is known as IssAndes (Innovación para la Seguridad y Soberanía Alimentaria en los Andes).

The general objective of the programme is to contribute to improving food security conditions for the vulnerable rural population and poorest sectors in the Andean region, seeking to achieve the first Millennium Development Goal. Its specific objective is to strengthen pro-poor agricultural innovation for food security at different territorial levels (local, national and regional) within the Andean region that responds to the needs of the most vulnerable rural groups.

The project has focused on capacity building in specific prioritized zones of the Andean region. Sharing technological knowledge and experiences among the countries and coordination with other regions and research networks aimed to strengthen regional response. Activities have been organized at local level with the participation of stakeholders (public, private, NGO, social and producer organizations). Stakeholder platforms facilitate interaction, empower small producers and facilitate access to knowledge and technology to improve competitiveness. The platforms facilitate exchanges between territories with the similar contexts. Expected results are:

1. Participatory technological and institutional innovation processes promoted in each prioritized territory, in alliance with public and private actors and with potential for replication;
2. Innovation capacity of research and development partners strengthened through mechanisms of interaction, knowledge sharing and coordination at different territorial levels;
3. Scientific knowledge and information (methodological and technical) on prioritized themes generated, adapted and shared throughout the Andean region;
4. Public awareness raised and national and local policies influenced, so as to support pro-poor innovation for food security at the different territorial levels, taking advantage of project results and other experiences.

The programme is implemented in close collaboration with several public and private partners that have been identified prior to the start of the programme. Stakeholders on all levels and throughout the different countries are encouraged to learn from each other by sharing experiences. The project explicitly links innovation to food security. Innovations generated and implemented are: i) biogenetic innovations like bio-fortified crops high in Zn and Fe; ii) agricultural innovations like integrated pest management and precision irrigation; iii) institutional innovations like linking local programs, local seed production systems, local investment funds; and iv) commercial innovations like new sales channels and products. A cascading system of technical assistance has been developed around these four areas. The technical teams of the local organizations (NGOs, other local partners like local governments and local lead farmers) are trained, to be able to pass on this knowledge.

The action was part of the Food Security Thematic Programme 2007-2010 (Annual Action Programme 2010). An identification mission was part of the inception phase of the project. The identification mission identified three different potential contractors; the *Comunidad Andina*, *Gesellschaft für Internationale Zusammenarbeit* (GIZ) or CIP. The *Comunidad Andina* was found to have a weak profile in innovation. Also, previous experience of the EUD Lima in working with them was not encouraging. GIZ was found to be too broad in its approach and with relative high overhead costs. CIP was chosen because they had good multi-stakeholder networks throughout the region that could be mobilised for the purpose of the project.

The IssAndes project builds on a previous CIP project called *Papa Andina* and INCOPA, which was funded by the Swiss, a project that focused on the development of inclusive value chains for native potatoes, while the IssAndes project sought a more nutritional focus. The project aimed to address the fact that interventions to increase productivity or income do not necessarily achieve better results on family nutrition and health. It linked agriculture, health and nutrition approaches and has been able to share this approach with a wide variety of actors, both public and private and on local, national and regional level. It integrated technological, nutritional, commercial and institutional research and innovations and promoted collective actions and learning among multiple actors.

The programme is jointly managed through IFAD with CIP as implementing partner. Prior experience of CIP, its regional offices in Ecuador and the fact that the project builds on a previous project, *Papa Andina*, ensures the regional approach of the project. At regional level, regional and international sci-

entific organizations review and discuss the projects' institutional and scientific strategies and advise the project management unit. A liaison organization coordinates the activities of the national platforms in each country (Action Fiche).

According to the ROM, CIP's approach has a strong design (p. 4); an integral focus (strengthening production systems, improving access through higher income, education on nutrition, institutional capacity building etc.) as well as a facilitating focus linking strategic and regional partners (research institutions with NGOs) and local organizations like municipalities, schools and producers' organizations. (Action Fiche) CIP's strategic partners (Fundación para la Promoción e Investigación de Productos Andinos (PROINPA) and INNSAD in Bolivia, Instituto Nacional de Investigaciones Agropecuarias (INIAP), Escuela Superior Politécnica de Chimborazo (ESPOCH) in Ecuador and Instituto de Investigación Nutricional (IIN) in Peru) contribute knowledge and research experience. Their public character makes them also key in attaining political support and improving policy environment. The local organizations guarantee knowledgeable presence on the ground.

The strong design and strong partners has already had positive impact, linking the different levels and stakeholders with each other creating new transdisciplinary spaces where experiences are shared (ROM report, p. 8). Also, the ROM reports states that thanks to these strong partners, the programme has been capable of not only aligning but also finding synergy with and even contributed to the definition of national priorities

The effectiveness of the project is good. What is noticeable, especially compared to the Technology Transfer programme is that the major strength of this programme is its regional approach. Impact is good; diverse strategies have positive and lasting impact on availability, access and resilience of food systems. The most impact is reached though the linking of the potato, its nutritional value and health in communication and education.

### ***Findings from the field mission***

IssAndes is a good example of a project that integrated innovation at different levels in a regional and multi-stakeholder approach with a strong pro-poor focus. The EUD considers the project as being widely 'recognised as exceptionally successful'. The project has been able to improve food and nutrition security of more than 5,000 families in four countries, by developing and adapting technologies to improve production, storage and seed production of native potatoes and other innovations to improve diversity in diets, such as keeping of small livestock, horticulture and better dairy practices. 69 Varieties of potatoes were tested on local criteria (taste, ease in use, etc.) and nutritional value. The families themselves are now producing these varieties and their seeds. In Bolivia the project was able to also work together with rural schools, which helped to increase the reach of the project. These 'technological' innovations have been complemented with commercial innovations, e.g. branding native potatoes for their high contents of antioxidants and levels of vitamin C, thereby opening up market channels to the larger supermarkets in the four countries. An important part of the project has also been the capacity strengthening, not only of producers but also of parents and health staff in nutritional and health issues.

One of the key strengths of the project is the growing recognition of the need for a multi-sector and multi-actor approach in agricultural development to enhance the food and nutrition security of rural families. The project has created public-private partnerships with national and international organisations for innovation and nutrition security policies, including learning partnerships in Ecuador and Peru. In Peru there are now permanent multi-sector commissions that are involved in the development and implementation of laws on food and nutrition security (*Comisión Multisectorial para la Dieta Andina* and *Comisión Multisectorial de la Estrategia de Seguridad Alimentaria y Nutricional*). Interviews suggest that the project has also been able to strengthen regional networks and institutions to scale up approaches and results. This will contribute to the scaling up of the approach and results of the project, even though it is underlined that policy and social innovation that addresses institutional aspects are the most complex and face the biggest challenges to replicate and scale up in other regions.

Evidence suggests that there is a reasonably strong practice of learning, sharing and uptake of lessons from passed experiences within CIP. Lessons learnt from the IssAndes project and other projects have been systematised and been shared with DEVCO HQ and a wider public. Extra funding for visibility was provided to produce four communication products used at the European Month of Food security (story of the week, video, case study from Peru and a Brief).

### ***How does it support or promote R&I?***

See above.

### ***Links with Commission R&I strategy and other R&I support programmes (including RTD)***

CIP participated in a number of FP6 and FP7 research programmes: VALORAM - *Valorizing Andean microbial diversity through sustainable intensification of potato-based farming systems* and QBOL and

QDETECT - *Development of a new diagnostic tool using DNA barcoding to identify quarantine organisms in support of plant health.* VALORAM has received funding both under FP6 as FP7, allowing it to come very close to developmental outcomes. The IssAndes project has benefited indirectly from the RTD funded projects, contributing to the CIP knowledge and conservation of native potato varieties produced and consumed by the families targeted.

**Features: scale, funding source, geographical coverage, time period**

The programme ran for a total of 49 months, from December 2010 to April 2015 (extension). It was budgeted for a total of EUR 5.25 million of which EUR 5 million by EU DEVCO and EUR 0.25 million by CIP. The final total contribution of EU DEVCO has been EUR 4.9 million. The project suffered a delay of seven months in the beginning of the project due to administrative difficulties. The closure of the project was also delayed due to funding delays. It was outlined in the proposal that activities would start in the three poorest countries (Bolivia, Ecuador and Peru) and pilot actions in Venezuela and Colombia would start in the second year. Activities in Venezuela were cancelled due to the unstable political situation.

The project was part of the Food Security Thematic Programme Priority area 1: Supporting the delivery of international public goods contributing to food security through research and technology and was taken up in the Annual Action Programme 2010.

The project approach followed that of other contracts with CGIAR centres, namely through a contract through IFAD. The agreement with IFAD is considered an administrative necessity (ROM) by CIP and has led to funding delays at the beginning of the project and duplication of procedural efforts. The EUD in Lima was chosen to be the contact point for CIP as contractor. The contact with the EUD Lima was considered very positive. The EUD in Lima however, did not have the means to visit the projects in Bolivia, Ecuador and Colombia. The EUDs in those countries have had little to no interaction with the project.

CIP has 21 formal partners in three countries. The collaboration between the partners has been very good. The project contributed to CIP and other partner organisations' institutional processes, renewed focus, reflection on organisational culture, new methods and partnerships. The project is exploring innovative ways of financing Food and Nutrition Security activities e.g. mixed financing of local Food and Nutrition security initiatives under public responsibility adding funds from local, regional and central government and international cooperation (ROM report, p. 11).

The choice to not tender for this regional programme, but have an identification mission done, has allowed to take full advantage of the experience of the project IssAndes builds on, *Papa Andina*. The fact that it builds on a previous project, has contributed significantly to the success of the project. In projects like IssAndes that aim to influence national policy and implementation in four different countries, achieving impact takes longer than the normal four-year project cycle. Also, it has been a complex project with many partnerships. There was flexibility from the part of the EUD on how to implement the project - both scientifically and administratively, e.g. by providing space for 20 sub-contracts in the four countries.

It was not possible to fund the continuation of the IssAndes project. Opposed to what was mentioned in the identification mission, there has been no upscaling of this project or possibility to continue its funding under the same instrument. The large gap between funding possibilities (the project ended in 2014, opportunity for second call only in 2016/2017) has made it difficult to plan for continuity. It was mentioned that projects do not necessarily have to be long, but that there is a need for follow-up, sequenced projects. Medium to long-term commitment from a donor is considered very helpful. The lack of funding continuity risks the watering down of the institutional and policy innovation impact it has so carefully built up over the project period. It is noticeable that there is a change in perception on the continuity of the project, the EUD being more optimistic about the project continuing, while CIP stresses only parts of the project will be able to be continued with IFAD and EU funding.

**Sources of evidence available, their coverage and limitations**

- Action Fiche
- Inception Report Identification Mission, 2009
- Logframe
- Proposal submitted by CIP, 2010
- ROM report, 2013
- Babini, C. et al. (2015). *Informe final del proyecto Fortalecimiento de la innovación agrícola pro-pobre para la seguridad alimentaria en la region andina – IssAndes*. Lima: Centro Internacional de la Papa.



- Devaux, A., Flores, P., Velasco, C., Babini, C., Ordinola, M. (2015). *Innovation in Andean potato-based production systems to enhance agriculture and nutrition linkages*. IssAndes Project Brief. Lima: Centro Internacional de la Papa.

### Key observations for JCs

Number	JC	Relevant observations
11	Link between R&I activities and EU development objectives	Activities are explicitly linked to MDGs and are consistent with the food and nutrition security goals described in the Food Security Strategy Paper.
12	Extent to which R&I has informed sector policy dialogue and sector support at national and regional levels	In Peru, Ecuador and Bolivia, the project has targeted national nutritional education strategies for rural areas in the Andes. In Peru IssAndes had a very strong impact on policies of different ministries (Ministerio de Desarrollo e Inclusión Social (MIDIS), MINAGRI and MINAM). CIP also contributed elements of the new law and strategy on nutrition and food security and the law on family agriculture in Peru. CIP and partner organisations have worked together with the ministry on the implementation of the law. These laws are prepared together with permanent multi-stakeholder and multi-sectoral commissions with different ministries and stakeholders (organisations, public and private).
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	IssAndes has been capable of not only aligning but finding synergy with and contributing to the definition of national priorities.
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	The sustainability of the programme is difficult to attain due to lack of continuity in funding both from the CGIAR consortium as from EU. The EUD is more optimistic about the project continuing, while CIP stresses that only parts of the project will be able to be continued due to lack of funding continuity (the project ended in 2014, opportunity for second call only in 2016/2017). The lack of funding continuity risks the watering down of the institutional and policy innovation impact it has so carefully built up over the project period. Attention for capacity building in this programme is very strong; cascading system of TA on different areas of innovation and the creation of transdisciplinary spaces for shared experiences and collective learning. There is no evidence of an increased focus on capacity building and enhancing institutional sustainability.
24	Enhanced networking of developing countries' researchers at regional and international level	Regional platforms for exchange of experiences that were successfully created have a significant added value.
31	Appropriateness of the financing modalities and types of funding under different EU instruments and the way they have been applied for enhancing R&I	The choice for a regional programme with coordination from the EUD Lima has had a positive effect on the level of interaction that project representatives have with the EUD in Lima, compared to other national programmes. The EUD in Lima however, did not have the means to visit the projects in Bolivia, Ecuador and Colombia. The EUDs in those countries have had little to no interaction with the project.
32	Strategic approach adopted to choosing different possible actors / channels	CIP did not see any apparent added value in the contract going through IFAD. It felt as a duplication of bureaucratic efforts (ROM 2013). The approach of choosing CIP has turned out well. The selection of a contractor for the implementation of a food security programme in the Andean region was not done by call for proposals, but through an Identification Mission. CIP, <i>Comunidad Andina de Naciones</i> (CAN) and GIZ were considered. The choice of CIP with the IssAndes project was because they had very good networks (institutional anchoring both on national and regional level) and CIP was considered a solid organisation with big cost efficiency. From the side of CIP it was a very good opportunity to build on the work of the Papa Andina project, funded by the Swiss.
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development	<ul style="list-style-type: none"> <li>• Impact pathways in the IssAndes project are well defined in a multi-stakeholder process. The project is inclusive in design and implementation and shows a clear idea of the impact of new technologies on development processes and policy. The need for capacity building and enabling policies is taken into</li> </ul>

Number	JC	Relevant observations
	processes	<p>account both in design and implementation.</p> <ul style="list-style-type: none"> <li>• There is, however, little strategic thinking on how DEVCO can support the different phases of innovation impact pathways. Especially in projects like IssAndes that aim to influence national policy and implementation in four different countries, this takes longer than the normal four-year project cycle. The fact that it builds on a previous project, has contributed significantly to the success of the project. It was impossible for the EU to fund the continuation of the IssAndes project. This contributes to the lack of continuity of projects supported by the EU. Scaling up generally takes many more years than one project cycle allows for. As a result projects lower their ambitions for impact due to the shorter time horizons (and shorter periods of time available to prepare the proposals). Complex interventions with many partnerships become more difficult to plan for because of these shorter periods to prepare the proposals. Medium to long-term commitment from a donor is therefore considered very helpful.</li> <li>• There is little evidence that DEVCO has thought strategically about how they can support the strengthening of the national innovation system. Evidence suggests, however, that the IssAndes project has contributed significantly to the setting up and sustaining of multi-stakeholder and multi-sectoral commissions in policy processes around the axis of health, nutrition and rural development.</li> <li>• The project contributed to CIP and other partner organisations' institutional processes, renewed focus, reflection on organisational culture, new methods and partnerships.</li> </ul>
52	Extent of internal lessons learning, sharing and uptake in the EU Institutions within the sectors supported in partner countries, and at international level	<ul style="list-style-type: none"> <li>• CIP found the ROM mission in 2013 very useful, however they highlighted there were less technical monitoring missions.</li> <li>• Evidence suggests that there is a reasonably strong practice of learning, sharing and uptake of lessons from passed experiences within CIP. They have systematised lessons learned from EU funded and other projects and share these with DEVCO HQ and a wider public. There is no apparent systematisation and capitalisation of these experiences by the EUD. At the time the evaluation team extracted information from CRIS, there was no material archived from CIP itself, except the project proposal, even though CIP had produced a number of publications on the IssAndes project.</li> <li>• CIP has, however, been requested by EUD to provide technical assistance to a similar project in Costa Rica (PRICA, <i>Proceso Regional de Integración Cooperativa de las Américas</i>) that started two years later.</li> <li>• Extra funding for visibility was provided to produce four communication products used at the European Month of Food security (story of the week, video, case study from Peru and a Brief).</li> <li>• There was very little communication between the EUD Lima and DEVCO headquarter in Brussels. The people in Brussels did not know about the ROM mission.</li> <li>• The CIP Regional Director has invested a lot in personally communicating with DEVCO headquarters on what CIP is working on. This is based on personal initiative and there are no formal channels to streamline this communication.</li> </ul>
53	Extent of external lessons learning, sharing and uptake within the sectors supported in partner countries, and at international level	<ul style="list-style-type: none"> <li>• IssAndes has contributed to new/better spaces of dialogue between the health and rural development sectors and between organisations of the four different countries.</li> <li>• Evidence suggests that there is a reasonably strong practice of learning, sharing and uptake of lessons from passed experiences within CIP. CIP has published a number of different publications based on the IssAndes work.</li> <li>• Additional funding and close involvement of DEVCO HQ has facilitated the production of four communication products made for the European Month of Food Security.</li> </ul>
54	Development processes and	<ul style="list-style-type: none"> <li>• The programme has had impact on existing FSNA projects and</li> </ul>

Number	JC	Relevant observations
	outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks	<p>on institutional processes, in CIP and other partners (renewed focus, reflection on organisational culture, new methods and partnerships). Local ownership and institutional sustainability is present throughout the design and implementation. Programme has had regional added value.</p> <ul style="list-style-type: none"> <li>• IssAndes was recognised by the EUD as exceptionally successful and perceived as the only R&amp;I related project they were directly managing. IssAndes has been able to mobilise a wide array of stakeholders like farmer organisations, private and public actors. They were able to establish a strong regional network to share experiences on the nutritional, cultural and commercial value of the native potato, but also on methodologies (e.g. impact pathway methodology) and food security project management aspects. These regional networks were built on existing networks.</li> <li>• In Peru IssAndes had a very strong impact on policies of ministries (MIDIS, MINAGRI and MINAM). In Ecuador they had an impact at provincial and community level. In Peru, CIP has contributed elements of the new law and strategy on nutrition and food security and the law on family agriculture. Working together with the ministry on the implementation of the law. These laws are prepared together with permanent multi-stakeholder and multi-sectoral commissions with different ministries and stakeholders (organisations, public and private).</li> <li>• Nutritional education programmes have been developed and implemented in the four countries, reaching parents and staff from local institutions and health networks. A statistical model that assesses the relation among production, nutrition and socioeconomic variables has been developed that can support decision-making processes related to similar interventions. A guide with lessons and recommendations on gender issues in food security and nutrition interventions has been developed.</li> </ul>
61	Extent to which EU internal capacity to manage R&I support and conduct policy dialogue is in place at the levels required	<ul style="list-style-type: none"> <li>• There was good contact with EUD Lima for example in the design of the project - the identification mission. The EUD also showed flexibility on how to implement the project - both scientifically and administratively (e.g. space for 20 sub-contracts in the four countries). The two monitoring missions were perceived as useful for the team as well.</li> </ul>

### 3.A.12 SWITCH-Asia

#### Brief description of Programme

##### **Purpose, objective, approach, actors**

The SWITCH-Asia programme aims to introduce and establish sustainable production and consumption (SPC) practices in Asian economies. In this way, the SWITCH-Asia programme aspires to address the issue that despite the growing global importance of Asia for industrial manufacturing, worsening environmental degradation and increasing GHG emissions are threatening to undermine the benefits of this robust economic growth. Moreover, the scale and pace of environmental degradation and GHG emissions are becoming both a matter of significant concern both for the region as well as for the globe. The underlying rationale for the programme is to serve development and poverty-reduction policy objectives (as stipulated in DCI regulations) while ensuring that socio-economic development in Asia is environmentally and socially sustainable (as outlined in the Regional Strategy for Asia, *D-19803 Action Fiche* revised).

As one of the “seven key priority challenges of the EU Sustainable Development Strategy (EU SDS)” (*PS-138302.02*, p. 1), Sustainable Consumption and Production (SCP) may be a useful lever to bring about a shift in regional patterns of consumption and production without unduly compromising economic growth, poverty-reduction and, ultimately, well-being. By targeting relevant stakeholders – “SMEs, retailers, producer and consumer organisations, along with relevant public sector authorities” (*D-19803 Action Fiche* revised, p. 5) and by creating cooperative ties between stakeholders in Europe and Asia, the SWITCH-Asia programme set out to achieve five things (*D-19803 Action Fiche* revised, p. 5-6):

- Increase the application of “environmentally-friendly technologies and practices by SMEs;
- Promote a corresponding shift to the “consumption of products that are less environmentally damaging;
- Apply legal environmental and safety instruments;
- Develop and apply effective economic instruments;
- Improve formulation of policy and regulatory frameworks and implement mitigation of climate change.

The main focus is on Asian SME’s, but the programme also addresses the entire organisational ecology. In addition to SMEs, SWITCH Asia includes and addresses trade and consumer associations, policy-maker and regulators (predominantly at regional level, see RSA Evaluation), and CSOs and NGOs<sup>60</sup>.

The programme features three distinct but nonetheless interrelated components:

- Grant/cofinancing of projects: Since 2007, the programme has made available about EUR 50 million in calls for proposals for projects aimed at promoting SCP..
- Network Facility: operated by the *Wuppertal Institute* between 2008-2013 and the *GFA Consulting Group* from 2013-2017, the Network Facility fosters interaction between projects as well as manages the communication with relevant external stakeholders
- The *Policy Support Component (PSC)*: Launched in 2011/2012 (after the other two components), the PSC aims to support the development of a favourable policy environment to “contribute to the long-term sustainability of the actions on the ground” (*PS-138302.02*, p. 2)

A recent evaluation of the regional strategy for Asia (RSA 2013) found that while the Network Facility had greatly improved the visibility of the programme, it is the grant-funded projects that show most promise of meaningful impact. According to the evaluation two-thirds of the grant projects are expected to achieve their target in terms of small and medium enterprises (SMEs) applying SCP practices (RSA 2013, Vol. 1, p. 39). The PSC component, the evaluation contends, has had “modest” impact on national policy frameworks for SCP.

The grant-funded projects make up the heart -- not to mention account for the bulk of the spending -- of the SWITCH-Asia programme. These projects of the SWITCH-Asia programme pursue one or more of the following so-called SCP practices:

- Business and products for the poor;
- Cleaner production;
- Corporate social responsibility management;

<sup>60</sup> <http://www.switch-asia.eu>

- Creating demand for better products;
- Eco-labelling;
- Environmental management system;
- Industrial symbiosis;
- Product design for sustainability;
- Sustainable supply chain management<sup>61</sup>.

Grant projects are implemented by consortia which must include at least one European partner and at least one Asian partner. Consortia typically include several Asian partners; SMEs, research organisations or HEIs, branch organisations, local government, consumer groups and others.

Table 22 at the end of this profile shows the 43 projects conducted in the Asian countries selected for this evaluation (China, India, Philippines and Vietnam). The table suggests that all of these projects draw from a pool of similar methods and approaches. These include a range of capacity-building approaches, multiplier training (i.e. train-the-trainers), awareness events, organisational networking and linking activities as well as institution-building (i.e. the establishment, strengthening and support of associations and other intermediary organisations).

### **How does it support or promote R&I?**

The SWITCH-Asia programme supports R&I indirectly. By and large, mention of R&I in the programming documentation is conspicuous in its absence. Building R&I capacity is not an explicit goal in any of the programme documents. Moreover, neither the Action Fiche nor the Project Synopsis identifies R&I as a complementary sector or a cross-cutting issue (*PS-138302.02.*; *D-19803 Action Fiche revised*).

Yet despite the dearth of explicit references to R&Is, the SWITCH-Asia programme contributes to R&I capacity and particularly diffusion of innovation in Asia. The large majority of grant-funded projects are targeted at sustainable production practices (RSA 2013, vol. 1). It is precisely these projects that support sustainable innovation (and, to a lesser extent, research) in three interrelated ways.

First, and most directly, the SWITCH-Asia programme supports Asian SMEs in adopting and adapting clean and sustainable technology for sustainable production practices (SPP). Indeed, the only explicit use of the term “innovation” in the revised action fiche is in the description of a key theme for grant-financed projects. When aiming to increase the use of green technologies by Asian SMEs, proposals should help “[i]nduce technical innovations, if possible with indigenous or locally produced technology” (*D-19803 Action Fiche revised*, p. 6). This can take the form of adapting SCP-strategies “...mainly developed for and applied in the European context but with relevant elements that can be ‘translated’ to the Asian region” (*D-19803 Action Fiche revised*, p. 4). This comprises both the transfer of cleaner and sustainable technologies as well as the management practices, certification processes and audit methodologies that support these technologies.

Several projects in countries covered by the sample apply this approach to promote cleaner production practices. For example, the projects “*Electric Motor Systems Energy-Saving Challenge – Improving the Operating Efficiency of Chinese Electric Motor System*” (*China Motor Challenge*) (c-152738) and “*Increasing the Uptake of High Efficiency Motors (HEMs) and Drive Systems in Philippine Industries*” (c-334148) aim at introducing and promoting the development of high-efficiency electrical motor systems for industrial users in China and the Philippines respectively. At the sectoral level, the project “*Low Energy Housing in Sichuan and Shenzhen, China – Enable and Enforce Energy Efficient Building Construction*” (c-262965) looks to promote the construction of energy efficient residential buildings in China by promoting solar energy and other technologies.<sup>62</sup> This project also aims to generate and develop the materials, processes and skills required to mainstream Sustainable Production Practices (SPPs) into organisational routines by scaling up pilot public-private partnerships (c-262965 Description). Likewise, the “*Sustainable production through market penetration of closed loop technologies in the metal finishing industry*” (*ACIDLOOP*) (c-263160) project in India, targeting the metal finishing industry, sets out to introduce acid recovery technology and resource efficiency in production.<sup>63</sup> Here, the transfer of technology – organised in terms of constructing demonstration plants – was accompanied by extensive training and capacity building of Indian staff (c-263160 2nd interim report).

The second way via which SWITCH-Asia projects support sustainable innovation is by striving to generate a fertile environment for the innovation and application of clean technology in Asian markets. SWITCH-Asia projects aim at developing the tools and processes for creating functioning markets for

<sup>61</sup> <http://www.switch-asia.eu>

<sup>62</sup> <http://www.switch-asia.eu>

<sup>63</sup> <http://www.switch-asia.eu>

clean and sustainable technologies and their applications. These include the introduction of certification and environmental audit processes as well as effective eco-labelling.

The project *“Promotion and deployment of energy efficient air conditioners in ASEAN”* (c-291458) aims to promote the adoption of energy efficient air conditioning in all ASEAN countries (except Singapore). By targeting all stakeholders from the energy ministry over, regulatory bodies and testing laboratories right down to the air conditioning manufacturers, the project aims to harmonise testing methodologies and introduce so-called minimum energy performance standards (MEPS). Likewise, the *“Establishment of the ASEAN Energy Manager Accreditation Scheme”* (AEMAS) project, another ASEAN wide initiative, promotes the *ASEAN Energy Management Accreditation Scheme* in order to help reduce energy consumption in the ASEAN manufacturing sector.<sup>64</sup> At the national level, the project *Creating Green Philippines Islands of Sustainability (GPIoS)* (c-223411) aims to promote sustainable industrial development in two regions of the Philippines. Apart from awareness training and workshops, the project has set up and awards ECOSWITCH certification for participating companies (D-19803/c-223411 2<sup>nd</sup> interim report). The *“CAPACITY-Food Supply Chain”* project in China targets the SCP in the food industry in China. The project aims to certify 80 food SMEs in terms of an eco/sustainability label, encourage a voluntary audit programme for “evaluation against legal framework and Sustainability Conformity Model” as well as “Corporate Sustainability Reporting Scheme” (fact sheet).<sup>65</sup>

The third means by which SWITCH-Asia grant projects support innovation is by creating the organisational ecologies that can nurture and foster sustainable technological innovation. The project consortia themselves are networks between HEIs, ROs (research organisations), enterprises, intermediaries (i.e. associations) and policy-makers in both Asia and Europe. Moreover, institution-building and networking is part of the project activity for a number of multiplier-type grant projects.

An example of a multiplier grant project is *Mainstreaming Energy Efficiency through Business Innovation Support - Vietnam (MEET-BIS Vietnam)* (c-171201). This project aims to build capacity in Vietnamese “businesses and small industry networks, to develop sustainable supply chains that reach SME’s with innovative technologies and environmental knowledge” (c-171201 description). Similarly the *“Sustainable Product Innovation in Vietnam, Cambodia and Laos (SPIN-VCL)”* (c-202550) aims to assist 500 SMEs in developing business models based on Sustainable Product Innovation (SPI) in the targeted countries. A network of experts and organisations was created to provide assistance, analysis and advice to these SMEs. Significantly, this project envisages the implementation of a SPI training and research programme between HEIs in Europe and Asia (c-202550 description). Finally the *“Establishing a Sustainable Production System for Rattan Products in Cambodia, Laos, Vietnam”* (*Sustainable Rattan*) project sought to assist 40% of SMEs in the rattan supply chain in shifts towards cleaner production processes and technologies. A key element of the project’s strategy was to create business linkages along this (cleaner) supply chain.

It is important to note that these projects are merely illustrative of a range of projects depicted in Table 22 at the end of this profile. Moreover, while all of these projects are likely to engage in all three supporting activities (technology transfer, building fertile environments and growing organisational ecologies), some projects place more emphasis on one or the other aspect.

### **Links with Commission R&I strategy and other R&I support programmes (including RTD)**

The documentation provides no evidence of links with other R&I support programmes.

### **Features: scale, funding source, geographical coverage, time period**

The first phase of SWITCH-Asia, launched in 2007, was budgeted at EUR 150 million for the first phase (end 2013). At the time of writing, the SWITCH-Asia programme reports that the EU has funded EUR 144 million. By the end of 2013, the programme had funded 86 grant projects in 16 Asian countries. The projects last from two to four years at an average cost of about EUR 1.7 million<sup>66</sup>. The Network Facility ran in two phases: the first from 2008-2013 (at a cost of EUR 3.5 million) and the second, ongoing phase from 2013-2017 (RSA, vol. 1). The Policy Support Component, costing EUR 15 million in 2013, comprises a regional PSC programme (implemented by the United Nations Environment Programme) as well as national PSC programmes in Indonesia, Malaysia, the Philippines and Thailand (RSA 2013, Vol. 1). The national PSCs are managed by the relevant EUDs. According to the

<sup>64</sup> <http://www.switch-asia.eu>

<sup>65</sup> <http://www.switch-asia.eu>

<sup>66</sup> <http://www.switch-asia.eu/programme/facts-and-figures>

SWITCH-Asia website, two new national PSC's for Bangladesh and Sri Lanka are imminent<sup>67</sup>. SWITCH-Asia is financed by the DCI funding instrument (*D-19803* Action Fiche revised).

The SWITCH-Asia programme covers the countries in South, Southeast and East Asia. Most grant-funded projects are focused on one country or regions within that country (27 of the 43 or 63% in this country selection). Seven projects covered more than one country and two projects targeted all the ASEAN countries (without Singapore). As Table 22 shows, the projects usually target a specific sector or value chain. For the programme as a whole, the sector targeted most often is agricultural and wood processing (including wood, textiles, rattan, bamboo, leather, food and biomass): this sector accounted for about 40% of all grant-funded projects in 2013 (RSA 2013, Vol. 2). The electronics and electrical sector attracted nine projects (14%). Services rank last at 5% of projects. The RSA evaluation notes that cross-sectoral projects addressing the second strand described in the previous section account for 20% of the projects (RSA 2013, Vol. 2).

### **Relevance and added value of this programme for evaluation**

The SWITCH-Asia programme is relevant to this evaluation for two reasons. First, the programme covers a large and diverse sample of countries and regions. Second, and more importantly, the programme supports capacity-building for technological, managerial and social innovation. The institution- and network-building dimensions of the programme create the organisational pathways for knowledge generated in HEIs and ROs to make an impact on development processes. In this sense, this programme provides the link between programmes oriented towards HE or research (such as Erasmus Mundus or the Framework Programmes) and the practical application of this knowledge for sustainable growth and poverty-alleviation.

### **Sources of evidence available, their coverage and limitations**

- Programme documentation: the programme documentation (including action fiches, project descriptions, interim report, and monitoring reports) is reasonably complete.
- SWITCH-Asia website: the website provides a database on all projects including fact sheets for most projects. While informative, much of the more administrative and financial detail is unavailable.
- Regional Strategy Asia Evaluation 2013, Vol. 1 and 2: Evaluation Question 4 on environment provides a good overview over the achievements of the SWITCH-Asia programme. However, the evaluation does not address R&I capacities.

### **Key observations for JCs**

<b>Number</b>	<b>JC</b>	<b>Relevant Observations</b>
11	Link between R&I activities and EU development objectives	SWITCH-Asia pursues both environmental and poverty-reduction objectives through building innovation capacity and green innovation systems
12	Extent to which R&I has informed sector policy dialogue and sector support at national and regional levels	A number of SWITCH-Asia grant projects developed policy briefs to influence policy dialogue. For example the REDD+ (Reducing emissions from deforestation and forest degradation) project produced four policy briefs. However, the project brochures which were more typical outputs contained fewer policy messages (Vietnam CN).
21	Degree of alignment and coherence of EU DEVCO support to R&I with the relevant	Both at programmatic and at project level, SWITCH-Asia resonates with the economic and environmental policy goals of target countries, regional bodies (notably ASEAN) as well as international institutions. Government officials were present at networking events and Consultative Group meetings were held after networking events to discuss future plans (India CN).
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	The grant-funded projects engage in a wide range of capacity-building activities at different levels. A large number of grant projects include HEIs and/or research organisations as project partners. Knowledge exchanges between these and European partners have increased capacity as have project experiences with application of innovations. Examples were found of where strengthened staff had subsequently been headhunted or left to form their own companies. This has reduced the capacity enhancement for the HEI/RO but was valuable

<sup>67</sup> <http://www.switch-asia.eu/programme/facts-and-figures>

Number	JC	Relevant Observations
		<p>for the wider R&amp;I community (Vietnam CN).</p> <p>Cases were also found of where individual academics were engaged as freelancers due to contractual simplicity. This reduced the value for the respective HEI/RO especially where the academic was close to or already in retirement (Vietnam CN).</p> <p>Innovation capacity has also been built in SMEs, although the short nature of projects cannot guarantee that this capacity is retained (India CN)</p>
24	Enhanced networking of developing countries' researchers at regional and international level	<p>Grant projects have been highly valuable in helping HEIs/ROs develop connections to European R&amp;I organisations which they have then collaborated with in further projects. These include DEVCO projects and projects funded by other international and national organisations, though rarely RT (Vietnam CN)</p> <p>There have been mixed feelings concerning the usefulness of forums set up by the Network Facility. Some have found NF regional workshops to be useful events for spreading knowledge about their own projects and learning about others and for building networks that can be used in future projects (Vietnam CN, India CN). Others found them less useful, citing language issues as a hindrance (Vietnam CN). While clearly improving visibility the regional meetings did not necessarily increase the impact of a project (India CN). The NF's online forum was found by some to be useful but others have not prioritised it in their use of time (Vietnam CN).</p>
31	Appropriateness of the financing modalities and types of funding under different EU instruments and the way they have been applied for enhancing R&I	<p>The need for some matched funding favours HEIs in countries where they are strongly supported by core state funding. The model does not fit with SMEs if they need to find own financing. SMEs also find the paperwork involved somewhat burdensome. However this is much less of a problem in SWITCH than for FP7 and other RTD projects (Vietnam CN).</p> <p>Three years was considered by some to be too short a time to encourage a permanent adoption of innovative business models in SMEs (Vietnam CN).</p>
42	Degree to which DEVCO support addresses issues that could/would not have been better, or equally well, addressed through RTD and vice versa	<p>SWITCH grant projects have given opportunities for small research institutes and SMEs to engage and build their capacity. The same organisations would have much less opportunity for engaging in RTD research programmes, due to lack of European networks, limited high level academic standing at international level and a structure and format that does not necessarily comply with RTD standards (Vietnam CN).</p> <p>SWITCH has focussed on application of resource efficient and innovative technologies and practices. RTD programmes focus more upstream on development of concept and more basic research (India CN).</p>
43	Level at which DEVCO support has benefited from complementary action financed through RTD and vice versa	<p>There were very few examples of where findings from RTD research had been used to inform on the design of SWITCH projects. Neither has information exchange been strong in the other direction. In one telling example, not one of the people interviewed in Vietnam who were engaged in SWITCH Asia projects had heard of an FP7 project concerning collecting good practice examples from SWITCH projects in Vietnam.</p>
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	<p>The thinking behind the programme is to encourage initiatives in the hope of piloting and show casing innovative actions that can serve as an example in the hope that there will be assessed on their merits and widely taken up. To enhance the dissemination and scaling up, the programme invests in networking with policy makers and others and encourages communication actions by each project holder (India CN).</p> <p>SWITCH projects have had success in converting R&amp;I into real development value in the area of green growth. Key examples are the MEET-BIS and SPIN-VCL projects which assisted many companies in greener solutions and green products with a relatively high success rate. Success has been most significant and long term where the projects have assisted companies in saving money at the same time as greening their production (Vietnam CN).</p> <p>However, EU interventions could be better at encouraging this transformation from R&amp;I to business entrepreneurship. The interventions need to take more account of cultural differences.</p>



<i>Number</i>	<i>JC</i>	<i>Relevant Observations</i>
		Moreover three years was considered by some to be too short a time to encourage a permanent adoption of innovative business models (Vietnam CN).
52	Extent of internal lessons learning, sharing and uptake in the EU Institutions within the sectors supported in partner countries, and at international level	Documents analysed suggest that the shape of the SWITCH Asia programme emerged from lessons learned with previous programmes, such as Asia Pro Eco. SWITCH-Asia has a strong networking component though no evidence is found of internal lessons learning in EU institutions.
53	Extent of external lessons learning, sharing and uptake within the sectors supported in partner countries, and at international level	Evidence suggests that the SWITCH Asia programme set up and encouraged the learning and sharing of knowledge.
54	Development processes and outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks	Evaluation findings suggest that SWITCH-Asia projects have the potential to achieve their environmental goals which, in turn, are based on building and applying R&I capacity. There were several indications in both India and Vietnam that innovations introduced by projects were being built upon further by implementing partners once the SWITCH funding had come to an end.
63	Extent to which the EU facilitates R&I activities at all levels	The documents point to support for networking and dissemination through the SWITCH Asia Network Facility. Some found NF regional workshops to be useful events for spreading knowledge about their own projects and learning about others and for building networks that can be used in future projects (Vietnam CN, India CN). Others found them less useful, citing language issues as a hindrance (Vietnam CN). While clearly improving visibility the regional meetings did not necessarily increase the impact of a project (India CN). The NF's online forum was found by some to be useful but others have not prioritised it in their use of time (Vietnam CN).

Table 22 List of all SWITCH-Asia projects in the reporting period

Project	Country	Sector	SCP practice	Goals	Approach	Time-span	Budget (in EUR)
<b>Lead Elimination Project</b>	Bangladesh, China, India, Indonesia, Nepal, Philippines, Sri Lanka, Thailand	Chemical sector	Cleaner Production	Reduce decorative lead household paints;		12/2011-06/2015	1,798,563
<b>Eco-Jute</b>	Bangladesh, India	Textile and leather industry	Cleaner Production	Encourage supportive policies for the Jute industry; knowledge/experience sharing; raise consumer awareness	Business facilitation unit for sector-specific knowledge; Knowledge capture; stakeholder workshops; consumer campaigns; association for interest representations	48 months starting 2010	920,569
<b>AEMAS</b>	Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Thailand	Utilities sector	Product design for sustainability	Reduce energy consumption of manufacturing industrial sector in ASEAN; increase standing or ASEAN Energy Management Accreditation Scheme; train energy managers	Institution building; training and accreditation; certification	48 months starting 2010	2,152,057
<b>Efficient Air Conditioners</b>	Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Vietnam, Thailand	Electrical equipment industry	Eco-labels, Product design for sustainability	Increase market share of efficient AC; adoption of MEPS	Harmonisation of test methods (via EU-ASEAN initiative); national policies for MEPS; capacity -building for testing labs; increase consumer awareness	01/2013-12/2016	2,186,374
<b>Sustainable Rattan</b>	Cambodia, Laos, Vietnam	Wood-based industry	Cleaner Production, Product design for sustainability	Get 40% of targeted SMEs to adopt cleaner production practices (15% to providing sustainable products to European and other markets)	Training of multipliers; business links; certification; better legislation	36 month from 2009	2,417,694
<b>CAPACITY - Food Supply Chain</b>	China	Food and beverage	Creating Demand for Better Products, Eco-labels	Adoption of sustainable food production and consumption practices;	Eco-labelling; certification; voluntary auditing; SME partnerships with industry;	04/2013-03/2016	1,563,636
<b>Edible Bamboo Shoot</b>	China	Food and beverage	Corporate Social Responsibility (CSR) Management, Creating Demand for Bet-	Increase market for bamboo shoots for 300 SME by introducing resource efficient and less polluting food industry; "building green standardised production	Market survey; awareness raising events and workshops with consumers; capacity building with SMEs to apply green and clean technologies; developing standards	03/2013-02/2017	1,981,000

<i>Project</i>	<i>Country</i>	<i>Sector</i>	<i>SCP practice</i>	<i>Goals</i>	<i>Approach</i>	<i>Time-span</i>	<i>Budget (in EUR)</i>
			ter Products	value-added chain			
<b>EMAS Global China</b>	China	Electrical equipment industry	Environmental Management Systems	Encourage sustainable consumption and production patterns through EMAS	Train-the-trainers (500 Chinese consultants; verifiers); develop policy environment by harmonisation; awareness raising	03/2012-02/2016	1,234,299
<b>Industrial Symbiosis</b>	China	Chemical sector, Cross cutting issues	Industrial symbiosis	Create industrial symbiosis network; promote ISO 14.001; institutional and policy environment	Build industrial symbiosis network; train for and audit ISO 14.001; create industrial symbiosis network and training team	48 months starting march 2010	1,848,316
<b>Low Energy Housing</b>	China	Building materials industry	Cleaner Production, Environmental Management Systems	Increase use of sustainable resources in building sector; up-scaling pilot public-private partnerships;	Creation of stakeholder network; support material for SMEs and consumers associations and real estate developers; implementing projects	02/2012-01/2015	1,488,255
<b>Printing and Dyeing</b>	China	Textile and leather industry	Cleaner Production	Promote sustainable textile printing and dyeing among 350 SMEs; enabling policy environment; replication of experience	Model companies; leadership training (CSR, environmental management); coordination; stakeholder consultation	02/2013-01/2017	1,499,000
<b>REWIND</b>	China	Utilities sector	Cleaner Production	Develop recycling infrastructure for WEEE using post-consumer waste and secondary raw materials	Launch e-WTS and SMEP; train-the-trainer courses for e-WTS a SMEP; "advisory mission"	12/2011-07/2015	1,751,391
<b>SC in Urban China</b>	China	Cross cutting issues	Creating Demand for Better Products	Mainstream individual sustainable consumption	Business networks as a means of involving all stakeholders; stakeholder training; media activities to advertise benefits of sustainable consumption; target 1000-1500 SME suppliers and supermarkets to sign voluntary agreements	12/2011-11/2014	997,396
<b>SUPP-Urb China</b>	China	Wood-based industry, Machinery industry	Creating Demand for Better Products, Eco-labels	Apply sustainable public procurement standards in municipalities and then mainstream application in china;	Good practice network; screening framework conditions for SPP; implement SPP in three large cities; dissemination through china and Asia; policy dialogue	36 months starting December 2008	908,000
<b>SUS BIRD</b>	China		Creating Demand for Better Products	Improve sustainability of decoration and renovation practices; influence consumer choice towards sustainable products	Production information systems; set up Sustainable BIRD initiative; training courses; verification projects	48 months starting January 2010	2,122,828
<b>Train the Trainers</b>	China	Building materials industry	Cleaner Production, Creating	Promote sustainable production in Chinese construction industry;	Training to DMs In SMEs; promote European building standards and	48 months starting February	2,979,198

<i>Project</i>	<i>Country</i>	<i>Sector</i>	<i>SCP practice</i>	<i>Goals</i>	<i>Approach</i>	<i>Time-span</i>	<i>Budget (in EUR)</i>
		try, Wood-based industry	Demand for Better Products	communicate values of sustainable building to DMs and public	best practices policy inputs at all levels of governance	2009	
<b>VA3</b>	China	Cross cutting issues	Cleaner Production	Scale up SCP practices by facilitating voluntary PPPs	Public-Private Partnership PPP implementation manual; train the trainers; facilitation of signing PPPs; financial incentives and new financial instruments; research for China	01/2012-12/2015	1,942,233
<b>China Motor Challenge</b>	China	Fabricated metals industry, Machinery industry	Eco-labels, Product design for sustainability	Induce industrial users of electrical motors to switch to energy efficient systems		11/2008-11/2011	1,124,946
<b>ESEEC</b>	China	Electrical equipment industry, Machinery industry	Corporate Social Responsibility (CSR) Management, Environmental Management Systems	Promote sustainable production patterns in the electrical and electronics industry; increase awareness of 500 SMEs of eco-efficiency, OHS and CSR	SME training and awareness workshops; implement standards for eco, OHS, CSR; involve policy-makers and SMEs	02/2009-02/2013	2,599,087
<b>FEES</b>	China	Cross cutting issues	Cleaner Production	Improve access to green finance for CP and EE			
<b>Heat Pump Water Heater Challenge</b>	China	Machinery industry, Utilities sector	Cleaner Production, Creating Demand for Better Products	Promoting residential HPWH in southern China	Institution-building (EU-China association, intermediaries); consumer awareness; upgrade HPWH manufacture; develop labelling standard; policy framework	02/2103-01/2017	2,069,861
<b>Higher Efficiency of Transformers</b>	China	Fabricated metals industry, Machinery industry	Product design for sustainability, Sustainable Supply Chain Management	Increase use of higher efficiency transformers with power transmission utilities and energy-intensive industries	Create awareness among industrial ed-users; capacity building for energy managers and procurement officers; develop national standards; build local SME capacity for designing and building high efficiency transformers	36 months starting 2009	781,833
<b>Eco-Friendly Bamboo</b>	China	Wood-based industry	Business and products for the poor, Product design for sustainability, Sustainable Supply Chain Management				

<i>Project</i>	<i>Country</i>	<i>Sector</i>	<i>SCP practice</i>	<i>Goals</i>	<i>Approach</i>	<i>Time-span</i>	<i>Budget (in EUR)</i>
<b>Wood Processing and Trade</b>	China, India, Vietnam	Wood-based industry	Eco-labels, Sustainable Supply Chain Management	Promote sustainable production and consumption of forest resources; promote sustainable production techniques among SMEs; provision of certified forest produce	Awareness raising; training workshops; baseline study; communication for best practices; product labeling; trade and business links	36 months 2009-2011	2,497,373
<b>Green Retail</b>	India	Food and beverage	Creating Demand for Better Products, Sustainable Supply Chain Management	Sustainable practices and thinking in large retail chain; sustainable practices in supply chain; educating consumers;	Developing retail sustainability Business Models; Enable SME suppliers to adopt SCP practices in their business approach; links with European retailers; sensitize consumers; promote policy action	01/2013-08/2016	2,383,517
<b>MSME Clusters</b>	India	Cross cutting issues, Fabricated metals industry	Cleaner Production	Adoption of sustainable environment in foundry MSME cluster; institution-building; policy environment	Sustainable production through technical and non-technical measures; introduction of sustainability reporting; policy advocacy	05/2012-10/2015	2,070,491
<b>PRO-SUSTAIN</b>	India	Textile and leather industry	Creating Demand for Better Products	Create consumer market for fair-trade products; SPPs; develop retail channel, corporate procurement	Awareness raising; corporate procurement to fair trade; getting fair trade products into mainstream retail; commitments from government	01/2010-06/2013	1,040,076
<b>ACIDLOOP</b>	India	Fabricated metals industry	Cleaner Production	Introduce technology innovation for acid recovery and resource efficiency in metal finishing	Training workshops; consulting; demos; financial and policy support structures for SMEs; dissemination	02/2012-01/2016	2,395,070
<b>WEEE Recycle</b>	India	Electrical equipment industry, Utilities sector	Waste Management	Mainstream e-waste management; raise awareness for new technology; awareness for changes based on sustainability	Develop supportive regulatory framework; institution-building (informal sector associations); capacity-building; research and development on Green Products and Carbon Footprint; media presence	01/2010-12/2013	2,004,045
<b>Agribusiness Access to Finance</b>	India	Food and beverage	Creating Demand for Better Products	Adoption of sustainable practices by MSME's			
<b>SUSTEX</b>	India	Textile and leather industry	Business and products for the poor, Product design for sustainability				
<b>Hand-Woven Eco-Textiles</b>	Indonesia, Philippines	Textile and leather industry	Business and products for the	Promotion of SCP of hand-woven textiles; scaling practices;	Technical assistance to weavers and entrepreneurs for adopting stand-	02/2013-02/2017	1,999,973

<i>Project</i>	<i>Country</i>	<i>Sector</i>	<i>SCP practice</i>	<i>Goals</i>	<i>Approach</i>	<i>Time-span</i>	<i>Budget (in EUR)</i>
		dustry	poor, Sustainable Supply Chain Management		ards; technical assistance for entrepreneurs on production techniques; marketing training; support joint ventures; networking		
<b>GPIOS</b>	Philippines	Cross cutting issues	Corporate Social Responsibility (CSR) Management, Eco-labels	Promote environmental and sustainable industrial development by reducing pollution and increasing resource efficiency	Coaching for companies; knowledge transfer via workshops; capacity building programme to make companies clean up production; advance level courses	11/2009-11/2013	2,386,970
<b>SMART Cebu</b>	Philippines	Cross cutting issues, Wood-based industry		Help Cebu partners to switch to SPP; assistance to Cebu home and lifestyle sectors for SPP; development of eco-friendly product line to European eco-markets	Capacity strengthening; promotion of SPP and SCP; access to finance; awareness raising; dissemination of innovation; more efficient and SCP production	02/2010-02/2013	1,223,482
<b>Zero Carbon Resorts - ZCR</b>	Philippines	Service industry	Product design for sustainability	Enable SMEs in tourism to provide services in energy efficient, sustainable and cost-effective way;	Reduce (simple measures to improve energy performance), replace (investment in new, more efficient equipment), redesign (new zero carbon resort); training and coaching of local engineers, builders, designers and SMEs; embedding results into regional legislation	48 months starting November 2009	2,108,859
<b>High Efficiency Motors</b>	Philippines	Electrical equipment industry	Cleaner Production	Increase energy efficiency of electricity-intensive industry	Promote deployment of high efficiency electrical motors		
<b>ZCR for Sustainable Tourism</b>	Philippines, Thailand	Service industry	Product design for sustainability, Eco-labels	Promote sustainable development in tourism sector by focusing on reduction of resources and CO2 reduction	Demonstration of green tourism		
<b>CSR Vietnam</b>	Vietnam	Textile and leather industry	Corporate Social Responsibility (CSR) Management	Improve environmental and social performance of SMEs through better understanding of environmental and social standards	Education of 17 national CSR experts; multi-stakeholder discussion forum on ISO26000; networking and linking event	02/2009-04/2013	2,014,334
<b>Get Green</b>	Vietnam	Cross cutting issues	Creating Demand for Better Products	Increase sustainable consumption practices by general public	Capacity-building of consumer organisations and government	04/2012-03/2015	1,368,070
<b>SUPA</b>	Vietnam	Food and	Sustainable	Sustainable pangasius supply	Defining model farm; capacity build-	04/2013-03/2017	2,372,437

<i>Project</i>	<i>Country</i>	<i>Sector</i>	<i>SCP practice</i>	<i>Goals</i>	<i>Approach</i>	<i>Time-span</i>	<i>Budget (in EUR)</i>
		beverage	Supply Chain Management	chain;	ing; study tours;		
<b>MEET-BIS Vietnam</b>	Vietnam	Machinery industry	Environmental Management Systems	Reduce energy and water consumption of urban SMEs	Provide access to affordable clean energy and water products through "scalable, commercially viable business innovation packages"	48 months starting April 2009	1,943,419
<b>SPIN-VCL</b>	Vietnam, Laos, Cambodia	Textile and leather industry	Product design for sustainability	Implement SPI in 500 SMEs countries in 5 most relevant industrial sectors	SPIN toolkit development; train-the-trainers workshop; skill training for SME; SPI Networks	48 months starting April 2010	2,854,782

Source: SWITCH Asia Website, <http://www.switch-asia.eu>

### 3.A.13 Technology Transfer for Food Security

#### Brief description of Programme

##### **Purpose, objective, approach, actors**

Technology Transfer for Food Security in Asia (TTFSA) is a regional programme programmed by DEVCO and implemented through a Call for Proposals. The overall objective of the Programme is to contribute to improving the food security and nutrition of the poorest and most vulnerable in South and South-East Asia.

The Programme has the following specific objective: to improve the food security and nutrition of smallholder households by introducing and facilitating the adoption of productive and environmentally sustainable agricultural technologies which improve beneficiaries' livelihoods; to contribute to creating and/or improving market linkages to improve food and nutritional security of both rural producers and urban consumers in South and South East Asia.

##### Expected results and main activities

The overall results of the programme will be:

1. Productivity of beneficiaries increased through improved access to profitable and environmentally sustainable technologies.
2. The food security and nutrition of rural and urban poor improved through market linkages for technology, inputs, services and produce.
3. Grass roots institutions for technology transfer and the marketing of surplus production developed, nurtured and sustained.
4. Agricultural technologies, knowledge and best practices are widely shared among countries of South and South East Asia through stronger regional linkages.

The programme will use a two-pronged approach. This is reflected in the two main components of the programme, while the third component is meant to complement this two-pronged approach:

- Component 1: Sustainably raising agricultural productivity and promoting effective market linkages (linked to results 1-2-3). Activities for technology transfer, technology adaptation and sharing will focus on several different areas.(...) Activities will involve normally-excluded groups, who will be so brought into the mainstream of technology transfer.
- Component 2: South-South dialogue and intra-regional learning (linked to result 4). The second component will focus on strengthening South-South linkages within the region to improve access to technology.
- Component 3: Programme Support Activities. This component will complement the previous two, providing for effective information and visibility, training for the project applicants and appropriate support for the management of the programme.

##### Implementation

"Grants for Technology Transfer for Food Security projects will be managed by EU Delegations offices through the signature of grant contracts following a call for proposals launched at Headquarters. (...) A grant for this regional component focusing on strengthening South-South linkages within the region to improve access to technology will be managed by Headquarters following a call for proposals" (*D-21996 Action Fiche*).

Six projects were funded for the first component and one for the second component. The size of the projects for the first component was set at a minimum of EUR 1.5 million and a maximum of EUR 4 million. For the second component the amount of EUR 2.65 million was reserved in the budget. The maximum rate of co-financing is 90% for projects for the first component and 95% for the project for the second component. These rates are relatively high to be able to facilitate the participation of South Asian applicants (*D-21996 Action Fiche*). The CfP for Component 1 was prescriptive on thematic issues (four themes and three end results) and process issues (timeframe, multiple-country approach/regional cooperation, partnerships approach, target groups, four compulsory approaches) (MTE 2013).

All the actions are for three years and started between November 2011 and April 2012. The period of 36 months was specified in the CfP. The Component 1 actions vary widely in their approaches. Two (Institute of Plant Protection and Croix Rouge Française) are highly focused on technology, and on moving it to new locations; three (ANADYA, STEP-UP and CBT) are typical food security / poverty reduction projects; and one (Agriculture and Nutrition Extension Project, ANEP) takes a strongly market-oriented approach (MTE 2013)



The MTE found that there was no strong regional or programme synergy between the projects. The Component 2 was not able to deliver the expected South-South dialogue and network facilitation. Component 1 actions were not informed about the facilitation activities of SATNET and the timeframe to strengthening dialogue and networking was too short to be relevant.

On overall efficiency of the programme, the MTE states:

- In general the TTFSA has not developed into the kind of programme that was expected. It supports a range of actions which of themselves satisfactorily meet the criteria of the call, but which do so without generating synergy. This may be because the call (and activities leading up to it) failed to identify a sufficiently specific regional problem, and thus became rather generic. That being the case, it is easy to understand why the anticipated level of South-South linkages has not developed.
- As free-standing projects, there are some that work well under the multi-country approach and others that would have been equally or more successful as single country projects. There is no particular need to formally coordinate these projects. SATNET should therefore concentrate more on identifying and developing a realistic longer-term role for itself, and deprioritize its involvement with Component 1 actions (MTE 2013).

Task Managers of the projects consider the duration of projects to be too short (three years) for complicated projects, especially when targeting vulnerable groups that can be more cautious and risk averse to adopting innovative technologies. The MTE points out that assumptions were made about partnerships between CGIAR centres and national research centres, thus strengthening networks of NARS. In the final projects these partnerships appear to have been in most cases very weak.

The existing regional network of national agricultural research institutions, the Asia Pacific Association of Agricultural Research Institutions (APAARI), which could have been contracted for the Component 2 action was considered to be insufficiently involved in development and lacking capacity to undertake that role - "the risk of nurturing an existing demand-driven network was replaced by the risk of creating a supply-driven one" (MTE 2013, p. 85). Instead of a service contract with this organization, a call for proposals was made. The Economic and Social Commission for Asia and the Pacific (ESCAP) was awarded the grant for SATNET Asia.

ESCAP has delegated the different activities of the component 2 action to several partners, e.g. Centre for the Alleviation of Poverty through Sustainable Agriculture (CAPSA). CAPSA is responsible for the establishment of the Network and the coordination of political and institutional dialogue. Stakeholder participation like farmer's grass-root organizations, local NGOs and public extension services in the project seems insufficient (SATNET Monitoring Report 2013). According to the 2013 Midterm evaluation SATNET was not able to forge interaction between the component 1 projects nor managed to create a fertile network of institutions involved in technology transfer (MTE 2013). The Monitoring Report recommends analysing and disseminating experiences from the component 1 activities, while the midterm evaluation recommends to 'deprioritize' this task.

#### ***How does it support or promote R&I?***

See above.

#### ***Links with Commission R&I strategy and other R&I support programmes (including RTD)***

"The Commission has a major research linkage with India and also the SEA-EU-NET<sup>68</sup> project supported by EU Framework Programme 7 to foster linkages between advanced institutions in Europe and ASEAN. These programmes have agricultural biotechnology as part of their activities. However, the results are unlikely to be of immediate value to the current programme as the research results have not yet been adapted to on-farm conditions." (D-21996 Action Fiche, p. 3)

Nevertheless the ToR for the Identification Mission (IM) of the TTFSA assert that "the Research and Technology Component of the FSTP can assist the developing countries in Asia with building partnerships between science institutions, governments and private sector, including smallholder farmers, in order to maximise direct and indirect impact on food security. In particular the funds allocated for Asia in 2010 could support technology transfer from agricultural research institutions to poor farmers (possibly via farmers' associations)."

The Regional Programme for Asia also had an MIP for 2007-10, valued at EUR 400 million, of which 52% was allocated to Priority 2: Policy and Know-how based Cooperation. This is the instrument that has supported the SWITCH Asia, FLEGT and Erasmus Mundus programmes, among others. A programme such as TTFSA complements this priority area (MTE 2013).

<sup>68</sup> <http://www.sea-eu.net/>

**Features: scale, funding source, geographical coverage, time period**

"The TTFSA is funded under Specific Priority 1 (SP1) of the 2007-2010 multi-annual indicative programme (MIP) of the Food Security Thematic Programme (FSTP). SP1 operates at global and continental/regional levels with a 2007-2010 budget of EUR 75 million for the latter. Of this EUR 20 million (subsequently increased to EUR 22 million) was allocated for use by the Asia Region under the 2010 Annual Action Plan" (MTE 2013, p. 73). The programme is funded through the FSTP, but managed by the Asia directorate.

A Call for Proposals for the two components was held in 2011. All the actions had a planned duration of 36 months (as specified in the CfP) and started between November 2011 and April 2012. It is expected that many of the projects will need an extension of this period, because they are struggling with the limited timeframe.

The budget in is as follows:

Table 23 TTFSA budget components

Category breakdown	Contribution (in million EUR)		
	EU	Grantees	Total
1. Grants			
1.1. Call for Proposals (Component 1)	19.00	2.11	21.22
1.2. Call for Proposals (Component 2)	2.65	0.14	2.79
2. Services			
2.1. Support services (Component 3)	0.35		0.35
<b>Total</b>	<b>22.00</b>	<b>2.25</b>	<b>24.25</b>

Source: D-21996 Action Fiche

A project under the name Technology Transfer for Food Security in South East Asia was also funded in 2009, but under a different decision, D-21078 'Support measures for Food Security for the FSTP 2009'. The project ended in 2010. The contractor was HTSPE Limited and the contracted amount was EUR 0.1 million.

**Relevance and added value of this programme for evaluation**

Program had several design and implementation difficulties. Interesting to study to what has been learned from the experiences of this program.

One of the projects works together with WorldFish (ANEP, Bangladesh and Nepal).

**Sources of evidence available, their coverage and limitations**

An important document for the evaluation is the Action Fiche of D-21996, which clearly spells out the main purpose and objective of the programme and how this is to be achieved with the various interventions. The MTE and monitoring reports are important sources, key findings on implementation progress and include many lessons learned.

- Description of the Action Network for Knowledge Transfer on Sustainable Agricultural Technologies and Improved Market Linkages in South and Southeast Asia (SATNET Asia) c-261086, D-21996
- Interim Report for year 1 of SATNET Asia project c-261086
- Monitoring report (2013) c-261086, D-21996
- Action Fiche Technology Transfer for Food Security in Asia D-21996
- MTE 2013 D-21996
- ToR for the Identification Mission (IM) of the Technology Transfer for Food Security in Asia
- Action Fiche support measures D-21078
- Evaluation of proposals for the 2010 CfP for components 1 and 2 of the Technology Transfer Programmes (2011) c-254052
- ANEP Interim Narrative Report (2012) c-261122
- Description and 1<sup>st</sup> and 2<sup>nd</sup> Interim Narrative Report (2011 and 2014) for the Institute of Plant Protection of the Chinese Academy for Agricultural Science, c-261127.
- Description, monitoring report (2013) and ROM background conclusion sheet for the 'Intra-regional transfer of biologically based plant protection technology to improve the livelihoods of smallholder maize farmers in the greater Mekong sub-region', c-261127.

**Key observations for JCs**

<b>Number</b>	<b>JC</b>	<b>Relevant observations</b>
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	For the SATNET/component 2 action: insufficient alignment with regional priorities
24	Enhanced networking of developing countries' researchers at regional and international level	Purpose of component 2 action, but problematic due to supply-led project design
32	Strategic approach adopted to choosing different possible actors / channels	Choice to create organization for component 2 action instead of more time in identification mission and work with existing regional network organization (APAARI)
44	Extent to which different mechanisms to promote PCD (ex-ante impact assessments, inter-service consultation, etc.) have been deployed and acted-upon	First Quality control of the Call for Proposals pointed out many essential flaws in design that have not been adequately addressed. Second Quality control has accepted follow-up on recommendations too easily like CfP for the component 2 action and multi-country approach-criteria as 'solution' for the regional aspect of the programme. Examples of supply-led, blue print, lack of multi-stakeholder approach etc. (SATNET and IPP, ANEP positive)
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	The Institute of Plant Protection project lacks clear impact pathway; technology focused with little experience in social and economic sustainability. ANEP project developed many links with diverse actors in local and regional private sector, even establishing trade relations (seed) between Bangladesh and Nepal.
53	Extent of external lessons learning, sharing and uptake within the sectors supported in partner countries, and at international level	The activities developed by SATNET do not appear to be inclusive and capable to interest regional stakeholders.
54	Development processes and outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks	In the action fiche the target group is described much more precisely than in the CfP. Target groups and the level of impact vary between projects. MTE is pessimistic about projects contributing to programme objective of creating South-South networks etc. Overall program lacks in regional value added, in design and implementation.
61	Extent to which EU internal capacity to manage R&I support and conduct policy dialogue is in place at the levels required	Coordination and experience sharing between delegations (who coordinate the different projects) is lacking
63	Extent to which the EU facilitates R&I activities at all levels	Skewed distribution of projects (commitment and targeted households mainly in Bangladesh, Laos and Cambodia) could be linked to larger capacity to react to /know of CfP.

### 3.B Global case studies

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### 3.B.1 CGIAR

#### Brief description of Case Study

##### **Purpose, objective, approach, actors**

The CGIAR is the main international supplier of global public goods in the area of agricultural research and innovation. Hence, the long track record of DEVCO in funding the CGIAR. Already, between 2002 and 2005 DEVCO funded 140 CGIAR-led research projects globally, amounting to a sum of EUR 84 million (c-148750, description of the action 2008-2010, p. 3). In terms of funding, CGIAR is by far the main partner of DEVCO in agricultural research for development (AR4D); over the period 2001-2010, on average the European Commission contributed about USD 31 million per year. This is not just the case for DEVCO; the top ten donors of the CGIAR for this period include UK, Switzerland, Netherlands and Germany. (CGIAR at 40: institutional evolution, 2012).

The specific purpose of the DEVCO support to the CGIAR is to create and deliver public goods in the area of agricultural research and innovation and to promote access to and uptake of these public goods by relevant stakeholders, such as smallholder farmers or national and regional decision makers.

DEVCO specified the expectations from its support to the CGIAR as follows (Description of the Action 2008-2010 (c-148750):

1. The delivery of pro-poor scientific, technological and institutional innovations and policies;
2. The development/enhancement of pro-poor agricultural research and extension programmes, research capacity and institution building, responding to beneficiaries' needs and mobilising their resources;
3. More active participation of low-income smallholder farmers, many of whom are women, as main beneficiaries and actors in research/extension programmes, through new research governance arrangements, also taking into account remote, risk-prone and marginal areas;
4. Learning through exchange of information, experience and knowledge and through scientific and producer association networks and (multi-stakeholder platforms, with special attention to participatory and client-oriented approaches to foster collaborative innovation;
5. Improved complementarities and synergies with research programmes and activities financed through the 7th Framework Programme on research, technological development and dissemination (Description of the Action 2008-2010, p. 5)

Support to the CGIAR is a component of the *Food and Security Thematic Programme (FSTP)* of the EU. The FSTP stresses the need for greater and more coordinated investments in agricultural research and development at global, continental and national levels in order to contribute to achieving the Millennium Development Goals. The agricultural sector plays a crucial role in achieving these goals because of its important linkage with food security. The FSTP addresses agricultural research and development along two dimensions: (i) the global level, which includes support to the CGIAR and launching a Global call for Proposals for Agricultural Research for Development (GPARD); and (ii) the continental sub-regional level in Africa, Asia, Central and South America.

At an early stage of this evaluation, it was suggested that the evaluation should look at WorldFish and the Climate Change, Agriculture and Food Security (CCAFS) Programmes as case studies. However, no recent evaluations were available for WorldFish. For CCAFS one review from 2013 covering the first two years (2011-2012) was available. This review focused on the evaluation of processes and tools like monitoring and evaluation tools, the progress of the CGIAR reform process and the role of EU funding within a CRP. The findings from this review have been used throughout this profile. There was no material in the review on the actual research results or impact of the programme, partly because of the focus of the review, partly because of the relatively early stage of the programme. Therefore, to get an impression of the projects supported by the EU, this case study is based on the material gathered during the field missions in Burkina Faso, Kenya, Peru and Ethiopia. Findings from these field missions have been complemented by other material available through CRIS, mainly the projects in field mission countries discussed in the 2011 'Practical Application of CGIAR research results by smallholder farmers' study<sup>69</sup> and the 2012 IFAD/EU review of EU-funded projects<sup>70</sup>.

<sup>69</sup> Margiotta, M. et.al., 2011. Practical Application of CGIAR research results by smallholder farmers. In this case study referred to as 2011 review or Practical application, 2011.

<sup>70</sup> 2012 Review of EU-funded CGIAR projects. Synthesis report (May 2013). In this review a sample of 13 projects, implemented by 10 different CGIAR-centres were reviewed.

### **How does DEVCO support to CGIAR contribute to R&I for development?**

The CGIAR started out as an informal platform of the major international agricultural research centres and donors to dialogue about research priorities and investment options. This platform or partnership was called the Consultative Group of International Agricultural Research Centres. It has retained this acronym, though it no longer refers to the old meaning. There are now 15 CGIAR Centres around the world – see table below. Many CGIAR centres also have regional offices in other countries, for example ILRI in Ethiopia or CIFOR in Peru. Historically, the focus of CGIAR research has been on the technical aspects of agricultural production. The CGIAR centres were the driving force behind the so-called Green Revolution in Asia. Through their breeding programmes the CGIAR centres managed to provide new varieties that were crucial to improving yields of many staple crops, mainly rice and wheat. During its 40 year trajectory, the approach of the CGIAR has gradually been expanded beyond the technical to include research on natural resource management and policy and institutional constraints to agricultural development and poverty reduction. And effectively so: a in-depth study into the evidence on impacts of all CGIAR research published for the period 2000 to 2010 suggested that “CGIAR research contributions in crop genetic improvement, pest management, natural resources management, and policy research have, in the aggregate, yielded strongly positive impacts relative to investment, and appear likely to continue to do so.”<sup>71</sup>

**Table 24** List of CGIAR centres

<b>CGIAR centre</b>	<b>Location</b>
Africa Rice Center (AfricaRice)	Benin
International Water Management Institute (IWMI)	Sri Lanka
International Crops Research Institute for the Semi-Arid Tropics (ICRISAT)	India
International Food Policy Research Institute (IFPRI)	USA
International Center for Tropical Agriculture (CIAT)	Colombia
World Fish Center	Malaysia
Center for International Forestry Research (CIFOR)	Indonesia
International Maize and Wheat Improvement Center (CIMMYT)	Mexico
International Institute for Tropical Agriculture (IITA)	Nigeria
World Agroforestry Center (ICRAF)	Kenya
International Livestock Research Institute (ILRI)	Kenya
International Center for Agricultural Research in the Dry Areas (ICARDA)	Lebanon (temp.)
Bioversity International	Italy
International Potato Center (CIP)	Peru
International Rice Research Institute (IRRI)	Philippines

Source: CGIAR Consortium web site and Renkow & Byerlee (2010)

A system-wide review in 2008 recognised these achievements of the CGIAR, but also warned against an overly fragmented research portfolio of some 3500 projects and a complicated governance structure where Centres were sometimes overlapping in mandate, competing for the same funding sources and donors were pursuing their own research priorities (Contribution Agreement 2014-2018, interviews CGIAR and GFAR). Following this review, an extensive series of governance reforms were decided upon and implemented since 2009. The aim of the reform is to increase the CGIAR’s strategic capacity to achieve development impact, i.e. to effectively address the global challenges of climate change, malnutrition and poverty, making CGIAR research more responsive to the needs of poor farmers and consumers. The latest modifications have been announced as recently as April 2015. The Mid-Term Review of the CGIAR reform formulates the key features of the reform as follows:

*“The key features of the reform are (i) the implementation of results-oriented research focused on issues of high relevance to achieving development impact; (ii) the creation of a research environment that attracts the best scientists; (iii) clarified accountabilities with distinct roles for ‘doers’ and ‘funders’; (iv) strengthened culture of partnership both within the CGIAR and between the CGIAR and external entities; and (v) reduced bureaucracy to achieve greater cost effectiveness”* (Mid-Term Review Panel of the CGIAR Reform, Final Report 2014, p. 5).

One important step in the reform was streamlining the hundreds of different CGIAR research projects in 16 CGIAR Research Programmes (CRPs). Another step was the creation of a dual governance

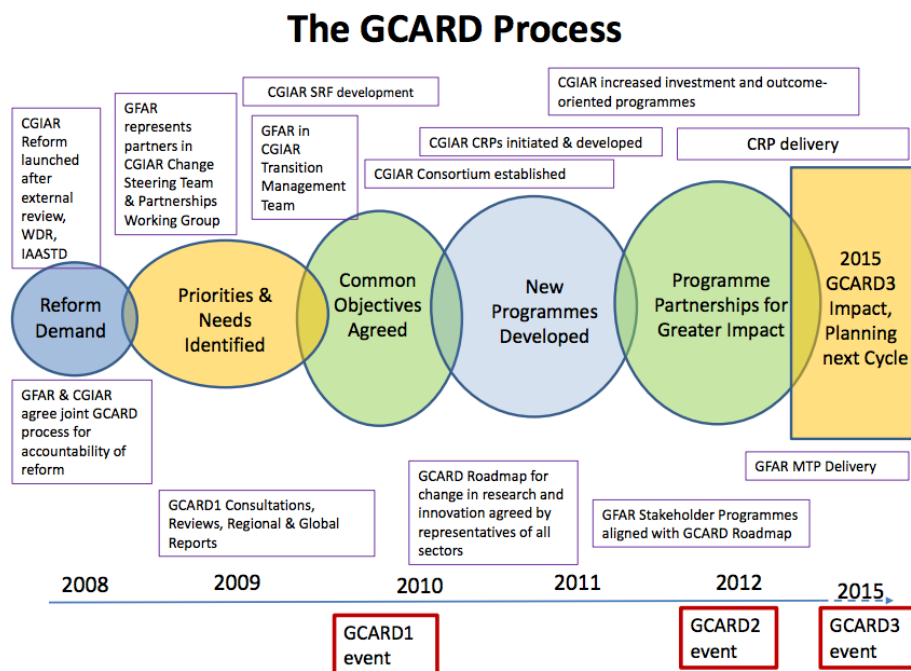
<sup>71</sup> Renkow, M., and Byerlee, D., 2010. The impacts of CGIAR research: A review of recent evidence. Food Policy

structure for the CGIAR, consisting of a CGIAR Fund to harmonize donor contributions and a CGIAR Consortium as a single legal entity with a chief executive officer and Board in charge of the CGIAR research programmes (CRP's). Between the two bodies one overall Strategy and Results Framework was agreed upon to guide CGIAR research. However, a governance mid-term review in 2014 prompted the CGIAR Fund Council during its meeting in April 2015 that the two bodies would merge into one single body, the CGIAR System Council. This reform should be finalized mid-2016 (Rijsberman, F. CGIAR's new strategy and research programs: Answering to poverty, health and climate change. June 16<sup>th</sup> 2015).

*DEVCO support:* Over the past decade, the European Commission and Member States, coordinating their agenda through EIARD (European Initiative for Agricultural Research for Development), have strongly supported<sup>72</sup>, if not pushed for the reform of the CGIAR and for the CGIAR to adopt its AR4D approach, with the aim of ensuring a more demand-driven research agenda, stronger collaboration with national research systems and in particular, more emphasis on innovation, that is, the uptake of research results in practice. This European thrust was fully in line with the main development objective behind DEVCO support to the CGIAR: to reduce food insecurity and poverty through pro-poor agricultural development and rural innovation by means of the delivery and uptake of global and regional public goods derived from agricultural research.

The EU action to support CGIAR reform helped ensure global system-level consultation and policy dialogue with stakeholders like farmers' organisations and partners such as the (sub) regional research organizations, through the biannual Global Conference on Agricultural Research for Development (GCARD). The first and second GCARD were organised by GFAR, which also receives financial support from DEVCO. These conferences were regarded as useful, but stakeholders still found national views on agricultural research for development did not receive enough attention. They recommended more attention be paid to partnerships with non-CGIAR research institutions, and agricultural development partners 'along the uptake pathway'. In the third GCARD therefore, these issues will be more explicitly addressed (Cooke, 2013 A review of the GCARD: An analysis of the way forward). For this purpose GCARD3 has been designed as a two-year global bottom-up consultation process that started at the end of 2014. Consultations continue on-line throughout 2015 and face-to-face events are organized at national, regional and global level. GFAR organizes the GCARD3 process jointly with the CGIAR Consortium.

Figure 1 Visualisation of the GCARD Process



Source: Holderness, M. 2014. 'Family Farming and the Global Conference on Agricultural Research for Development.'

<sup>72</sup> Contribution agreement 2014-2018, p. 7

The EU member states that fund CGIAR and the Commission occupy seven seats of a total of 25 (eight non-OECD countries, 11 OECD countries, three multi-lateral organisations and three Foundations) in the CGIAR Fund Council (EIARD strategy 2009-2013). Together with Norway and Switzerland they have formed the donor-platform European Initiative for Agricultural Research for Development (EIARD). The European Commission (DG RTD) hosts its Executive Secretariat. As a group, EIARD represents 45% of the total CGIAR budget. During EIARD meetings prior to Fund Council meetings, the group discusses its positions and agrees to a common position, which is presented in the Fund Council by the EIARD Executive Secretary. Interviewees (CGIAR, GFAR) confirm that the coordinated positions through EIARD combined with the weight of the European donor group within the Fund Council – five of the top ten donors of CGIAR over the period 2001-2010 are part of the group (CGIAR at 40) – has considerably strengthened the European voice in CGIAR governance. However, they also suggest a downside of this unified European voice, as the absence of diverse views from European donors may reduce the depth of the debates in the Fund Council.

#### *EU funded CGIAR projects in field mission countries*

The EU chose to support a number of CGIAR Research Programmes, Challenge Programmes or research projects that were part of a CGIAR Research Programme (see Table 25). Based on documentation from CRIS and interviews held during field missions, the evaluation team was able to review more in depth a number of CGIAR projects in Burkina Faso, Ethiopia, Kenya and Peru.

#### Burkina Faso

In 2011 the EU was funding 13 out of 50-60 CGIAR projects in Burkina Faso (Practical application, 2011). The information about EU-funded projects in the available documentation (contribution agreements, descriptions) is not specified per country, so it is difficult to assess the country-specific budget. Two of the EU-funded projects in Burkina Faso were selected for the review in the 2011 study. One project was too early in its project cycle to be extensively reviewed (ICRISAT 3), so only one was reviewed thoroughly (ICRISAT 1/ICR25). Both were implemented by the International Crops Research Institute for the Semi-Arid Tropics (ICRISAT), headquartered in Hyderabad, India.

ICRISAT 3: The project *Producing more and better food of the staple cereals and legumes through genetic improvement in West and Central Africa (case of Burkina Faso and Niger) and East and Southern Africa*. It is possibly funded under the 2011 contribution agreement, since the title does not appear in the 2008 or 2010 one. The project aims to strengthen National Agricultural Research Systems (NARS) in breeding, agronomic and processing practices of semi-arid staple crops. Regionally based institutional networks that integrate traditional crop breeding, biotechnology and farmer participation are to be developed to achieve this. Sorghum and pearl millet breeding programmes were launched. Key research partner in Burkina Faso is the *Institut de l'Environnement et de Recherches Agricoles* (INERA). As mentioned, this ICRISAT project (ICRISAT 3) was very young at the time of the review.

ICRISAT 1/ICR25: The project *Improving policies and facilitating institutional innovation, markets and impact to support the sustained reduction of poverty and hunger in the Semi-arid Tropics* (contribution agreement 2008-2010 (c-148759)) aims to improve policies that are beneficial for smallholder farmers and the practical application of research by developing and promoting strategies to:

- a) Enhance access to research,
- b) Enhance market access,
- c) Strengthen rural institutions,
- d) Analyse the effectiveness of rural and agricultural development strategies and
- e) Identify development pathways and policies that facilitate poverty reduction and livelihood protection.

Apart from field visits, the reviewer did a survey to assess the level of adoption of CGIAR research results by regional/continental research organisations in West Africa and the value perception of regional farmers' organisations of CGIAR research results.

Clearly, both projects are aligned with EU development objectives and its thrust to benefit the poorest and most vulnerable farmers in West Africa. Between them they address technical, institutional as well as policy constraints and aim at strengthening the national agricultural research system. The observations of the 2011 review of ICRISAT 1/ICR25 however, were the following:

- The adoption of new breeder or foundation seeds (dissemination of genetic resources) in Burkina Faso, the aim of *ICRISAT 1/ICR25*, was hindered through a number of factors that are comparable to other projects in other countries (Practical application of CGIAR research results by smallholder farmers, p.34). Most research projects lacked participation of farmers and farmers' organisations. Linkages with other key actors and processes are often weak and the key actors and institutions often lack capacity (extension services, certification processes,



NARS). Research is not responsive to farmers' needs and priorities (not aligned with national priorities, too linear in its approach). Communication, like information of research results, is poorly channelled to end-users, donors and other interested actors like NGOs, Regional Economic Communities (RECs) and Chambers of Agriculture. These hampering factors were also applicable to the ICRISAT project in Burkina Faso.

- The involvement of farmers in the research projects is low, similar to other countries in West Africa where projects were reviewed. National and regional research organisations in West Africa signalled that some CGIAR centres see national players as service providers and not so much as partners. Sometimes individual researchers were contracted instead of signing agreements with the organisations they work for (ibid, p.35).
- The availability of foundation and breeder seed is poor and when available, of poor quality. Scaling up the adoption rate of modern varieties in West Africa (Niger, Nigeria and Mali) lags behind according to a study conducted under ICRISAT1. Other projects did manage to develop a more pro-poor and inclusive approach improving the dissemination and adoption of genetic resources. This was the case in Tanzania (ICRISAT-4) where farmers' organisations and NARS participated in the selection of varieties, on-farm trials were done and linkages between research, extension and farmers were forged.
- In Burkina Faso, national research institutes and extension services do not have the capacity to test and disseminate research results to farmers due to low budgets and lack of equipment and weak capacity to coordinate field interventions (ibid). The '*Unité d'Appui Conseil*' is an EU-supported initiative to create a new extension service through a public-private partnership mentioned in the 2011 study.
- The information flow from CGIAR researchers to end-users is poor; research results are not easily available and often only in English. Difficult access to credit and availability of (affordable) nutrients are considered to be a major bottleneck for the adoption of new farming methods. Despite the good connection between ICRISAT and seed breeders, weak linkages between farmers and seed processors continue to be a problem (ibid).
- The 2011 study found that there were little immediate benefits for end-users on the policy aspect of the project. The main reason for this, the evaluation found, is that ICRISAT 1 policies were not requested by those RECs and regional farmers' organisations like the *Réseau des Organisations Paysannes et des Producteurs Agricole de l'Afrique de l'Ouest* (ROPPA) responsible for seed harmonisation, bio safety and seed system protocols. The practical application of policies by farmers' organisations was quite low both at national and regional level. The evaluation found that the CGIAR was not capable of connecting effectively to RECs like the Economic Community of West African States (ECOWAS) and the *Union Économique et Monétaire Ouest-Africaine* (UEMOA) and the *Comité Permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel* (CILSS) that could have been instrumental in scaling up the improved policies to a regional level and, with regional research organisations like *Conseil Ouest et Centre Africain pour la Recherche et le Développement Agricole*/West and Central African Council for Agricultural Research and Development (CORAF/WECARD) (Practical application, 2011).
- The RECs that were interviewed by the Practical Application reviewers said that project results from ICRISAT 1 were not strongly internalized by the units responsible for seed harmonisation, bio safety and seed system protocols. ICRISAT did forge close ties with FAO, seed breeders and the African Groundnut Council. Despite these close ties and most likely because of a lack of alignment with national priorities, little integration was found to exist between the ICRISAT project in Burkina Faso and the EU-funded FAO project on seed multiplication and distribution.
- Respondents in West Africa of the survey done by the Practical Application reviewers found that there was no formal platform for research exchange. An improvement was seen in the Innovation Platforms and also the Challenge Programme for Water and Food (CPWF) (EU funded, reviewed in 2012) where the International Water Management Institute (IWMI) shared a decade-worth of research results with partner organisations in Ghana and Burkina Faso. Also CORAF/WECARD and the International Food Policy Research Institute (IFPRI) collaborated to contribute to the formulation of the Comprehensive Africa Agriculture Development Program (CAADP).

The 2012 IFAD review does not present project outcomes of the IWMI/CPWF project specifically for Burkina Faso. The project that is implemented in Burkina Faso is part of the larger Challenge Programme for Water and Food and is called '*Integrated Management of Rainwater and Small Reservoirs*

for *Multiple Uses in the Volta River Basin*. It is funded under the 2010 contribution agreement (c-246357). The 2012 IFAD Review found:

- The project performed well on relevance, efficiency, effectiveness and potential for impact. Visibility of EU funding was less than satisfactory.
- The project could improve by building stronger partnerships with NGOs, NARS and private sector actors. These partnerships would improve project design and improve successful outcomes and impact.

For the IWMI/Challenge Programme for Water and Food, the 2012 IFAD review found the following:

- During the review, projects and monitoring frameworks were being re-organised to fit under the then new CGIAR Research Programs (CRPs). IWMI/CPWF was found to monitor its project successfully through their CRP. Logframes could be improved to make them more specific and time-bound. In 2012 IFAD introduced new procedures that will facilitate high quality logframes.
- Most centres are too optimistic in their research proposals, over-estimating the achievements the projects will have. Confusion about final versions of proposals and logframes should be avoided by informing staff on the ground better. Budget management by IWMI/CPWF was good.
- In general, the review found that only three of the ten reviewed CGIAR centres were able to implement all their activities as planned. Activities were postponed or cancelled because of the restructuring of CRPs, staff departures and seasonal factors, sometimes indirectly caused by contractual or funding delays. The IWMI/CPWF project had to delay and cancel certain activities due to these funding delays. An interviewee indicated that the delay and cancellation in funding damaged relationships with rural communities to such an extent that local researchers were not welcome anymore for other research commitments. There were some outputs, but the project was too early in its implementation to evaluate outputs. The project reports to be on schedule to deliver outcomes the coming years. The potential for outcomes was found to be good.
- The 2012/2013 Grant that would have funded the continuation of many of the IWMI/CPWF activities was cancelled at proposal stage (Andriess et al. 2013). Due to this cancellation IWMI/CPWF had to cut budgets and activities that were planned for and that project partners had signed agreements on. This had a negative impact on the results and developmental impacts, because activities were stopped beforehand.

A number of other points that came up in the final review of the IWMI/CPWF are to a certain extent exemplary for other CGIAR interventions. The first is that the weak institutional environment in Ghana and Burkina has limited the uptake of research results and the impact of the project. Another point that was raised in the final review is that the ambitions of the project were found to be too ambitious in relation to the relatively short period (three years) of the project. This is strongly related to the methodological choice of the project to hold stakeholder consultations on research needs and priorities and the tension between research guided by developmental impact and community-defined needs also pointed out in other reviews of CGIAR-projects. The monitoring and evaluation of these type of approaches, where planning is adapted to lessons learnt e.g. on community-level needs and capacities, also proves to be difficult. There is no evidence of capitalising on these experiences on DEVCO HQ or EUD level.

### Ethiopia

Two EU-funded CGIAR projects implemented in Ethiopia were also reviewed in the 2012 IFAD review. Both projects were implemented by CIMMYT. Information on both projects in the 2012 IFAD review is not extensive and does not give detailed evidence on results or outcomes. During the field visit to Ethiopia the evaluation team visited the regional office of the International Livestock Research Institute (ILRI). *Enhancing total farm productivity in smallholder conservation agriculture based systems in eastern Africa (CA systems)* aims to develop conservation agriculture 'hubs' of smallholder maize based systems to study livestock-crop interactions especially with respect to feed and forage supply. Expected outputs are described in the project description (CGIAR contribution agreement 2010):

- a) Analysis of bottlenecks and limitations of crop-livestock cereal-based farming system productivity in target areas in Eastern Africa and feasibility of actions to overcome these factors;
- b) Sustainable farming systems adapted to needs of farm families in target areas;
- c) Information to farmers, extension services and NGOs on the opportunities and benefits of incorporating agroforestry options into CA-based systems;
- d) Documented information on soil cover residues necessary under different agro-climatic conditions and different levels of biological activity;

- e) Information available on the opportunities for sustainably increasing whole-farm productivity based on CA-principles;
- f) Strengthened capacity of local partners to conduct participatory research and development on sustainable systems and catalysing the development of local innovation systems.

The project has a very forward-looking approach integrating multiple stakeholders such as extension services, NGOs and national agricultural research systems (NARS) into the local innovation systems and putting farmers in the lead in scaling out activities such as for example farmer-to-farmer exchanges. The project also aims to feed its results into the policy debate surrounding sustainable development in the target area (CGIAR contribution agreement 2010).

There is no project description available for the other CGIAR project reviewed: *Conservation Agriculture and Smallholder Farmers in Eastern and Southern Africa- Leveraging Institutional Innovations and Policies for Sustainable Intensification and Food Security* of which the 2012 IFAD review found the following:

- During the review, projects and monitoring frameworks were being re-organised to fit under the then new CGIAR Research Programs (CRPs). CIMMYT was found to monitor its projects inadequately. Logframes could be improved; they lack detail in describing impact, efficiency and effectiveness of the projects. Indicators are not systematic and 'have no comprehensive vision of the project logic'. In 2012 IFAD introduced new procedures that would presumably facilitate high quality logframes.
- On project implementation, the review finds that the CIMMYT projects had to delay and cancel certain activities due to funding delays.
- At the time of the review the CASFESA project had not delivered outputs yet and the CA systems' outputs had not been analysed yet.
- The projects performed well on relevance and effectiveness, while the CA systems project scored less on efficiency. This project was also found to underperform in the way it was integrated in the CRP, possibly being linked to the wrong one. According to the review team, in linking the project to a CRP the focus had been too much on what commodity the project worked on instead of the type of research the project was doing.
- Both projects lacked synergy and/or collective action and were not rated well in the production of international and regional public goods. Potential for impact and sustainability of the projects was satisfactory. Visibility of EU funding was satisfactory for the CASFESA project and highly unsatisfactory for the CA systems project.
- The IFAD review found the CA systems project to be 'a simple research project with no appreciation of the need to generate outcomes and impacts' and the CASFESA 'a development project with no research outputs'.
- It is remarkable the review did not find good cooperation with other organisations and institutions for the CA systems project, considering these have been explicitly mentioned in the project description and are said to be represented in the Steering Committee of the project.

During the field mission, the evaluation team visited the regional office of ILRI in Ethiopia. At the time of the visit the ILRI office in Addis had in their active portfolio some 17 different on-going projects with EU funding in Ethiopia with an estimated total EU input of EUR 8-9 million funds from DEVCO and a further EUR 1 million in FP7 projects from DG RTD. The evaluation team found that ILRI was conscious of a push from CGIAR donors (including the EU) to ensure that its work was better aligned with partners including African governments. The evaluation team found that ILRI sees its work in an integrated fashion seeking to achieve a good balance of research, development, innovation and extension.

### Kenya

Two CGIAR projects implemented in Kenya were reviewed in the study 'Practical application of CGIAR results by smallholder farmers' in 2011. Both projects were implemented by the World Agroforestry Centre (ICRAF). The two projects focus on sound management of genetic resources and policy improvement. ICRAF TM.2/TM.1 *Sound management of genetic resources of agro forestry (case of fodder shrubs for dairy production in Central Kenya and case of Allanblackia domestication for dietary oil in Northern Tanzania)* builds on an older project on Trees and Markets that was also co-funded by the EU. The objective of the overarching programme GRP1 is to 'increase access to improved germplasm of priority tree species and ensure better functioning of tree seed and seedling supply systems'. The ICRAF ES.4/ES.5 *Harmonizing policy for environmental stewardship and rural development (case of Pro Poor Rewards for Environmental Services in Africa (PRESA) in Kenya)* aims to develop policies and programmes on different levels (multi-lateral, regional and national) to better harmonize goals related to environmental stewardship and sustainable rural development.

The review finds the following:

- ICRAF's technology on fodder shrubs has reduced expenditure on dairy meal, improved milk yields, and created a market for fodder shrub seeds. This has improved household income from the sale of milk and *Allanblackia* seeds. (Practical application of CGIAR research results for smallholder farmers)
- ICRAF's research into genetic resources has consisted in the identification of fodder shrubs and trees through production and feeding trials and recommendations on how to integrate this in farming systems. The use of fodder shrubs has led to an increase in production of dairy farmers. Place et al. (2009 in Margiotta, 2011) found that over 15 years (1990-2005) the additional net income of 205,000 dairy farmers in Kenya that adopted the production of fodder was EUR 225/per year per household. Crop improvement through breeding was effective in the case of Kenya because the project worked together with farmers' organisations, fodder shrub is a short-rotation crop and the dairy markets to which the increase in production contributes, are ready and well known.
- A market in seeds of these trees has developed in Kenya. Tree seed collectors have organised themselves in an association (this was facilitated by another ICRAF project). Mostly NGOs purchase two tonnes of seed per year. These activities provide income for households, respect in the community and improve the ability to buy farm implements.
- ICRAF's research on policy improvements started in 2008, so it was too early to assess impacts on beneficiaries.
- Dissemination and adoption of genetic resources is facilitated by the participation of farmers and National Agricultural Research Systems (NARS), farmers' organisations, private seed companies and input providers. Participatory varietal selection and farmer-managed trials, as well as good linkages between the mentioned stakeholders are essential to select varieties apt for local situations and build capacity to systematically multiply seeds. More specific obstacles to dissemination and adoption of genetic resources in the case of Kenya are not mentioned, except for the limited capacity of the Kenya Forest Seed Centre to provide an adequate supply of seeds of fodder shrubs. This gap is filled by private seed collectors, as described above. (Practical application of CGIAR research results for smallholder farmers, 2011)

Kenya hosts two CGIAR Centres (the International Livestock Research Institute (ILRI) and the World Agroforestry Centre (former International Centre for Research in Agroforestry, ICRAF)). As part of the Climate Change, Agriculture, and Food Security Research Programme (CCAFS), ICRAF is working on projects in two sites; Nyando in western and Wote in eastern Kenya. CCAFS mobilises African experts to assist African climate negotiators to state their positions more effectively on the basis of scientific evidence. At ILRI, the CCAFS programme, in addition to engaging in research and contributing to policy dialogue, is working on-site with farmers to develop climate change adaptation measures. Through community participation, the programme is able to harvest local knowledge and share it throughout the region. The project 'Quantifying weather and climate impacts on health in developing countries' at ILRI, which studied the health consequences of climate change (specifically, impacts on Rift Valley Fever and malaria), developed a decision tree that was used to inform government climate change adaptation policy.

In general, the evaluation team found that the project modality with its three or four years is too short for some types of agricultural research that have longer cycles, for instance with cattle six to seven years are required to produce any real results. This pushes actors working in this area to look for opportunities to fund projects with two 4+3 year phases. Medium to long-term commitment from a donor is therefore considered very helpful.

### Peru

Two EU-funded CGIAR projects in Peru were reviewed for the study 'Practical application of CGIAR research results for smallholder farmers'. The project *Country Development Strategy* was implemented by the International Food Policy Research Institute (IFPRI). The IFPRI project aims to achieve better use of public resources for rural development through the mapping of micro-regions. A typology based on relevant criteria, such as population, topography, production, climate, value chains, aims to enable policy makers to design poverty reduction programmes that are adapted to micro-regional needs. For the IFPRI project, the study found little evidence of impact to end-users because local and national authorities had not adopted the project results. The gap between research and implementation of the policy research done by IFPRI can partly be explained by the fact that trained staff has left the Ministry (Practical application, 2011). The *Genetic resources conservation and characterization of roots and tubers* was implemented by the International Potato Centre (CIP). The project aims to characterize genetic germplasm and conserve potatoes, sweet potatoes and other tubers through modern technology. Other CIP-projects that strengthen value chains of local potatoes and bring together all

the relevant stakeholders (small farmers, NGOs, public organisations and industries) in innovation platforms enhance the impact of the genetic resources project. Examples of these other projects are the *IssAndes* project and the collaboration with ANDES and the communities in *Parque de la Papa*, projects that clearly build on the basis of the gene bank. For the Genetic resources Margiotta et al. (2011) found that:

- The project has developed an innovative pro-poor research approach to agricultural development over the last ten years mixing high technology Genoma banks (ex situ) with conservation of “native potatoes” (in situ) done by the farmers communities. They have contributed to restoring potato diversity and virus free local varieties in poor farmers’ communities, which has increased food security and income generation. The project improved the value of the local potato while preserving local traditions so empowering rural communities.
- The action research and innovation platform approach adopted by CIP has led to a good rate of adoption of new and virus-free varieties of local potatoes. National Agricultural Research Systems have gained knowledge on the conservation of roots and tubers through their participation in the platform.
- Interviews with researchers of the programme point out that the support to the Genetic Resources programme has contributed to improved yields and better resistant crops and has generated a benefit to poor farmers in Latin America, Asia and Africa of USD 192 million per year. One of the most important cultivars to ever come out of a CIP breeding program is the C88 potato, developed during the period of funding. Communities in Peru are now approaching CIP to get clean material instead of CIP needing to push varieties.

Several CGIAR centres are based in Lima, Peru and were visited during the field mission. CIP (the International Potato Centre, by its Spanish acronym) has its headquarters in Peru. The Centre for International Forestry Research (CIFOR), the International Centre for Tropical Agriculture (CIAT) and ICRAF all have regional offices in Lima. At the time of the visit the CIP office in Lima had one project with EU funding in their active portfolio (Expanding utilization of RTB and reducing their post-harvest losses, c-334896) and was negotiating three others; the FoodSTART project in Asia, the continuation of the *IssAndes* project (funded together with the *Comunidad Andina*) and a H2020 grant for a genetic resources project on Solanaceae crops. In the period between 2007 and 2013 CIP had three on-going projects with EU funding in Peru and the Andean region (*IssAndes* and two projects on Genetic resources under c-148759) with a total EU input of EUR 9.5 million funds from DEVCO and a further EUR 190,285 in FP7 projects from DG RTD.

The *IssAndes* project (See also case study *Strengthening pro poor agricultural innovation for food security in the Andean Region*) led by CIP was not funded through the EU-CGIAR contribution agreement via IFAD, but was part of part of the Food Security Thematic Programme 2007-2010 which called for a regional programme focused on innovative, pro-poor approaches to improve food and nutrition security in the Andean region. The project builds on a previous CIP project called *Papa Andina*, a project that focused on the development of inclusive value chains for native potatoes, while the *IssAndes* project sought a more nutritional focus. The project aimed to address the fact that interventions to increase productivity or income do not necessarily achieve better results on family nutrition and health. It linked agriculture, health and nutrition approaches and has been able to share this approach with a wide variety of actors, both public and private and on local, national and regional level. It integrated technological, nutritional, commercial and institutional research and innovations and promoted collective actions and learning among multiple actors.

## Box 2

*IssAndes, a successful example of pro poor innovation*

IssAndes is a good example of a project that integrated innovation at different levels in a regional and multi-stakeholder approach with a strong pro-poor focus. The project has been able to improve food and nutrition security of more than 5,000 poor rural families in the Andean region (Bolivia, Peru, Ecuador and Colombia). It has done so by working on a number of areas; facilitating technological and institutional innovation processes, strengthening the capacity to innovate of research and development partners, promoting more responsive research and innovation and influencing national and local policies.

Technologies to improve production, storage and seed production of native potatoes and other innovations to improve diversity in diets like keeping of small livestock, horticulture and better dairy practices were developed and adapted. 69 Varieties of potatoes were tested on local criteria (taste, ease in use, etc.) and nutritional value. The families themselves are now producing these varieties and their seeds. In Bolivia the project was able to also work together with rural schools, which helped to increase the reach of the project. These 'technological' innovations have been complemented with commercial innovations, e.g. branding native potatoes for their high contents of antioxidants and levels of vitamin C, thereby opening up market channels to the larger supermarkets in the four countries.

One of the key strengths of the project is the growing recognition of the need for a multi-sector and multi-actor approach in agricultural development to enhance the food and nutrition security of rural families, linking agricultural development to nutrition and health. Integrating objectives and nutritional indicators in food security initiatives is key to ensure that food security interventions have a positive impact on health and nutrition of families, especially women and children under three. An important part of the project has thus been the development of an educational programme on nutrition in the four countries, targeting parents, teachers and health staff in nutritional and health issues.

Interviews suggest that the project has also been able to strengthen regional networks and institutions to scale up approaches and results. It is underlined that policy and social innovations that address the institutional aspects are the most complex to develop and sustain and face the biggest challenges to replicate and scale up in other regions.

*Securing tenure rights for forest-dependent communities: a global comparative study of design and implementation of tenure reform* is implemented by CIFOR and funded under the contract agreement between EU and CGIAR that was signed in 2013 and covers the period 2014-2018. The project will run from 2014-2017. It is part of the CGIAR Research Programme Forests, Trees and Agroforestry (CRP 6). The project deals with the change in recognition of community land rights emerging in the 1990's - 2010's: forest tenure reform. The study is about how this reform is going on, where the trend on forest tenure reform comes from, on the implementation and on participatory prospective analysis (working on the key concept of security of land tenure). The program is in an early phase, but the process of forming the Advisory Committee in Peru is already bringing together many different actors: Regional governments, SERFOR, *Ministerio del Ambiente* (MINAM), *Ministerio de Agricultura* (MINAGRI), Procuraduría, the EUD and various NGOs and organisations. This is already having an impact by creating a space for dialogue on forest tenure. Regional and national governments are learning to enter in effective and inclusive dialogue with forest communities.

Interviewees at CIFOR mention the difficult balance between getting results out faster to reach impact like briefs and keeping up level of research with peer-reviewed journals. Sometimes you need to sacrifice the level of science (for example comparability) to reach an impact at a national level. The project works specifically on policy innovation and the approach includes multi-stakeholder dialogue, with national and local government agencies, NGOs and other organisations, including international organizations. The EUD is represented in the dialogue on tenure rights for forest-dependent communities (CIFOR).

At the time of the evaluation, the Lima office of ICRAF did not have any projects or programmes funded by EU DEVCO. The EU has been one of the funders of agroforestry tree domestication projects that ICRAF started in 1995. Many of the seeds now used in reforestation programmes come from these projects.

QBOL, QDETECT and VALORAM were three projects at CIP that were funded under FP7. The QBOL and QDETECT projects involved training of National Plant Protection Services (NPPO) and were much more technology oriented than the DEVCO funded projects. Different phases of VALORAM were funded through FP6 and FP7, so the project got close to development outcomes. It will also be submitted for Marie Curie programme (H2020 scholarship programme).

*Conclusion on EU funded CGIAR projects*

The evidence above suggests that CGIAR research projects supported by the European Commission (DEVCO) are well aligned with EU and R&I development objectives. The results achieved in terms of policy, research and innovation provide a diverse picture. The delivery of pro-poor scientific, technological and institutional innovations and policies shows a mixed picture, in part due to local and regional constraints such as weak national innovation systems. The development/enhancement of pro-poor agricultural research and extension programmes, research capacity and institution building has

been incorporated in some projects, but does not always respond to beneficiaries' needs. More active participation of smallholder farmers and their organizations and national research/extension programmes is not always achieved. In some projects specific activities have successfully stimulated the exchange of information, experience and knowledge. The use of participatory and value-chain-oriented or farmer-centred approaches to foster collaborative innovation has only been noticed in few cases, but evidence suggests that these sort of approaches are increasingly being used in CGIAR research. Where close integration with national research systems, participation of relevant stakeholders and synergy between different research projects is mentioned, outcomes seem to be more pronounced.

Field visits (Kenya, Ethiopia, Peru, Burkina Faso CNs) and recent information obtained on further reforms within the CGIAR Fund Council and from CRP programmes interviewed provided positive information on the effectiveness of EU directly funding CGIAR research Programmes. Multi-stakeholder partnerships, policy outreach and collaborating closely with national institutions, NGOs and farmer organizations now seem to be a central feature of most CRPs. Given that less than 20% of CRP funding reaches national collaborators, this feature does require further strengthening and improvement. However it lays an important foundation for achieving a sustained delivery of global and regional public R&I goods and sustainable development. In all cases however the limitations of project budgets, funding period and issues of continuity between funding periods were mentioned as handicaps.

### ***Links with Commission R&I strategy and other R&I support programmes***

#### *The CGIAR reform, towards more and better partnerships*

Understandably, the Commission (DEVCO) has invested significantly in the reform of the CGIAR in order to adjust its strategy and approach to the priorities adhered to by the Commission and other European CGIAR funders. The impact a more pro-poor and partnership-driven CGIAR may have on agricultural practice in developing countries is potentially huge. And, as it stands, the CGIAR is the one global supplier of research and innovation that may produce pro-poor outcomes and impact from research. It is also clear that it was a coordinated effort of European CGIAR donors to reform the CGIAR. The EIARD platform, hosted by the Commission DG RTD, was instrumental to this joined-up European approach. As part of the strategy, most European donors increased their funding for the CGIAR significantly. And the key features of the reform, as mentioned above, clearly reflect the European approach to agricultural research for development (AR4D). For example, the reform is meant to make CGIAR more responsive to, on the one hand, global development objectives and on the other hand to stakeholders in developing countries (NARs, private and public agricultural services, civil society organizations, farmers' organizations), through more and better research and innovation partnerships with these same stakeholders. Such CGIAR partnerships would, amongst other things, substantially increase the chances for synergies between different R&I support programmes. So far evidence of progress is limited to a number of cases, such as the Climate Change, Agriculture and Food Security Programme. This programme, built on its experience as a Challenge Programme, has its origins in a partnership with the Earth Systems Science Partnership (ESSP) and the level of participation by non-CGIAR institutions is exceptionally high. In overall CGIAR terms, no systematic increase of partnerships is evident; perhaps on the contrary, so far the financial participation of local partners has dropped below 20% in the CRPs, from above 30% in their predecessors, the CGIAR Challenge Programmes. It illustrates that the reform is long from being completed, a fact recognized by all involved (Interviews and field missions) and illustrated by the latest change in governance structure announced in April 2015. The Climate Change programme-review found the uncertainties resulting from the reform process to have affected morale across the CGIAR (CCAFS review, 2013. p.14). Clearly, a complex institutional reform, with so many 'sovereign' stakeholders on board, will take time, more time than has been available since 2011.

#### *Complementarity with RTD Framework Programmes*

It is repeatedly and explicitly mentioned in contribution agreements and annual action programmes that complementarities and synergies with research programmes funded through RTD's 7<sup>th</sup> Framework Programme must be sought. Some dialogue activities are directly focused on efforts to enhance complementarity and synergy, for example support to GFAR – facilitating multi-stakeholder consultation for CGIAR – and EIARD – coordinating European donor positions on AR4D. However, little attention is paid to achieving such complementarities and synergies in the studied documents. In the communication and decisions on FP7 and Horizon2020 no direct mention of CGIAR or CG centres is made. CGIAR centres received approximately EUR 5 million through Framework Programme 7 (workshop report November 2014). The work programme for the International Cooperation programme of the Framework Programme 7 is divided in themes. EU agricultural research programming, the so-called 'Theme 2', is on Food, Agriculture and Fisheries, and Biotechnology (FP7-FAFB). Topics in this work programme will sometimes coincide with topics CGIAR centres or programmes are working on.

In the 2010 work programme explicitly mentions CGIAR for one topic: “*Promoting global cooperation to facilitate and accelerate knowledge transfer on abiotic stress tolerance of plants.*” However, in the 2013 work programme the CGIAR is no longer explicitly mentioned.

Indeed, CGIAR Centres in Ethiopia, Kenya and Peru apply for and receive funding through FP7. Evidence from the field missions suggests that there is little to no strategic thought on how DEVCO and RTD funding of CGIAR research can complement or synergize. In a previous review it was already noted that the Delegations are not well informed about CGIAR research projects results (Practical application of CGIAR research results, 2011). CGIAR scientists at CIP, ILRI and ICRAF have been FP7 participants but this is separate from the funding they receive from Brussels through IFAD. Interviewees at CIP and ICRAF in Peru highlighted the difficulties of applying for the H2020 proposal procedure. It was considered especially problematic if the project involves working together with national partners. Also, it was found to be very difficult to interpret the priorities of the H2020 work programmes. The accompanying texts emphasise a lot the benefits to European agriculture, so for international research in developing countries it is difficult to connect the direct outcomes of the research to a more indirect benefit to European interests. ICRAF did not receive an invitation to an information meeting on H2020 organised by EUD and CONCYTEC, CIP did.

A few examples of synergy do emerge from the information available, but not on country level. First, the Platform for African-European partnership on Agricultural Research for Development (PAEPARD) was funded under FP6 and identified research priorities that were used to shape parts of FSTP and FP7 research agendas. Indirectly it has thus contributed to the research priorities guiding DEVCO's support to CGIAR. PAEPARD also contributed to strengthening the capacity of African researchers to bid for support from European research programmes and partnerships with CPRs and CG centres. The next expanded phase of PAEPARD is funded under FSTP (FSTP Thematic Strategy Paper 2010). Secondly, Joint Learning in Innovation Systems in African Agriculture (JOLISAA) is a project carried out in Benin, Kenya and South Africa between 2010 and 2013 by the Prolinnova (Promoting Local Innovation in ecologically oriented agriculture and natural resource management) network. The Prolinnova network works together with the CGIAR Systems research programmes and Climate Change, Agriculture and Food Security (CCAFS) programmes to integrate participatory farmer-led approaches in these programmes. JOLISAA is a project that has been funded through FP7. Prolinnova is also partly funded by DEVCO through its support to GFAR. Within the JOLISAA project African and European partners explored together with local smallholder farmers the question “How does innovation – i.e. doing new and better things – actually happen in African smallholder farming, and what conditions and policies are required to ensure its success?” (JOLISAA Policy Brief 2013)

**Features: scale, funding source, geographical coverage, time period**

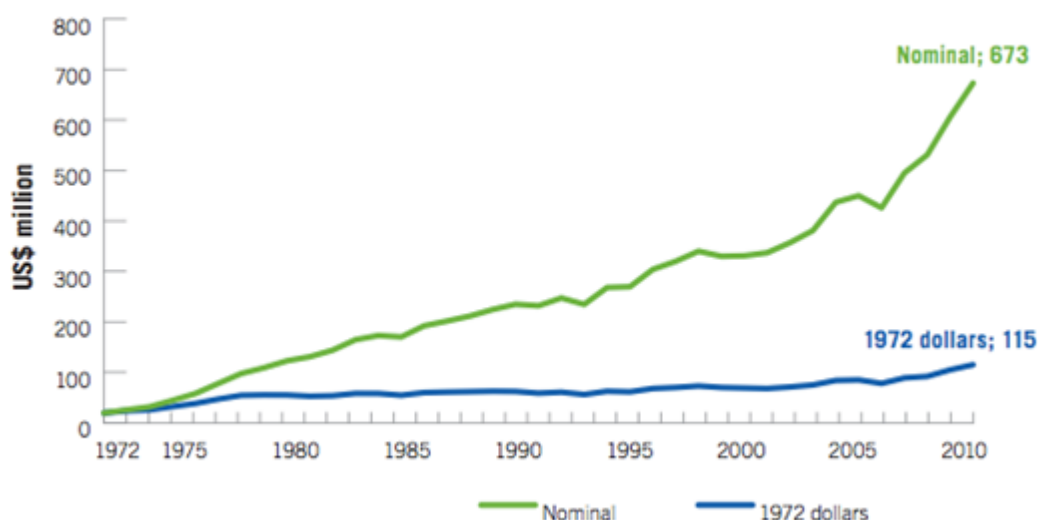
The EU is one of the CGIAR's largest donors, ranking fourth in the period of 1991 to 2010. The UK, Switzerland, Netherlands and Germany are the other European donors in the top ten of CGIAR funders during this period<sup>73</sup>. The following graph shows the steep increase in nominal funding during the evaluation period. Support to the CGIAR is a component of the Food and Security Thematic Programme (FSTP). The total financial allocation of FSTP for the period 2007-2010 is EUR 925 million, of which EUR 233.1 million are allocated to “Support the delivery of international public goods contributing to food security: research and technology”. This includes support on the global and the regional/continental level. 29% of the financial allocation to global and regional research goes to CGIAR.

CGIAR funding traceable in the inventory amounts to EUR 108.1 million during the evaluation period, about 7-8% of total research and innovation commitments for all four sectors covered in this evaluation and, close to 20% of total FSNA commitments. The commitment and implementation of four contracts in the inventory were contracted between 2000 and 2003 (well before the evaluation period), but were paid in 2009. These contracts amount to EUR 14.6 million. In the contribution agreements specifying the support to the CGIAR, the amount contracted is specified in more detail. Out of the three major contracts (2008, 2010 and 2013) the first two contracts also cover the contribution to GFAR (EUR 1.25 million in 2008 and EUR 1.1 million in 2010).

<sup>73</sup> The CGIAR at 40: Institutional Evolution, 2012



Figure 2 CGIAR total funding trend 1972-2010



Source: CGIAR at 40

The main EU funding support to CGIAR is organised through contribution agreements, channelled through IFAD and coordinated within the European Initiative for Agricultural Research for Development (EIARD). IFAD assisted in selecting, reviewing and approving project proposals, reviewing and approving reports submitted by the centres and monitor the projects during implementation.

Table 25 Contracts of EU funded CGIAR support

Contract No.	Short title	Period	Disbursements in 2007-2013 (in million EUR)	Number of projects*
c-148750	2008 contribution	2008-2010	67.4	35
c-246357	2010 contribution	2010-2013	17.5	12
c-334896	2013 contribution	2014-2018	8.8	17
D-14986 <sup>74</sup>	2000-2003 contribution	2000-2003	14.6	13 centres
c-252990	Practical Application of CGIAR results	2011	0.3	

\* According to contribution agreements. Source: R&I Inventory

In practice, CGIAR centres receive EU funding through multiple channels and from a wide variety of instruments including:

- *Channels*: funding through IFAD, regional organisations (e.g. SADC), multi-donor consortia
- *Instruments*: DCI, EDF (RIPs), Food Facility, FP7, etc.

The variety of these channels and instruments by which EU funds reach CGIAR centres creates complexity in their funding system which imposes overhead costs and creates risks that then have to be mitigated.

Legal reasons<sup>75</sup> are mentioned why the EU chooses not to channel its funding through the Fund Council in a multi-donor fund construction. Instead, EU support to CGIAR is implemented in joint management with IFAD by selectively supporting research projects and, post-reform, CRP components. This is done through Window 3 instead of through its most unrestricted windows 1 and 2. This form of more restricted funding allows for more control over and visibility of EU-funded projects. This is illustrated by the text accompanying project proposals in the description of the action of CGIAR support in

<sup>74</sup> This decision includes four contracts relevant for CGIAR. The general 2000-2003 CGIAR contribution, support to strategic agricultural research through the CGIAR from the 8<sup>th</sup> EDF intra-ACP funds and 8<sup>th</sup> EDF East Africa RIP. These contracts were contracted well before the evaluation period, but were paid in 2009.

<sup>75</sup> The World Bank administers the Fund Council as Trustee. Fiduciary responsibility is passed on from the World Bank to the Consortium after signing the contribution agreement between funder and Fund Council. The EU cannot sign an agreement if fiduciary responsibility is not with the first Trustee.

2008-2010. "CIP will direct the EU portion of the MTP<sup>76</sup> project investments into System priorities 2 and 5." In the Annual Action Programme for Support to International Agricultural Research for Development (2013, p. 9) it is also explicitly mentioned that this is a non-multi-donor action. A question, answered very differently by different stakeholders interviewed, is if and to which degree the decision to fund CGIAR through Window 3 has weakened or strengthened EU strategic support for implementing the reform of the CG. Or, if by funding through window 3 and influencing the Fund Council through the strong collective voice of EIARD, the EU is having best of both worlds (CGIAR, GFAR interviews).

At the beginning of the evaluation period the EU had its own monitoring and reporting system in place, whereby joint monitoring arrangements through EIARD were coordinated and contracted to the preferred institutes NATURA (Network of European Agricultural Universities related with Agricultural Development) and ECART (European Consortium for Agricultural Research in the Tropics) (Annual Action Programme for the support of Food Security 2008, p.14). After the reform and the creation of the Independent Evaluation Arrangement, where EU and IFAD contributed to the formulation of indicators and baseline guidance for reporting, the EU supports this monitoring, evaluation and reporting framework. Still, as long as EU funds through Window 3, an additional annual monitoring of CGIAR projects takes place. This monitoring has been used to draw lessons from in the funding strategy (Annual Action Programme in support of Food Security 2008, p.10). It is, however, not available through CRIS and there is little evidence of systematic sharing of lessons and experiences of CGIAR research.

The earmarking of funding geographically and thematically has led to extra transaction costs for Programmes and project, without apparent substantial impact on the programming directions of the Climate Change Programme (review CCAFS programme, p.17). Support to GFAR is also counted as support to CGIAR because the Commission uses this platform to improve its governance of its CGIAR investments. In 2013 this support was channelled through FAO.

### **Case study findings**

#### *CGIAR reform*

Since 2011, as part of the reform, all CGIAR research has been integrated in 16 Research Programmes (CRPs) many of which are, in effect, partially financed by the EU through its overall contribution agreement with CGIAR.

During this first programming cycle all CRPs started in 2011 or 2012 and most will terminate at the end of 2016. In principle, all CRPs are aligned with the CGIAR Strategy and Results Framework (SRF), approved by the Fund Council. This framework sets out how the CRPs will contribute to development objectives by means of four System-Level Outcomes (SLOs):

1. Less poverty,
2. Better food security,
3. Better nutrition and health, and
4. Sustainably managed resources.

During this first round after the reform however, the processes of developing the SRF and developing the CRPs were not fully synchronized. The CRPs were de-facto developed before the SRF was ready and approved (Strategy and Results Framework 2011, p. 4). The current CRPs are therefore seen as less strategically aligned with the SRF as they could have been. The impression emerging from the interviews is that during this first round already existing projects mostly have been bundled into new programmes without always achieving the greater coherence and interaction between projects that was intended (interviews CGIAR and GFAR). Also, while before the reform some 30% of CGIAR funding found its way to partner institutions in developing countries in the Challenge Programmes (the predecessors of the CRPs), this overall figure for CRPs is now estimated at less than 20% (CGIAR interviews).

Another important issue of the reform was the channelling of a greater proportion of the funding of the CRPs through the CGIAR Consortium (Windows 1 and 2). Contributions to Window 1 are the least restricted, leaving it to the Fund Council how these funds are allocated to CGIAR Research Programmes, used to pay system costs or otherwise applied to achieving the CGIAR mission. Contributions to Window 2 are designated by donors to specific CGIAR Research Programmes. Contributions to Window 3 are allocated by donors to specific CGIAR Centres. For all practical purposes, the difference between window 3 funding and bilateral funding seems negligible (Interviews CGIAR). Interviews suggests that the funding amounts channelled through Window 1 are diminishing.

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<sup>76</sup> Medium Term Plan

At present only 27% of CRP funding is channelled through these windows 1 and 2, providing the CGIAR Consortium with some flexibility to spend it according to SRF priorities. Still 63% is channelled through the more restrictive Window 3 and bilateral funding, where Donors and Centres decide bilaterally on which priorities to spend it (CGIAR interviews). This makes the Fund Council, represented by the Consortium Board, de facto a minority donor. During field missions it was noted that Window 1 funding through the CRPs were considered by the research leaders as ‘another donor’. One CGIAR research manager noted: “Funding from the consortium is not stable enough to plan”.

Even the EU, a strong supporter of the reform, so far does not channel most of its funding through Windows 1 and 2. In the view of most interviewees, the donors that stick to funding through Window 3 or otherwise fund bilaterally, seem to do so because they trust the delivery on specific development objectives by the CG Centres more than delivery by the Consortium. As a result, research programmes (CRPs) are currently run by several masters: on the one hand, the CRP manager/program director (the researcher leading the programme for the CG Consortium), and on the other, the CRP Host/Lead centre and other contributing CG Centres who receive the majority of the funding for their contributions to the programmes directly from bilateral donors. According to the various insiders the evaluation team interviewed this ambiguity in financing poses fierce challenges to the coherence, effectiveness and efficiency of CRP implementation. The administrative burden for researchers is felt to be high because of the different donor requirements. The Mid-Term Review Panel of the CGIAR Reform observes: “The Fund Council has not been able to resolve issues related to such rationalization, probably because each contributor is ‘sovereign’ and has its own priorities”.<sup>77</sup>

Another innovation due to the reform is that not all the CG Centres are Lead Centres of a CGIAR Research Programme (CRP), but all CG Centres are partners of one or more CRPs. Other institutions and organisations such as national agricultural research organisations (NARS), regional or sub-regional research organisations, local governments or civil society organisations can also be partners in the CRP. The Climate Change, Agriculture and Food Security programme has taken this possibility the furthest, with the programs’ coordination unit based partly at the University of Copenhagen and partly at the International Centre for Tropical Agriculture (CIAT) in Colombia and non-CGIAR institutions like Leeds, Vermont and Columbia University providing specific expertise and hosting Thematic Program Leaders (CCAFS review 2013<sup>78</sup>, p. iii).

In 2014 the CGIAR manages a portfolio of 16 global research programmes.

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<sup>77</sup> Final Report from the Mid-Term Review Panel of the CGIAR Reform, p. 9.

<sup>78</sup> Jobbins, G. and Pilot, D., 2013. Review of CGIAR Research Programme 7: Climate Change, Agriculture and Food Security.

Table 26 List of CRPs and Challenge Programmes (CPs) and EU funded projects within CRPs

Project funded by EU	Lead centre	No.	CRP or CP	Type of programme
	ICARDA	1.1	Integrated Agricultural Production <b>Systems</b> for the Poor and Vulnerable in <b>Dry Areas</b>	CRPs that deal with improving productivity, profitability, sustainability and resilience of entire farming systems
✓	IITA	1.2	<b>Humid Tropics</b> : Integrated agricultural systems for the humid tropics	
✓	WorldFish	1.3	Harnessing the development potential of <b>aquatic agricultural systems</b> for the poor and vulnerable	
✓	IFPRI	2	<b>Policies and institutions &amp; Markets</b> to strengthen Food Security for the Rural Poor	CRP that deals with improving policies and markets
	CIMMYT	3.1	<b>Wheat</b> - Global Alliance for Improving Food Security and the Livelihoods of the Resource-poor in the Developing World	CRPs that deal with improving yields and profits of crops, fish and livestock
	CIMMYT	3.2	<b>Maize</b> - Global Alliance for Improving Food Security and the Livelihoods of the Resource-poor in the Developing World	
✓	IRRI	3.3	Global <b>Rice</b> Science Partnership (GRiSP)	
✓	CIP	3.4	<b>Roots, Tubers and Bananas</b> for food security and income	
✓	ICRISAT	3.5	<b>Grain Legumes</b> for Health and Prosperity	
✓	ICARDA IICRISAT (lead)	3.6	<b>Dry land Cereals</b> Food Security, Better Health and Economic Growth for the Worlds' Most Vulnerable Poor	
	ILRI	3.7	<b>Livestock and Fish</b> : More meat, milk, and Fish for the poor	
✓	IFPRI	4	Agriculture for Improved Nutrition and Health	CRP that deals with improving nutrition and diets
✓	IWMI	5	Water, Land and Ecosystems	CRPs that deal with improving sustainability and environmental integrity and adapt to and mitigate climate change.
✓	CIFOR ICRAF (lead)	6	Forests, Trees and <b>Agroforestry</b> Livelihoods, Landscapes and Governance	
✓	CIAT	7	<b>Climate Change</b> , Agriculture and Food Security	
	System wide Programme	8	CRP for Managing and Sustaining Crop Collections	
✓	CIMMYT	9	Generation Challenge Programme	
✓	FARA	10	Sub-Saharan Africa Challenge Programme	

Source: Contribution Agreement 2014-2018

On June 15<sup>th</sup> 2015 a second call for pre-proposals for 'the next generation' of 13 CGIAR Research Programs was issued. It has been decided that for this 'next generation', the former 'Systems' programmes (Dryland systems, Humid Tropics and Aquatic Agricultural systems) have been integrated into eight 'agri-food system' programmes that focus on the main global food commodities (wheat, rice, maize, tubers, livestock, fish, dry land cereals & legumes and, agroforestry). Besides, five global integrating programmes deal with the crosscutting issues that are relevant to all these commodities (Gene Banks++, Climate change; Water, land, soil & ecosystems; Nutrition & health and, Policies, institutions & markets).

According to some interviewees from the CGIAR community, the integration of the former systems programmes into more commodity-oriented research programmes is viewed with concern. According to them the systems programmes more than others experimented with innovative approaches to multi-stakeholder participation and innovation, trying to develop a more integral approach to research and innovation within a particular 'agro-ecological' environment. It is feared that through the integration of the systems programmes in the commodity-programmes their experience with innovative and more interdisciplinary approaches (systems analysis, participatory research, innovation platforms, farmer-led research, etc.) might be lost or diluted.

### *Partnerships and capacity building*

Making the CGIAR engage in partnerships with regional and national research organizations, and its research more responsive to national and local needs through multi-stakeholder participation, has been a continuous struggle. This is in part, because traditionally this is not considered part of 'scientific research', but an element of capacity development or extension. With the newly emerging emphasis on innovation, research uptake and the requirement on the part of donors to show development impact, this is gradually changing. Incentives are, according to some interviewees, still skewed towards results identified by funders instead of national and local needs. One example is the limited mandate of CRP managers to allocate funding. The review of the Climate Change Programme reports as follows: 'However, for other CRPs, the governance structures in place reduce autonomy to pursue their objectives rather than the objectives of the hosting Centre'. But with the further implementation of the reform incentives are changing. The CRP Director of the Humid Tropics programme managed to secure structural funds for 2015 to allocate directly according to research priorities that were formulated together with stakeholders (interviews CGIAR and GFAR). The evidence from the country visits suggests that indeed, trends are changing but that there are still obstacles to fully involve partners (funding, administrative, cultural). ILRI in Kenya for example recognises the importance of working in partnerships but sees this as carrying a risk in terms of partners' ability to handle EU (and other donor) funding adequately according to financial rules – it therefore has to invest in mitigating measures to help partners meet requirements.

In view of the above, the EU has strongly supported the Innovation Platform (IP) or Integrated Agricultural Research for Development (IAR4D) approach. FARA has implemented the IP approach on a large scale in its Sub-Saharan Challenge Programme. The System programmes (Dryland Systems, Humid tropics and Aquatic Agricultural Systems) and the Climate Change, Agriculture and Food Security Programme are experimenting with IAR4D approaches such as farmer-led approaches to agricultural research and innovation (Leeuwis et.al. 2013). The 2011 study on Practical application of CGIAR research results by smallholder farmers (Margiotta, M. et.al., 2011)<sup>79</sup> (p. 6) has indicated that projects adopting IP of IAR4D approaches are more successful in building partnerships and achieve more impact on value chains at the local level. Evidence suggests that these approaches are slowly being adopted throughout the CGIAR system, but that there are still many difficulties in the design and implementation of the programme strategies to involve stakeholders sufficiently. This is acknowledged throughout the CG system, by GFAR and partners of CGIAR. There are still institutional barriers (culturally, financially) to address these issues (interviews CGIAR and GFAR).

The CRPs have to make explicit how the research contributes to impact on development outcomes in collaboration with research and development partners. The degree to which CRPs are shaping these partnerships; the nature of the partnerships and the amount of funding re-channelled to these partners, varies significantly between the different CRPs. For example, the Climate Change, Agriculture and Food Security (CCAFS) Programme for example, has around 700 partners and is known to channel a large part of its funding directly to them. The high level of participation of non-CGIAR research institutes is seen as partly due to its origins as a Challenge Programme, but also understood as a consequence of having to draw in other institutes outside the CGIAR system who have are more experienced in working on climate change. However, despite the emphasis the CCAFS programme places on partnerships, the seven sub-partner agreements in Ghana assessed by the 2013 review were all very limited in scope and with small budgets. The majority of the agreements were for periods less than five weeks and with a budget of USD 25,000 on average. The 2013 CCAFS review reports that the country coordinator in Ghana found the uncertainty; the ad-hoc character of the arrangements and the limited information on long term strategy frustrating. This finding is in line with the degree of CGIAR funding directly benefiting non-CGIAR institutions (mostly NARS), which is only 17%, significantly lower than it was under preceding CGIAR research programmes, the Global Challenge programmes (CGIAR and GFAR interviews).

Capacity building efforts tend, both at the institute and individual levels, to disproportionately benefit those whose capacity is already reasonably high. For example, in response to this problem ASARECA has adopted a form of "affirmative action" to ensure that weak countries like Benin and Burundi benefit from calls for proposals as well as the traditional strong performers such as Kenya (CN Kenya).

Another structural problem is that capacity at national level is severely skewed towards downstream implementation rather than upstream fundamental research. This is an unintended but unavoidable consequence of the increase emphasis on translating research results into tangible development impacts. "Hard" scientists are poorly equipped to communicate to Government why their work is im-

<sup>79</sup> This was a study commissioned by the EU (c-259990). 23 projects were reviewed during field missions.

portant and to justify the high infrastructure requirements and long-term time frame that are required (CN Kenya).

A challenge for sustainability is that there is virtually no donor support in the form of core funds. This weakens the institutions' ability to serve as global centres of excellence, to serve the needs of graduate students and visitors, etc. In the end, it is a major barrier to sustainability, as the institutional infrastructure necessary to support and solidify project results is not in place, as a result of which they depreciate (CN Kenya).

#### *Strategic thinking on support to CGIAR*

The CGIAR is the most important supplier of global public goods in agricultural research and innovation and the principal partner of the EU in its efforts to support agricultural research for development. In recent years, EU support to the CGIAR has been under a magnifying glass concerning its developmental impact. Key question for the EU is whether CGIAR is capable of going to 'the last inch' to reach smallholder farmers (Report of the Workshop 'Operationalising an EU Approach to Research and Innovation for Sustainable Agriculture and Food and Nutrition security: Drawing on lessons learned'. Brussels, 7 November 2014). The Commission and other European funders have insisted the CGIAR should invest in increasing and improving its multi-stakeholder partnerships with 'the full range of institutions whose contributions are needed to achieve large-scale impact' (Description of the action 2008-2010). It prompted several of the interviewees to ask 'How deep down the chain from international agricultural research to development impact' the Commission does the CGIAR want to reach?' It signals a key contentious issue in the relationship European donors have with the CGIAR. What is expected as outcomes from agricultural research? Is it 'making research results available to development actors', or is it making sure that 'development actors actually take up research results through innovation, or is it ensuring widespread adoption of innovations that demonstrably impact development? Is the latter something one may ask from research; can the impact of 'research' actually be traced so far down the chain? And should this type of 'downstream' partnerships not be funded from complementary resources? These issues relate directly to hotly debated issues within the CGIAR such as, how much of CGIAR funding should actually flow directly to national agricultural research systems (NARS) or even further down the chain, should it support extension services in developing countries, given the fact that under-valued, ineffective extension services may be a reason for lack of wide-spread uptake, innovation and impact of agricultural technologies on development objectives? Evidence from the field missions suggests that indeed, DEVCO and European Member States need to rethink their theory of change for supporting the CGIAR.

#### *Alignment with national and regional priorities*

CGIAR signed a memorandum of understanding with the African Union in March 2013 calling for a better alignment of CGIAR research with African priorities expressed in the Comprehensive Africa Agriculture Development Programme (CAADP) (DEVCO Research and Innovation for sustainable agriculture and food and nutrition security 2014). This should improve the somewhat lacking alignment with national and regional research priorities and needs of CGIAR research during the evaluation period (Practical application of CGIAR research results, p. 40). In 2016 the CGIAR will have a second call for proposals for the CRPs. The consultations for this call will be organised together with GFAR and integrated in the GCARD processes. In this next round of multi-stakeholder consultations, a number of national consultations are foreseen that will link up local and national stakeholders more directly into the regional and global debates on future priorities for agricultural research for development (interviews CGIAR and GFAR). The Consortium aims to organise national consultations for the 10-20 countries where the CGIAR expects to have significant impact (e.g. because of many projects or the presence of CG Centres). DEVCO has supported CGIAR's efforts to improve this global policy dialogue and increase the alignment of CGIAR research with national and regional needs and priorities.

#### *Evaluating agricultural research and assessing its impact*

A recurring question from the interviews is: How to develop effective and efficient approaches and methods to measure the contributions of research and other partners to the achievement of 'downstream' development objectives? Different sources note that the CGIAR still struggles with how to monitor and evaluate its work on partnerships, how to identify and measure impact, particularly with regard to programmes that address system-level challenges. Also it is still grappling with how to work more effectively with, and build capacity of NARS. Several units within the CGIAR are currently developing and testing new approaches towards addressing these issues (interviews CGIAR and GFAR, Final Report from the Mid-term Review Panel of the CGIAR reform, p. 55). However, opinions differ whether the current investment in developing such essential instruments is enough. And whether the ways in which the CGIAR is currently promoting this is adequate.

A comprehensive review of the evidence on impacts of CGIAR research published over the decade 2000 to 2010 suggests that "CGIAR research contributions in crop genetic improvement, pest man-

agement, natural resources management, and policy research have, in the aggregate, yielded strongly positive impacts relative to investment, and appear likely to continue to do so.”<sup>80</sup> This evaluation too has found specific examples of more wide-spread development impact (See paragraph on ‘EU funded CGIAR projects’). However, the CGIAR continues to have difficulties assessing the impact of its more complex, system-level programmes. More experience has been gained with assessing development impact in more commodity-oriented CGIAR research domains, like the attribution of global, regional and national yield increases to successful breeding programmes. Also there simply is less research done on CGIAR’s work on policy, sustainable management of natural resources and farming systems<sup>81</sup>. Some interviewees indicate that there is a systematic lack of investment in the development of new methodologies that are better able to assess the impact of the more complex CGIAR programmes, like the Systems programmes.

Also there is potential tension between the CGIAR’s ambitions as a research institution and the expectations of funders to deliver on developmental impact (CCAFS review 2013, p.15). The EU also stresses this aspect; the fact that CGIAR’s research is funded through the development budget creates the urgency for impact for specific target groups. At the same time, the CGIAR is critical of its donors for not having a clear theory of change for their support to AR4D (CGIAR interviews). According to some within the CGIAR the ‘Theory of Change’ of AR4D for development should be understood better and agreed upon amongst CGIAR funders and partners (ibid).

In the meantime, the CGIAR itself is going through many institutional changes to incorporate impact pathways and the uptake of research results by stakeholders in its programmes. The operationalization of the Strategy and Results Framework is of key importance, as it will affect the way programmes and centres design and implement their research. As the review of the Climate Change, Agriculture and Food Security Programme signals: ‘Ideally, the CGIAR would adopt an M&E framework supporting evaluative programme learning rather than focused on accountability and assessment of attributional impact’. However, if visibility to donor constituencies were to dominate the way monitoring and evaluating impact is organized, internal learning may suffer.

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<sup>80</sup> Renkow, M., and Byerlee, D. The impacts of CGIAR research: A review of recent evidence. In: Food Policy (2010), doi: 10.1016/j.foodpol.2010.04.006

<sup>81</sup> Ibid.

**Box 3                      *The Climate Change, Agriculture and Food Security Programme (CCAFS)***

The review of the Climate Change, Agriculture and Food Security Programme (CCAFS) specifies the EU contribution was EUR 2.17 million in 2011, with the total budget of the CCAFS being USD 62 million. In 2010, when the Climate Change Programme was a Challenge Programme, EU contribution was EUR 4.9 million. The programme originated from a partnership between CGIAR and the Earth Systems Science partnership (ESSP) and has its headquarters partly at the University of Copenhagen, and partly in Cali, Colombia, where the Lead Centre CIAT has its headquarters. It is different from other CGIAR Research Programmes because of its unique structure and high level of participation of non-CGIAR institutions.

The Climate Change programme is organised around three Regional Programmes and four Thematic Programmes. Different CGIAR centres host the Regional and Theme Leaders, like ICRISAT for West Africa and the International Livestock Research Institute (ILRI) for East Africa. Three Theme leaders are hosted at universities. The Program Director, the Theme leaders and the Regional Manager of South Asia together form the Programme Management Committee. The Coordination Unit takes care of daily matters and is based in Copenhagen. CIAT performs some administrative functions. Although the programme is organised around themes and regions, it mostly functions as an umbrella programme for 157 climate change-related activities that are led by the different CGIAR centres. Most of these activities existed before the creation of the CRP. This is also reflected in the distribution of the budget. Of the USD 62 million budget for 2011 USD 15 million goes to Thematic and Regional Programme activities (usually the continuation of core Challenge Programme activities). USD 42 million goes to the Centre-led activities; USD 17.7 million of these funds are bilateral funds that Centres generate themselves in support of the Climate Change Programme. USD 24.7 million is funding channelled through Windows 1 and 2 allocated by the Climate Change programme to Centre-led activities. The review finds that these Centre-led activities could be better aligned with the strategic priorities as is the case with the thematic and regional programme activities.

The Climate Change programme's logframes are consistent. Participatory approaches have led to increased trust and engagement with local communities. Communities have been able to identify and advocate their own priorities and needs. Some tension is noted between research guided by local priorities and developmental impact and the need to contribute to the scientific body of knowledge on climate change, as community-defined priorities generally stress immediate needs and not those in 2030. The programme works with field visits for the community to facilitate the framing of knowledge needs in terms of climate change.

The field missions suggest that indeed CCAFS is engaging in research and contributing to policy dialogue and is working on-site with farmers to develop climate change adaptation measures. Through community participation, the programme is able to harvest local knowledge and share it throughout the region. Also on a global level it has been able to link research done at local level, with mobilising and capacity strengthening of policy makers at national level to influencing and lobbying climate negotiations at global level.

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- Interviews, see interview list

**Key observations for JCs**

Number	JC	Relevant observations
11	Link between R&I activities and EU development objectives (as per European Consensus and Agenda for change – MDGs, etc.)	<p>DEVCO supported R&amp;I activities through CGIAR are in line with EU development objectives. So are the CGIAR's reform, as translated in their four system-level outcomes: less poverty, better food security, better nutrition and health and sustainably managed resources. The Commission has played an important role in ensuring that this is the case.</p> <ul style="list-style-type: none"> <li>• EU support to CGIAR, both globally and to institutions headquartered in Kenya (ILRI and ICRAF) has increasingly been aligned to poverty reduction at household and community levels, environmental sustainability, and adaptation to climate change. (CN Kenya)</li> <li>• While global level support was fully consistent with EU global policies, staff at both ICRAF and ILRI identified a lack of coordination between the CGIAR institutions' activities and the EU's bilateral Kenya support programme. As at the EUD, where staff members were of the same view, the reason given was simple: "The money comes straight from Brussels." (CN Kenya)</li> </ul>
12	Extent to which R&I has informed sector policy dialogue and sector support at national and regional levels	<p>At the regional level, policy dialogue and impact on policy processes has been central to the approach.</p> <ul style="list-style-type: none"> <li>• In Peru IssAndes had a very strong impact on policies of ministries (<i>Ministerio de Desarrollo e Inclusión Social</i> (MIDIS), MINAGRI and MINAM). In Ecuador they had an impact at provincial and community level. In Peru, CIP has contributed elements of the new law and strategy on nutrition and food security and the law on family agriculture. Working together with the ministry on the implementation of the law. These laws are prepared together with permanent multi-stakeholder and multi-sectoral commissions with different ministries and stakeholders (organisations, public and private). (CN Peru)</li> <li>• The CIFOR project on Securing tenure rights for forest-dependent communities works mainly at the level of policies concerning forest tenure reform. Key component of the project is to create a multi-stakeholder dialogue, in Peru this includes SERFOR, MINAM, MINAGRI, Procuferia, various NGOs and organisations and representation of the EUD. (CN Peru)</li> <li>• CGIAR centres and programmes (CCAFS, ILRI, ICRAF) successful in informing policy dialogue at local, national, regional and global levels. (CN Kenya)</li> <li>• The Climate Change, Agriculture, and Food Security (CCAFS or SICAF) research programme, a CGIAR CRP centred at ILRI, works on climate change and agriculture, climate, low emissions, and policy and innovation in five world regions, one of them being East Africa (Kenya, Ethiopia, Tanzania, and Uganda). It is financed by the DCI Food Security thematic budget line. All CGIARs participate. In addition to engaging in research, SICAF consults with policy makers at all levels. Coordinated by the Climate and Policy Centre in Addis, SICAF mobilises African experts to assist African climate negotiators to state their positions more effectively on the basis of scientific evidence. (CN Kenya)</li> <li>• The project 'Quantifying weather and climate impacts on health in developing countries' at ILRI, which studied the health consequences of climate change (specifically, impacts on Rift Valley Fever and malaria), developed a decision tree that was used to inform government climate change adaptation policy. (CN Kenya)</li> <li>• ICRAF foresight studies have advised the Government on how its institutional devolution is likely to affect ecosystem management. (CN Kenya)</li> <li>• ICRAF has collaborated with KEFRI (Kenya Forestry Research Institute) and KALRO (Kenya Agricultural and Livestock Research Organization) to write an agro-forestry stra-</li> </ul>

Number	JC	Relevant observations
		<p>tegic plan. Under the FP7 EDD and IREDD projects, ICRAF looked at payments for ecosystem services from a climate change perspective. Lessons learned from multiple countries were used to advise Kenyan authorities on the formulation of their national Climate Action Plan (CN Kenya).</p>
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	<ul style="list-style-type: none"> <li>• The degree of alignment with national and regional policies and strategies is uneven across CGIAR Research Programmes, Centres and projects. In general there seems to be a lack of alignment with national and regional priorities as noted in the FTA evaluation and the EU review on the practical application of CGIAR research results. Also in strategy documents of CGIAR and GFAR the lack of collaboration with national governments and partnerships with NARS is noted. Exceptions, supported by the Commission are: GFAR, the IAR4D and IP approaches, ICRISAT in Tanzania and the Systems programmes using innovation system approaches reach better results in coherence with demand-led research. The Dublin-process aims to align CGIAR research priorities with the CAADP agenda. For the Climate Change, Agriculture and Food Security Programme, the Regional Programme leaders consult with researchers, farmers representatives, civil society, policy makers and private sector agri-business on national and regional level to ensure the programme is aligned with national needs and priorities. It is unclear to what extent this alignment is also reached for the Centre-led activities that do not fall under the direct management of the Regional Programme Managers.</li> <li>• The CGIAR centres CIFOR, CIP and ICRAF are working together with different ministries and government agencies (MINAM, MINAGRI, SERFOR, <i>Ministerio de Salud (MINS)</i>, <i>Ministerio de la Producción</i>). They seem well aligned with national priorities. CIP will be investing more in relations with CONCYTEC the coming years. (CN Peru)</li> <li>• Staff at both ICRAF and ILRI identified <u>a lack of coordination between the CGIAR institutions' activities and the EU's bilateral Kenya support programme</u>. As at the EUD, where staff members were of the same view, the reason given was simple: "The money comes straight from Brussels." (CN Kenya)</li> <li>• The CGIAR system is increasingly involving stakeholders and translating research results into development processes. There has been increasing emphasis on integration into regional and international networks including all stakeholders, from the farm and community level up to government, the private sector, and other research organisations. (CN Kenya)</li> </ul>
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	<p>The EU has emphasised the importance of CGIAR investing in partnerships with 'the full range of institutions whose contributions are needed to achieve large-scale impact' (Description of the action 2008-2010, p. 3). Different sources note that in general the CGIAR still struggles to work more effectively with and build capacity of NARS (interviews CGIAR and GFAR, Final Report from the Mid-term Review Panel of the CGIAR reform, p. 55).</p> <ul style="list-style-type: none"> <li>• All projects that involved bringing researchers from different countries together were viewed as having contributed to capacity building in ways that national institutions would find difficult to replicate. These included SIFOR implemented under GPARD, where farmers from all the countries involved were brought together to share experiences and lessons learned. (CN Kenya)</li> <li>• A structural problem, as reported at ILRI, is that capacity building efforts tend, both at the institute and individual levels, to disproportionately benefit those whose capacity is already reasonably high. For example, in response to this problem ASARECA has adopted a form of "affirmative action" to ensure that weak countries like Benin and Burundi benefit from calls for proposals as well as the traditional strong</li> </ul>

Number	JC	Relevant observations
		<p>performers such as Kenya. (CN Kenya)</p> <ul style="list-style-type: none"> <li>• Another structural problem is that capacity at national level is severely skewed towards downstream implementation rather than upstream fundamental research. This is an unintended but unavoidable consequence of the increase emphasis on translating research results into tangible development impacts. tangible development. “Hard” scientists are poorly equipped to communicate to Government why their work is important and to justify the high infrastructure requirements and long-term time frame that are required. (CN Kenya)</li> <li>• A challenge for sustainability is that there is virtually no donor support in the form of core funds. This weakens the institutions’ ability to serve as global centres of excellence, to serve the needs of graduate students and visitors, etc. In the end, it is a major barrier to sustainability, as the institutional infrastructure necessary to support and solidify project results is not in place, as a result of which they depreciate. (CN Kenya)</li> <li>• Potential of CGIAR centres crowding out NARS. The activities of CGIAR centres and research programmes in focusing more on capacity building vary. ICRAF in Kenya has specific unit devoted entirely to building capacity, CIP has not mentioned the risk of crowding out NARS in Peru/the Andean region.</li> <li>• ILRI sees capacity building in national research systems as an important priority and seeks to build capacity building opportunities into its research projects (PhD places, short term training, attachments, etc.) (CN Ethiopia)</li> <li>• CIP in Peru mentions involving PhD students in more technical projects and thus contribute to increasing research capacity in the region. ICRAF in Peru has difficulty recruiting students with enough skills to participate in research projects.</li> </ul>
24	Enhanced networking of developing countries’ researchers at regional and international level	<p>GFAR, in collaboration with the CGIAR consortium aim to bring together researchers, farmers’ representatives, policy makers and other stakeholders on national and regional levels in the GCARD3 consultation processes. Some CGIAR research programmes, i.e. Climate Change and Humid Tropics, have found ways to engage with regional and national stakeholders more effectively.</p> <ul style="list-style-type: none"> <li>• Global and regional programs succeed in promoting international networking. Many CGIAR-implemented R&amp;I activities had a regional or global component and promoted cross-border scientific communication and sharing of results and experiences. (CN Kenya)</li> </ul> <p>ILRI mentions difficulties in building levels of trust necessary for data sharing. They indicate that partnerships should be built on experience not for funding reasons (CN Kenya).</p> <p>CIP has contributed to enhanced networking of researchers, for example through its involvement in the IssAndes project that has built partnerships with 21 organisations in four countries.</p>
31	Appropriateness of the financing modalities and types of funding under different EU instruments and the way they have been applied for enhancing R&I	<p>The strategic choice to fund the CGIAR as the primary vehicle for global and regional R&amp;I to contribute to EU development objectives regarding poverty, hunger and food and nutrition security is a logical one, given the unique position of the CGIAR in agricultural research for development globally. It enabled the Commission and other European donors, to push the CGIAR to reform in order to be more demand-driven and to work in partnerships with national and international non-CGIAR stakeholders. This reform is underway and not yet completed. The decision to fund CGIAR through Window 3 increases the control and visibility of DEVCO support to CGIAR. EU funding continues to flow directly to the CG Research Centres and not directly into the budgets of the CG Research Programmes, the main vehicles along which the CG reform is to be implemented. The downside of it is that it might have diminished the EU strategic drive to fully implement the reform of the CG at the level of CRPs.</p> <ul style="list-style-type: none"> <li>• Funding of CGIAR centres is still very complex, using different channels and modalities (global funding, EU funding</li> </ul>

Number	JC	Relevant observations
		<p>through IFAD, bilateral donors - DCI, Food facility, FP7). The different funding modalities pose serious challenges to planning interventions, both the window 1 funding as the 'bilateral' EU funding through IFAD.</p> <ul style="list-style-type: none"> <li>• ICRAF in Peru signals that they have little incentives to partner with other external institutions because this affects directly their own funding flows. Also working together with other CGIAR centres is not always as easy or stimulated from HQ.</li> <li>• IWMI experienced problems with the EC/IFAD funding of the Challenge Programme Volta Basin. Challenge Programme Volta Basin suffered funding gaps due to administrative problems. Because of the pause in funding, a number of projects in the Volta Basin were discontinued. This led to damaged relationships with rural communities to such an extent that local researchers were not welcome anymore.</li> </ul>
32	Strategic approach adopted to choosing different actors/channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities available	<p>One of the aims of the new CRPs is that it encourages CG Centres to form networks of partners that are most capable in achieving developmental outcomes. There is not enough evidence to assess to what extent this is materializing. The FTA evaluation indicates that the efforts to involve partners should be increased and made more systematic.</p> <p>The Climate Change, Agriculture and Food Security Programme has shown the potential of embracing non-CGIAR expertise in research programmes. This is hampered by CGIAR's financial and administrative management. Harmonisation of policies and procedures between Centres and CRPs could be improved, allowing for flexibility to meet special needs.</p> <p>The Climate Change, Agriculture and Food Security (CCAFS) Programme is in that sense an exception to this rule. The high level of participation of non-CGIAR research institutes is partly due to its origins as a Challenge Programme, but also because other institutes outside the CGIAR system have more knowledge on climate change.</p> <p>The participation of non-CGIAR institutes within the CCAFS programme, especially in administrative positions like hosting a Thematic Programme, is not facilitated by administrative and management policies and procedures.</p> <p>Despite the emphasis the CCAFS programmes places on partnerships, the sub-partner agreements the 2013 review assessed, were all relatively short and with small budgets. The majority of the agreements were for periods less than five weeks and with a budget of USD 25.000 on average. (I-513)</p>
33	Level of efforts taken to choose between and to combine different modalities and channels	<p>Within the donor-platform European Initiative for Agricultural Research for Development (EIARD) DG DEVCO, RTD and several European CGIAR donors cooperate to take a common position with regard to the CGIAR, including the funding channels used as well as the restructuring process. While the EU agricultural R&amp;I sector subscribes to a common vision on AR4D and seems to agree on the need to improve European leadership, co-ordination and influence on global AR4D, in their actual funding behaviour of CGIAR Research Programmes a 'common position' is less obvious.</p>
41	Extent to which DGs DEVCO and RTD have formulated clear strategies on how they should cooperate in a complementary way and how the work of other relevant EU institutions (such as the EIB) is also complementary with their own.	<p>CGIAR scientists at CIP, ILRI and ICRAF have been FP7 participants but this is separate from the funding they receive from Brussels through IFAD and there is not necessarily any coordination between the activities.</p>
42	Degree to which DEVCO support addresses issues that could/would not have been better, or equally well, addressed through RTD and vice versa	<p>Research projects financed at the CGIAR centres has embedded a large component of stakeholder involvement, sharing of local knowledge, etc. exemplified in the agricultural value chain approach. The result is to maximise the chances that research contributes to development processes and translates into development results. There was no similar mechanism embedded in RTD</p>

Number	JC	Relevant observations
		FP7 financed research projects. However, FP7 has allowed for participation of high-level national researchers in international collaborative research endeavours in ways that would be impossible through DEVCO mobility programmes.
43	Level at which DEVCO support has benefited from complementary action financed through RTD and vice versa	With regard to CGIAR funding, DEVCO and RTD coordinate their actions at HQ level through the donor-platform European Initiative for Agricultural Research for Development (EIARD), with other European donors of the CGIAR; the European Commission (DG RTD) hosts its Executive Secretariat. As a group EIARD represents 45% of the total CGIAR budget. During EIARD meetings prior to Fund Council meetings, the group discusses its positions and agrees to a common position, which is presented in the Fund Council by the EIARD Executive Secretary. Interviewees (CGIAR, GFAR) confirm that the coordinated positions through EIARD combined with the weight of the European donor group within the Fund Council – five of the top ten donors of CGIAR over the period 2001-2010 are part of the group (CGIAR at 40, p. 132) – has considerably strengthened the European voice in CGIAR governance. However, they also suggest a downside of this unified European voice, as the absence of diverse views from European donors may reduce the depth of the debates in the Fund Council.
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	<p>Through coordination with other European donors, through EIARD, and European AR4D networks of stakeholders, and its support to GFAR, the Commission has developed a comprehensive strategy to focus its financial support to the CGIAR on European development objectives.</p> <p>CGIAR is going through many institutional changes to incorporate impact pathways and uptake of research outcomes in its research. DEVCO has been one of the main donors pushing for this reform. CGIAR is critical of its donors not having a clear theory of change for their support to AR4D. According to CGIAR the scope and limitations of AR4D with regard to development impact should be better understood. The added value of the evaluation would be in providing more insight to the EU on this subject.</p> <p>There remains tension between research guided by community-defined needs and the role of the CGIAR as research institute. This tension should be reflected in the thinking how CGIAR research leads to developmental impact.</p> <p>At ILRI, the CCAFS programme, in addition to engaging in research and contributing to policy dialogue, is working on-site with farmers to develop climate change adaptation measures. Through community participation, the programme is able to harvest local knowledge and share it throughout the region.(CN Ethiopia)</p> <ul style="list-style-type: none"> <li>• Evidence suggests that EU DEVCO and RTD financing modalities appear to lack systematic thought on how they can support the interlocking research, innovation and development processes that go beyond the research project itself, aiming to influence policy, institutional and practical change; and how they can be adaptive and flexible in supporting the technological, commercial, institutional and policy innovation processes that by their very nature have to adjust regularly in response to the lessons they learn.</li> <li>• As a result, there exists a mismatch between the long impact pathway of support to R&amp;I to development processes and the expected widespread, practical, commercial, policy and institutional impact. There is also a lack of continuity of the projects supported. The different phases of innovation impact pathways - research, development, testing, adaptation and the social (commercial, organisational, institutional, policy and practice) innovations that need to accompany the adoption of the innovation and its scaling up generally takes many more years than one project cycle allows for.</li> <li>• As a result projects lower their ambitions for impact due to the shorter time horizons (and shorter periods of time available to prepare the proposals). Complex interventions with many partnerships become more difficult to plan for because of these shorter periods to prepare the proposals.</li> </ul>

Number	JC	Relevant observations
52	Extent of internal lessons learning, sharing and uptake in the EU Institutions within the sectors supported in partner countries, and at international level	<p>Medium to long-term commitment from a donor is therefore considered very helpful.</p> <ul style="list-style-type: none"> <li>Evidence suggests that there is a reasonably strong practice of learning, sharing and uptake of lessons from passed experiences within CIP. They have systematised lessons learned from EU funded and other projects and share these with a wider public. There is however no apparent systematisation and capitalisation of these experiences by the EUD.</li> <li>There was very good contact with EUD Lima for example in the design of the IssAndes project led by CIP. There was flexibility from the part of the EUD on how to implement the project - both scientifically and administratively (e.g. space for 20 sub-contracts in the four countries). The two monitoring missions were perceived as useful for the team as well. Extra funding for visibility was provided to produce four communication products used at the European Month of Food security (story of the week, video, case study from Peru and completing a Brief. It was the EUD ambassador who pushed for continuation. There was very little communication between the EUD Lima and DEVCO headquarter in Brussels. The people in Brussels did not know about the ROM mission.</li> <li>The CIP Regional Director has invested a lot in personally communicating with DEVCO headquarters on what CIP is working on. This is based on personal initiative and there are no formal channels to streamline this communication. Other projects like SIFOR, PAQOCHA or Willay do not reach out to the EUD or DEVCO headquarters so actively.</li> <li>CIP has invested a lot communication on the project and the DEVCO unit managing the IssAndes project.</li> <li>CIP has been requested by EUD to provide technical assistance to a similar project in Costa Rica (PRICA, <i>Proceso Regional de Integración Cooperativa de las Américas</i>) that started two years later.</li> </ul>
53	Extent of external lessons learning, sharing and uptake in the EU Institutions within the sectors supported in partner countries, and at international level	<p>The issue of uptake of research results is key in the EU's concerns on funding CGIAR.</p> <p>The CGIAR as a whole can draw on the experiences of the Climate Change, Agriculture and Food Security Programme how issues like partnership quality, work on gender and social differentiation translate into criteria for planning and decision-making. Information management within the growing CGIAR Research Programmes is becoming ever more crucial, particularly how evidence from different research activities is contributing to top level research questions and how these results can be synthesised appropriately.</p> <ul style="list-style-type: none"> <li>Evidence suggests that there is a reasonably strong practice of learning, sharing and uptake of lessons from passed experiences within CIP. They have systematised lessons learned from EU funded and other projects and share these with a wider public. There is however no apparent systematisation and capitalisation of these experiences by the EUD. (CN Peru)</li> <li>A lessons learnt report of the IssAndes project has been developed and shared with government officials CIP works closely with. There were four communication products made with extra funding from the EU which were used at the European Month of Food security (story of the week, video, case study from Peru and a Brief).</li> </ul>
54	Development process and outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks	<p>CGIAR has difficulties assessing the ultimate development impact of more complex research programmes. It is easier to assess the impact of the more traditional CGIAR research domains like the attribution of yield increases to successful breeding programmes. This tendency towards highlighting traditional strengths of Centres like crop breeding and technology development is also identified by the 2013 review of the Climate Change, Agriculture and Food Security Programme. Institutional innovations and other non-</p>

Number	JC	Relevant observations
		<p>productivity related aspects of future food security are less well addressed. These numbers illustrate this clearly: in 2011 USD 21,2 million was allocated to the 'Progressive Adaptation' theme, while USD 8,3 million was allocated to the 'Climate Risk Management' theme.</p> <p>Another reason is that there is simply less research done on CGIAR's work on policy, sustainable management of natural resources and farming systems (Renkow and Byerlee 2010). Some interviewees indicate that there is a systematic lack of investment in the development of new methodologies that are better able to assess the impact of the more complex CGIAR programmes, like the Systems programmes. There is a risk that through the integration of the systems programmes into the commodity-programmes relevant experience on new approaches (systems analysis, participatory approaches, farmer-led research etc) might be lost or diluted in the commodity programmes.</p> <p>The 2013 CCAFS review points to the potential tension between the demands for developmental impact and the need for learning of the CGIAR as a research institution. The danger exists that high-level visibility and quantitative impact assessment may dominate the way of monitoring and evaluating impact, disincentivising innovative behaviour. The CGIAR monitoring and evaluation framework still has to find an effective balance between supporting high level (donor) accountability and supporting internal and stakeholder learning without overdoing monitoring and evaluation requirements across the CGIAR.</p> <ul style="list-style-type: none"> <li>• IssAndes implemented by CIP was recognised by the EUD as exceptionally successful and perceived as the only R&amp;I related project they were directly managing. IssAndes has been able to mobilise a wide array of stakeholders like farmer organisations, private and public actors. They were able to establish a strong regional network to share experiences on the nutritional, cultural and commercial value of the native potato, but also on methodologies (e.g. impact pathway methodology) and food security project management aspects. These regional networks were built on existing networks.</li> <li>• In Peru IssAndes had a very strong impact on policies of ministries (MIDIS, MINAGRI and MINAM). In Ecuador they had an impact at provincial and community level. In Peru, CIP has contributed elements of the new law and strategy on nutrition and food security and the law on family agriculture. Working together with the ministry on the implementation of the law. These laws are prepared together with permanent multi-stakeholder and multi-sectoral commissions with different ministries and stakeholders (organisations, public and private).</li> <li>• Nutritional education programmes have been developed and implemented in the four countries, reaching parents and staff from local institutions and health networks. A statistical model that assesses the relation among production, nutrition and socioeconomic variables has been developed that can support decision-making processes related to similar interventions. A guide with lessons and recommendations on gender issues in food security and nutrition interventions has been developed.</li> <li>• The CIP genetic resources conservation project works with ex situ and in situ seed banks managed by the community themselves. The communities now know to find CIP to get clean, disease-free breeding material. CIP helps to diversify this collection.</li> <li>• CIFOR implements a project financed by the EU on Securing tenure rights for forest-dependent communities. In the 1990's - 2010's a change is signalled in recognition of community land rights: forest tenure reform. The study is about how this reform is going. Study is on where this trend comes from, on the implementation, on participatory prospective analysis</li> </ul>



Number	JC	Relevant observations
		<p>(working on the key concept of security of land tenure. The program is in an early phase, but the process of forming the Advisory Committee in Peru is already bringing together many different actors: Regional governments, SERFOR, MINAM, MINAGRI, Procuraduría, the EUD and various NGOs and organisations. This is already having an impact by creating a space for dialogue on forest tenure. Regional and national governments are learning to enter in effective and inclusive dialogue with forest communities.</p> <ul style="list-style-type: none"> <li>• CIFOR in Peru mentions the difficult balance between getting results out faster to reach impact like briefs and keeping up level of research with peer-reviewed journals. Sometimes you need to sacrifice the level of science (for example comparability) to reach an impact at a national level.</li> <li>• An ICRAF intervention in Kenya, Pro-Poor Rewards for Environmental Services in Africa (PRESA), focused on processes for improving land and water use. The essence was encouraging downstream ecosystem services users (farmers and private companies) to invest in upstream agroforestry in order to improve access to water. It is closely aligned with government processes and there was substantial stakeholder involvement. In the Sasumua watershed in Kenya, the project produced evaluation studies and business analyses to assess benefits and is now looking into funding arrangements to underpin financial sustainability.</li> </ul>
61	Extent to which EU internal capacity to manage R&I support and conduct policy dialogue is in place at the levels required	<p>The EUD is unable to exercise any coordination over global activities such as CGIAR because funding comes directly to these programmes from Brussels (via IFAD in the case of CGIAR). As a result the EUD is not aware of what is going on and, it is reported, neither is Government.</p> <p>At both CGIAR institutions in Kenya visited, staff were of the view that the EUD has reasonably good capacity to deal with the subject areas in which they are active. However, they also felt that better communication and coordination, such as annual meetings to compare notes and share experiences, would be desirable.</p>
63	Extent to which the EU facilitates R&I activities at all levels	It is reported that, while there are occasional contacts between the EUD and CGIAR (e.g. board meetings) EUD involvement is minimal (CN Kenya).

### Timeline CGIAR

- 1971: founded
- 1971-1980: decade of growth
- 4->13 centres, 17->29 donors, USD 21 million → USD 141 million
- broadened focus: from raising food production through crop improvement to research on farming systems approach and institutional constraints
- review system and monitoring and evaluation and five year system review developed
- 1990's: crisis and the road to recovery
- interest of donors in AR4D decreases
- funding needs exceed funding pledges by 1/3
- 1996: First GFAR meeting
- 1998: third system review does not provide change agenda
- annual funding needs around USD 330 million
- new research areas climate change and nutritional health
- restricted funding rising at expense of core funding
- 2007/2008: independent external review
- recommendations to improve cohesion, efficiency and effectiveness
- change management process led by new CGIAR chair Kathy Sierra
- 2009: reform proposals accepted by CGIAR Annual Meeting
- CGIAR fund to harmonize fund flows

- Consortium of Centres to improve coherence
- Strategy and Results Framework to improve impact
- CGIAR Research Programmes to structure the research agenda
- 2010: first GCARD meeting
- broad range of stakeholders set global research agenda
- organized by GFAR
- replaces triennial GFAR meeting
- end of 2011: Nine of 15 CRPs approved
- 2013: Memorandum of Understanding between the African Union Commission and the CGIAR for alignment of CAADP and CGIAR research under the so-called 'Dublin Process'
- 2014-2016: evaluation of all CRPs
- 2016: second funding call for CRPs

Figure 18 Organisation of independent external evaluations at the CGIAR

Independent External Evaluations	Description	Managed by
<b>CGIAR System-Wide evaluation</b>	Provides overall accountability on the system for the strengthening of the relevance and impact of the CGIAR system's work and its institutional effectiveness. Covers all aspects of the CGIAR, and examines major current and emerging issues and the value added of CGIAR, its objectives, outputs, modalities and institutional framework in achieving development impacts in the priority areas of research for development.	IEA
<b>Independent External Evaluations of CGIAR Research Programs (CRPs)</b>	All CRPs are subject to evaluation by independent teams commissioned by the IEA. The evaluations will be comprehensive while focusing on identified issues. They will examine the CRP, its institutional context and relation to other CRPs.	IEA
<b>CRP-Commissioned Independent External Evaluations (CCEE)</b>	Provides the base for the evaluation of the CRP as a whole. The coverage of which will be agreed between the CRP management and the IEA Head as part of the evaluation planning process and the evaluations included in the CGIAR consolidated evaluation work plan.	CRP management/ lead Center
<b>Central Scientific Services and Gene Banks</b>	IEA Head will facilitate and then monitor that adequate evaluation of the utility, efficiency and management of such services takes place. Analyses will be on a frequency to feed into the overall evaluation of the CGIAR.	Flexible: Carried out by appropriate CGIAR institutions
<b>Other Institutions of the CGIAR System (Fund Council, Consortium, ISPC-SPIA)</b>	Provides management consultancy expertise and addresses the efficiency and the adequacy of the services the institutions provide, including their incremental value and consideration of alternative means of provision. Undertaken over a period leading up to the System-wide evaluation, these evaluations are among the essential building blocks for that evaluation.	IEA
<b>Evaluation of the IEA</b>	Addresses the efficiency and the adequacy of the services provided, including their incremental value and consideration of alternative means of provision.	Fund Council/ Consortium
<b>Demand-driven Evaluations on Specific Cross-CGIAR Issues and Themes</b>	Carried out very selectively and agreed by the Fund Council as part of the rolling evaluation work plan and identified through a process of evaluation agenda setting which has input from the Fund Council, and also from the Consortium reflecting widespread demand from the Fund Council, CRPs, Centers and their Boards.	IEA

Source: <http://iea.cgiar.org/evaluations>

### 3.B.2 Financing carbon capture and storage (CCS) and other clean carbon technologies (CCT) in emerging and developing countries

#### Brief description of Programme

##### **Purpose, objective, approach, actors**

Framed within EU's commitment to limiting global climate change to 2° Celsius, in coherence with the Communication *Winning the Battle Against Global Climate Change*<sup>82</sup>, and the Communication *Limiting Global Climate Change to 2° Celsius: The way ahead for 2020 and beyond*<sup>83</sup>, the programme is conceived as a funding mechanism aiming to establish feasibility of and, where appropriate, build capacity for the demonstration of carbon capture and geological storage (CCS) in key emerging and developing countries<sup>84</sup>. As per the March 2005 Spring Council, that urged to consider ways to effectively involve major energy-consuming countries, including those among the emerging and developing countries, the EU has developed climate change partnerships with countries such as China<sup>85</sup>, India<sup>86</sup> and South Africa<sup>87</sup>, with the objective of building their capacity and promote their political will to take active action to tackle climate change.

The specific objective of the CCS and CCT programme is thus fully in line with this: Improved local capacity and understanding of CCS and its potential among policy makers, stakeholders, technical experts, companies and engineers. This should include an understanding of the geological and policy requirements for CCS in South Africa and India with a view to those countries developing CCS demo pilots in the future (...).<sup>88</sup>

The Identification fiche defines as key stakeholders European and third country governments, research institutes and organisations and industry (primarily the engineering and power generation sectors). In the EU, this latter group is organised as the Zero Emissions Technology Platform (ZEP). It also mentions local project partners as long as they are targeted at the appropriate level in line with the current state of the debate and the technology in any given country.

The different climate change dialogues with emerging countries, among other, confirmed that one size will not fit all. A differentiated approach using call for proposals and targeted grants is thus defined as the way to move forward.

##### **How does it support or promote R&I?**

The *Promotion of a sustained clean coal technologies (CCT) capacity programme (c-243966)* in India<sup>89</sup> aims at contributing to the achievement of greater environmental sustainability in the power sector. The specific Objective is to develop a sustained CCT capacity in the power sector through: establishing an integrated CCT knowledge platform to strengthen EU-China-Indo CCT cooperation; developing skills and innovation to service CCT development; strengthening experts networks & collaborative efforts to share knowledge, information, experience, lessons learned and suitable forms of governance to promote the use of CCT technologies to improve efficiency levels and reduce CO<sup>2</sup> emissions in the coal fired power plants.

The expected results are:

1. Improved impact of CCT in India;
2. Accelerated power sector policy reform and improved coordination between government departments; significantly improved understanding & awareness on environmental, technical, socio-economic and commercial benefits of CCT;

<sup>82</sup> COM(2005) 35

<sup>83</sup> COM/2007/0002 final

<sup>84</sup> Identification Fiche

<sup>85</sup> In 2005 a Joint declaration on Climate Change is signed. It includes common goals and defines the areas for technical cooperation (energy efficiency, conservation and renewable energy, clean coal, methane recovery, carbon capture and storage, hydrogen and fuel cells and power generation and transmission).

<sup>86</sup> The EU-India Strategic partnership Joint Action Plan of 2005, revised in 2008, includes a specific section on environment and a second one on clean development and climate change. An India-EU Initiative on Clean Development and Climate Change is launched and a Joint working group on Environment is established in 2006.

<sup>87</sup> The 2007 Action Plan for the 2006 EU-South Africa Strategic partnership provides the new framework for the cooperation with this country. It includes Environmental cooperation and Climate Change as an area to be developed and foresees the establishment of a high-level dialogue on the environment as part of the Mogôbagôba Dialogue. An EC-South Africa Forum on Environment and Sustainable Development was put in place in 2007.

<sup>88</sup> Programme synopsis

<sup>89</sup> As per the project synopsis prepared in the framework of the June 2013 monitoring mission

3. 30 participants will attend the capacity building training and workshops will lead to improved institutional & professional capacity to facilitate CCT development & delivery;
4. A set of identified relevant & cost effective CCT that meet India's urgent needs to increase power capacity and its objectives of developing a sustainable economy will be presented in the report;
5. Four organised network working events, which will enable 175 Indian participants meet with 300 relevant European and Chinese counterparts to improve collaborations & cooperation on CCT development;
6. One integrated CCT knowledge platform will facilitate a minimum of 200 relevant Indian stakeholders to share their needs on CCT technologies & consultancy & seek European suppliers & expert supports;
7. Improved private & foreign participation & investment in CCT development;
8. Improved utilisation of CCT among the coal fired power plants;
9. Reduced GHG emission produced by coal-fired power plants that adopting CCT.

The proposed set of actions includes:

- a) Research & Study on India's current status of CCT development; Development of Policy Benchmark & Action Strategy and Report on: the Application of CCT in India;
- b) Support partnership working & strengthen international expert networks through establish EU-China-Indo CCT Information Exchange Mechanism & Database & a serial events to promote industrial collaborations;
- c) Deliver a sustained CCT capacity building training and workshop and develop action plans to implement Clean Development Mechanisms (CDM) in power sector in India,
- d) Create Online National CCT Knowledge Platform & Network.

The beneficiaries are relevant government agencies, manufacturers, industrial associations, academics, R&D institutes, projects & initiatives, private & foreign investors & organisations responsible for coal-fired power plants in India.

As the monitoring report<sup>90</sup> points out the logical framework is poor, the activities not being structured according to the expected results. To this, it can also be added the poor definition of the objectives, defined in terms of activities. This reflects a lack of focus and strategic approach.

The intervention also lacks from a steering committee, the activities being thus decided by the project management. The programme has been affected by the important delay of the Research Study and Development of Policy Benchmark, which should have guided the implementation of the activities. The events are considered by the monitor as being general, lacking from a targeted approach according to different beneficiaries and technologies, and even if they seem to have reached a somewhat large set of beneficiaries (132 persons), increasing for this group the knowledge on CCT developments, there has not been a real continuity in participation, thus hindering an in-depth knowledge path. Furthermore, the lack of specific actions on CCT development, that could have complemented the training sessions and workshops, has also prevented from having a concrete impact on effective implementation of CCT in India.

*Developing a Cluster for Clean Coal Technologies and Carbon Capture and Storage Technologies for the Indian Thermal Power Sector (c-243963):*

According to its contract, the main objective is to promote a cluster on Clean Coal Technologies (CCT) and Carbon Capture and Storage (CCS) in order to enable increased awareness, capabilities, development actions, innovation and sustainable initiatives to effectively address the environmental responsibilities, commitments and ambitions of the Indian thermal power sector.

The specific objectives, defined in terms of results and activities, are:

- To nucleate, launch and manage a vibrant cluster of complementary players, resources and skills, focusing on CCT and CCS technologies, in the Indian thermal power sector,
- To reach out to international expertise, knowledge, skills and resources, continuously, to address the project aims more effectively,

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<sup>90</sup> MR-146255.01, June 2013.

- To improve awareness and skills of the major power sector players, general public and the government in CCT and CCS technology areas and to secure supports and constituency for the intended project aims,
- To demonstrate, disseminate and deploy focussed CCT and CCS technologies in project mode for replication and field usage,
- To develop dedicated publicity, advocacy and action triggers to bring out policy, knowledge, skills and resource commitment to various other constituents in Indian thermal power sector,
- To mine innovation and entrepreneurial venture pursuits in CCT and CCS technologies, to usher in niche applications, sustainability and more effective implementation and
- To leverage and showcase the project improvements to much larger audience in order to improve the catchment areas for environmental initiatives and their benefits, in a sustainable manner in the future.

The expected results are:

- a) Launch of CCT- CCS Technology Cluster Hub at TREC-STEP,
- b) Three studies for the Deployment Actions in CCT and CCS Technology areas,
- c) Awareness Programmes for 100 candidates in the CCT and CCS technologies,
- d) Skills Leverage Programmes for 100 candidates in the CCT CCS domain,
- e) Internships for three candidates in CCT and CCS technology areas,
- f) Two major Demonstration and Deployment Projects by Bharat Heavy Electricals Limited (BHEL) in CCT – CCS domains,
- g) Incubating four to five Innovative Clean Tech Ventures,
- h) Documentation and organization of Dissemination packs and Events.

The proposed set of actions includes:

- Launch of CCT -CCS Tech Cluster Hub,
- Studies for Deployment of Actions,
- Capacity Leverage Programme in CCT and CCS,
- Study Visits,
- Internships,
- Demonstration and Deployment Development of CCT and CCS Projects,
- Incubating Innovative Clean Tech Ventures - Private Sector Development and
- Documentation, Dissemination Platforms and Events.

The target groups are: power majors such as Bharat Heavy Electricals Limited (the implementing partner), Private sector players in power plants and power systems manufacturing, Thermal Power Plants and other Private Power Generators, Policy makers and Government authorities, Entrepreneurs and Innovative Start-up Ventures and Academicians and International experts and groups.

By including academia and research institutions, considered as “change champions”, it is expected that suitable carbon curricula shall be designed and implanted in higher education institutions, which again will replicate and spread from institution to institution and also from individual to individual, the contract says. These groups are also to be involved in the publication outputs, an important element of the programme. An indicative list of publications is even included in the programme’s contract.<sup>91</sup> Studies for knowledge generation and deployment of actions are also envisaged. And here again, a list of topics is depicted.<sup>92</sup>

<sup>91</sup> Gaps and potential for carbon business in Indian thermal power industries, Best Benchmarks on CCT and its suitability fine tuning for Indian coal, Comparative policy study, Implications and future for thermal industry CCS, Carbon advocacy, markets and potential contribution and its inputs, Carbons capture map and monetizing carbon innovations - Challenges and Potentials.

<sup>92</sup> 1. Existing Gaps and Potential for CCS and CCT areas in the thermal power industry of India 2. Benchmark practices for CCT and its relevance and variance to Indian coal utilities 3. The prospects for carbon capture and its challenges in each area 4. Comparative policy studies, advocacy requirements and fiscal incentives globally and specific requirements for Indian power Industry 5. Criticality of human resources in CCS and CCT and the skills spectrum required for effective utilization of CCS- CCT opportunities 6. Occupational health hazards in Indian thermal industries and its neighbourhood and its prevention strategies 7. New Technology mapping for future CCT and CCS efforts 8. Nano Tech potentials for carbon capture areas 9. Road maps for developing carbon con-

The monitoring report<sup>93</sup> presents a positive judgement of efficiency and effectiveness, having contributed to the development of CCT and CCS. Among the main achievements, the creation of a cluster that interacts with 14 different members from different sectors (Academic, Power plants, Research institutes) establishing a network with a common interest rather than a group of companies. The Network also collaborates with other academia and research institutions. The selection of six start-ups, two of them focusing on CCT, to which the programme provided support to develop their products,<sup>94</sup> also needs to be highlighted. In terms of impact, the programme does contribute towards raising awareness on CCT and CCS, as well as to exchange of knowledge via the cluster. The sustainability of the cluster is expected to be good because of the commitment of the different actors; the political will from the Government of India on CCT would also ensure a conducive environment.

*Demonstration, dissemination and deployment of CCT and CCS in Ukraine (c-243936)*

The programme directly targets research organizations since it mainly aims at analysing, reviewing and preparing scientific and technical recommendations and conduct workshops on CCT and CCS. According to its description fiche, the Overall Objective of this project is the demonstration, dissemination and implementation of the clean coal technologies in Ukraine, the use of which will allow saving over 10% of coal fuel, considerably reducing carbon dioxide emissions, emissions of other greenhouse gases and local contaminants.

The Project will lead to improvement of local and global environment by means of the implementation of clean coal technologies along with the modern technologies of carbon capture and storage. This will be achieved by means of modern technologies of hard fuel firing with high efficiency implementation and introduction of new highly effective technologies of gas cleaning and carbon catching and storing systems at the power plants.

The programme rationale is very poorly developed. The specific objectives and results are a mere list of activities, thus showing a weak strategic approach. For information, these are:

The specific objectives are:

1. Analyse the current state of the Ukrainian coal-fired power plants, specifically: monitoring of a number of working hours, a number of stoppages, average load, etc.
2. Analyse the energy coal market in Ukraine, specifically: coal deposits (prospective deposits) in Ukraine, yearly energy coal mining, coal enrichment rate, energy coal distribution between the power plants, coal mixes utilization, etc.; monitoring of the installed and operational power capacities; potential for CCS at specific sites.
3. Analyse the state and conditions of the Ukrainian flue gas cleaning technologies from pollutants, specifically, present conditions of the flue gas cleaning systems, requirements of the national and European environmental protection legislation, prospective of the industrial gas cleaning technologies.
4. Review of modern clean coal technologies for power industry and application for Ukrainian conditions.
5. Prepare scientific and technical recommendations for the implementation of clean coal technologies to be provided to the potential investors, project developers, the energy enterprises and financial institutions; calculation of impact of clean coal technologies implementation on the mitigation of pollutants and greenhouse gases emission for every concrete case.
6. Elaborate recommendations for the Feasibility Studies for implementation of clean coal technologies within the energy sector of Ukraine, mainly: low temperature fluidized bed boilers operational on coal enrichment residues, with the solid phase recirculation, burners with the thermo-chemical fuel preparation, units with the complex catching of solid particles and sulphur dioxide on the bases of the reconstructed wet Venturi scrubbers.
7. Conduct workshops for the technical personnel of thermal power plants and energy companies dedicated to the promotion of clean coal technologies, their characteristics and advantages, as well as their adaptation to the conditions of the Ukrainian energy sector.
8. Conduct workshops for the technical personnel of thermal power plants and energy companies dedicated to the promotion of the technologies of carbon capture and storage, their char-

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stituency in India 10. Mapping the existing CCT-CCS initiatives and plans in Indian thermal power industries and allied research institutions 11. Financial impact of carbon problems in Indian thermal power industry- An Initial Browsing Assessment.

<sup>93</sup> MR-146241.01, June 2013

<sup>94</sup> On biomass co-firing demonstration and on Oxy fuel combustion demonstration.

acteristics and implementation examples, estimation of possibilities for the demonstration of CCS technologies, assessment of the carbon storage placement, etc.

The expected results are:

1. Analysis of the current state of the Ukrainian coal-fired power plants, specifically: monitoring of a number of working hours, a number of stoppages, average load, etc.
2. Analysis of the energy coal market in Ukraine, specifically: coal deposits (prospective deposits) in Ukraine, yearly energy coal mining, coal enrichment rate, energy coal distribution between the power plants, coal mixes utilization, etc.
3. Analysis of the state of flue gas cleaning technologies from pollutants, specifically, present conditions of the flue gas cleaning systems, requirements of the national and European environmental protection legislation, prospective of the commercial gas cleaning technologies.
4. Review of the modern clean coal technologies for power industry and application for Ukrainian conditions.
5. Proposals for the feasibility studies of the deployment of the CCT on each coal power plant.
6. Recommendations for the feasibility studies for implementation of clean coal technologies developing in the Coal Energy Technology Institute.
7. Workshops for the technical personnel of thermal power plants and energy companies dedicated to the promotion of clean coal technologies, their characteristics and advantages, as well as their adaptation to the conditions of the Ukrainian energy sector.
8. Workshops for the technical personnel of thermal power plants and energy companies dedicated to the promotion of the technologies of carbon capture and storage, their characteristics and implementation examples, estimation of possibilities for the demonstration of CCS technologies, assessment of the carbon storage placement, etc.

The programme lacks from an independent assessment in the form of a monitoring or evaluation report and it is there not possible to inform on the effective achievements of the programme and of its impact. The 2012 narrative report done by the implementing partner only reports on whether the activities were carried out and when relevant it presents the content of the analyses and reviews done.

*The Low-Carbon Opportunities for Industrial Regions of Ukraine (c-243865)*

The overall objectives of the action are as follows:

- to promote and help the actual implementation of Climate Change Initiative (CCI) and Carbot Capture and Storage (CCS) activities in Ukraine
- to initiate cooperation in CCI and CCS between Ukraine and the European community

The specific objectives are as follows:

- to Improve the knowledge of the Ukrainian context for implementation of CCI and CCS
- Set of potential sites for the actual programming CCI and CCS technologies adoption in Ukraine
- Have the main stakeholders aware of the CCI and CCS technology as a tool against climate change

The expected results are as follows:

- GIS of the selected regions in Ukraine filled with data on potential sinks and targets for CCT and CCS (sources)
- Recommendations for Ukrainian stakeholders on how overcoming the barriers and taking advantage of the opportunities for CCS in Ukraine.
- Pre-selection of one or two scenarios of interest
- Technical guidelines for the preparation phase of at least one actual site
- Stakeholders collecting the information they need in the formation sessions seminars.

The programme includes a component of knowledge sharing that covers training sessions and round tables to decision makers and industrialists on CCT and CCS technologies.

The lack of any monitoring and evaluation report does not allow us to inform on the effective achievements of the programme and of its impact. The 2012 narrative report informs on the activities carried out, that would have offered scientific and educational base for the promotion of CCT and CCS technologies and concludes that the programme has contributed to the development of the process of im-

plementation of CCT and CCS technologies and that target groups have an introductory knowledge to the problems of climate change and the introduction of CCT and CCS technologies.

*The South Africa-Europe Cooperation on Carbon Capture and Storage (SAfECCS, c-243909)* is expected to promote cooperation in the field of CCS (carbon capture and storage) between South African and European partners. In particular, it aims to (i) prepare for a test injection in line with South Africa CCS Road Map and South African Centre for Carbon Capture and Storage (SACCCS) five year Work plan (ii) to build capacity in South Africa to develop knowledge and expertise in preparation for demonstration and eventual deployment of CCS. The action comprises two main activities: 1) capacity building and knowledge sharing, and 2) SAfECCS is on a critical path to the implementation of CCS in South Africa. Without these new analytical results, the test injection of CO<sup>2</sup> cannot proceed.

#### **Links with Commission R&I strategy and other R&I support programmes (including RTD)**

The identification fiche of the global financing mechanism on CCT and CCS in emerging and development partners addresses the programme's coherence with key EC communications, with international commitments addressed in the framework of the United Nations Framework Convention on Climate Change (UNFCCC) and finally with the Community's development cooperation policy and the MDG's. There is no single mention of the R&I strategy and the RTD is only mentioned once in relation to its funding to a research project in China.

#### **Features: scale, funding source, geographical coverage, time period**

Table 27 outlines the features of the CCS and CCT programmes discussed above.

Table 27 List and features of CCS&CCT programmes

<b>Project</b>	<b>Duration</b>	<b>Start/End</b>	<b>Coverage</b>	<b>EU Contribution in EUR</b>
Promotion of a sustained CCT capacity in India	32 months	12/2010-08/2013	India	495,957
Developing a Cluster for Clean Coal Technologies and Carbon Capture and Storage Technologies for the Indian Thermal Power Sector	36 months	03/2011-03/2014	India	500,000
Demonstration, dissemination and deployment of CCT and CCS in Ukraine	42 months	12/2010-06/2014	Ukraine	437,000
Low-Carbon Opportunities for Industrial Regions of Ukraine	34 months	12/2010-10/2013	Ukraine	129,409
South Africa-Europe Cooperation on Carbon Cap	24 months	02/2011-02/2013	South Africa	404,835
Promotion of German CCT and CCS technologies to the Russian Federation	17 months	11/2010-05/2012 (after addendum)	Russia	469,000

#### **Relevance and added value of this programme for evaluation**

This programme is relevant to the evaluation because it links R&I actors and stakeholders in each country with the energy industry on an environmental issue of considerable significance to the EU. The programme aims to foster cooperation in knowledge generation and technology transfer thus bringing R&I stakeholders and their innovative into the field of energy and climate change.

#### **Sources of evidence available, their coverage and limitations**

The documentation is weak and incomplete and varies across programmes. Some have identification fiches and/or annexes to the contracts with a full description of the programme, but others have only incomplete logical frameworks and contract forms. Three of them have progress implementation reports but as said above, they only inform on the actual implementation of activities. Monitoring reports are only available for two (those related to India) of the six programmes discussed above. None of them has an evaluation report.



**Key observations for JCs**

<b>No.</b>	<b>JC</b>	<b>Relevant observations</b>
11	Link between R&I activities and EU development objectives (as per European Consensus and Agenda for Change – MDGs, etc.)	The programme explicitly links with the Community's development cooperation policy and the MDG's. At sectorial level, it also links with EC communications related to EU's priorities on climate change.
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	Formal trainings, networking and in to a lesser extent support to concrete actions confirm the programme's willingness to contribute to capacity development. Sustainability seems nevertheless to be at stake for some of the programmes (because of an important weight given to training, workshops, and seminars). Linked to this, it seems that capacity development support has benefited more individuals than institutions. This hypothesis would need to be verified in the Field Phase.
24	Enhanced networking of developing countries' researchers at regional and inter-national level	Even though the programmes are country level, some of them have also promoted international networking.
31	Appropriateness of the financing modalities and types of funding under different EU instruments and the way they have been applied for enhancing R&I	The programme's approach was that of using both call for proposals and targeted grants. This has allowed the EC to directly respond to key stakeholder's needs and academia and research organisations to directly opt to grants.
32	Strategic approach adopted to choosing different possible actors / channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities available	The programme's approach was that of using both call for proposals and targeted grants. From the available information, it would seem that the considered programmes in India, Ukraine and South Africa have been financed via a call for proposals. With this information is it not possible to ascertain whether the selection of these proposals responded to a strategic approach from the EC. This would need to be verified in the Field Phase.
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	The programme's description considers in its rationale the link to climate change.

### 3.B.3 Global Climate Change Alliance

#### Brief description of programme

##### **Purpose, objective, approach, actors**

The Global Climate Change Alliance (GCCA) emerged from the programme “Environment and Sustainable Management of Natural Resources including Energy” (ENTRP) in 2008. The GCCA aims to “...help the poorest and most vulnerable countries with respect to their capacity to adapt to the effects of climate change” (Action Sheet A, p. 5). In this way, the GCCA can contribute to supporting these countries in attaining their Millennium Development Goals in an environmentally and socially sustainable manner. Initiated and piloted in four countries during the reporting period, the GCCA has grown to include 51 projects worldwide at country, regional and global level. The GCCA website reports that today the programme operates in 38 countries and eight regions<sup>95</sup>.

The GCCA pursues a two-pronged strategy. On the one hand, the programme provides a platform for dialogue on climate change policy at regional level. This dialogue is supposed to help policy actors in partner countries “...integrate climate change in national development strategies and in development co-operation, particularly adaptation and mitigation measures”. On the other hand, the GCCA also is a means of providing concrete technical and financial support to partner countries in their endeavour to adapt to the impacts and mitigate the causes of climate change (see Figure 19 at the end of this profile). Specifically, the GCCA targets five priority areas:

1. Implementation of measures to adapt to climate change;
2. Reducing emissions from deforestation in developing countries;
3. Enhancement of participation in the Clean Development Mechanism (CDM);
4. Promotion of disaster risk reduction (DRR);
5. Integration of climate change into poverty reduction strategies and programmes.

(Thematic evaluation of EU Support to Environment and Climate Change in third countries (2007-2013), Final Report, Vol. 1).

Policy dialogue takes place in all relevant regional fora including “the ACP group, the African Union, SIDS (Small Island Developing States) and within the framework of the Asia-Europe Meeting (ASEM)” (Thematic evaluation of EU Support to environment and climate change in third countries (2007-2013), Final Report, Vol. 1). The technical and financial support takes place in terms of projects at different levels. During the reporting period, EUR 7 million were allocated to pilot this approach in four countries (Action Sheet A). The GCCA Support Facility facilitates both types of activities by coordinating activities, organising events as well as providing policy-relevant analyses and knowledge. According to the GCCA website, the programme involves partners ranging from the international organisations over Member States and partner countries to local government and CSOs (see Figure 20 at the end of this profile).

##### **How does it support or promote R&I?**

The transfer of knowledge and technology as well as the development of innovative solutions to climate change issues are at the heart of the GCCA. By combining policy dialogue with technical and financial support the GCCA promotes “...the transfer of knowledge from the field to inform the wider international debate on climate change, and decision making, at the highest level”<sup>96</sup>. It is less clear what this means in terms of support for R&I in partner countries. It would seem that the GCCA programme primarily support the development of R&I capacity by generating demand for expertise as well as suitably qualified human resources to implement mitigation or adaptation solutions. However, it is not clear from the programme documentation to what extent the GCCA projects at national, regional or global level actively support the development of R&I capacity.

The role of R&I in the *GCCA Support Facility* is as ubiquitous as it is implicit. The Action Fiche expects the GCCA Support facility to build the capacities of representatives of partner countries in policy and sector policy dialogue on global climate change (GCC) both with the EU and in international climate negotiations. Moreover, the Facility should open access for partner countries to “specific co-operation activities and programmes funded by the GCCA to increase their capabilities to adapt to the effects of climate change” (Action Fiche, p. 4). In order to bring about these results, the action fiche foresees the GCCA Support Facility carrying out training workshops on mainstreaming climate change concerns (Activity 2) as well as setting up a knowledge management and communication system (Activity 4). Apart from monitoring and evaluation GCCA programmes, the Support Facility will organise a so-

<sup>95</sup> <http://www.gcca.eu/about-the-gcca/what-is-the-gcca>

<sup>96</sup> <http://www.gcca.eu/about-the-gcca/innovative-and-effective-approaches>

called “One Global Learning” event. Since there are no monitoring reports or relevant evaluations available<sup>97</sup>, the extent to which these activities have been successfully implemented is unclear.

The *Cambodia Global Climate Change Alliance* is one of the four pilot projects initiated in the reporting period. Designed and implemented as a Multi-Donor Trust Fund (MDTP) managed by the UNDP and, later, the Royal Government of Cambodia, was supposed to generate five results:

- the project expected to build and enhance the capacities of Cambodian policy actors, including actors from the citizen and private sectors, to themselves build GCC policy capacities;
- the CCCA was to put in practice a platform for knowledge transfer and learning opportunities on GCC;
- the project aimed to provide Cambodian policy-makers with access to resources for effective climate change policy-making;
- The CCCA was to improve capabilities for administering national climate change trust funds;
- The project was to focus on building climate change resilience in coastal communities;
- The CCCA aimed to build capacities of the Royal Government of Cambodia and citizen sector actors for designing and implementing effective responses to climate change (MTE; PS-136161).

Both the available monitoring report (*MR-136161.01*, October 2010) and the mid-term review (MTR, June 2012) provide mixed reviews. The MR finds that the design of the MDTP has given the UNDP “an undesirable and unacceptable predominance in the CCCA” (*MR-136161.01*). This, and the delay of the UNDP in filling key positions, led to inefficiencies in the implementation of the CCCA to the extent that without “...a reorientation of the CCCA to an open MDTF structure that funds interventions that address climate change policies and interventions, including the UNDP implemented SP, it is not likely that the programme will achieve its PP” (*MR-136161.01*). By the MTR in 2012, the project had produced several outputs. Overall, in terms of R&I, it is interesting to note that the MTR critically points out that some “...the grants reflect too much academic research and not enough community experimentation, and some communities evidently were not too involved in designing the grant projects” (MTE- Exec Sum, p. 4-5). The MTR’s analysis of partnerships created in the CCCA programme reveals that the six grants for the review featured the partnership of two universities (MTR).

The *Global Climate Change Alliance – Ethiopia (GCCA-E)* follows much the same pattern as the CCCA in programme design, albeit not in implementation. Like the CCCA and the GCCA as a whole, the GCCA-E aims to enhance both the “...awareness and capacity of targeted Government institutions both at federal and regional levels and of the rural population at large to deal with climate change” (*PS-146758.01*). This is supposed to serve the ultimate end of constructing “... a carbon neutral and climate resilient economy”. The project description in the technical and administrative provisions (TAP) points to three expected results: building of co-ordination and mainstreaming capacities with the Environmental Protection Authority (EPA), development of the requisite knowledge base so that stakeholders at all levels can build resilience to climate change, and the field testing of climate change activities in the context of the economic development programme CNCR-E.<sup>98</sup> The second expected result has most relevance to R&I. Activities here are targeted at providing the “...necessary skills and knowledge, systems and resources (material, financial and human) to enable EPA (Environmental Protection Authority) and other stakeholders (regional institutions, non-state actors and private companies) to effectively and efficiently fulfil their roles and mandates within a climate change resilience development approach” (TAP, p. 7). They include setting up a database and knowledge management system “for climate change experience sharing and good practices”; generate a climate change adaptation initiative in which non-state actors produce and contribute knowledge for sectoral policy-making; create a “downscaling climate predictions model for Ethiopia”; commission and implement studies and research to “provide valuable knowledge of immediate relevance to the climate change activities” (TAP, p. 9). While not explicitly referring to R&I, the planned pilot projects designed to contribute to Expected Result 3 all imply innovative natural resource management (water, land, agriculture and forestry) practices as well as the expert monitoring and evaluation of these initiatives.

Despite delays in implementation (discrepancies in banking procedures that delayed the transfer of funds), the available monitoring report of 2013 provides a largely positive assessment. In one year, the programme had made good projects in a wide range of projects aiming to implement innovative approaches in forestry management, agriculture, and water conservation. In terms of R&I, the MR notes that “...227 experts are being trained in climate smart agricultural technologies; a total of 4632 farmers

<sup>97</sup> The ongoing thematic evaluation of the EU’s support to environment and climate change policies in partner countries (No 2013/328359) does not investigate this issue.

<sup>98</sup> It is interesting to note that the project summary (*PS-146758.01*) lists only the last expected result.

participated in trainings, and 1332 partook in experience exchange visits to other communities where relevant practices have been very successful" (*MR-146758.01*). The MR also points to successful capacity building at local level where farmers are not only involved in choosing and testing innovative practices, they are also encouraged to try new technologies by promising compensation if the new technologies lead to lower agricultural yields than conventional approaches. As a result of positive results and innovations, the project was invited to showcase at the 2015 United Nations Climate Change Conference, COP 21 in Paris.

However, the overall impact of the project was constrained due to a limited follow-up. This demonstrates a trade-off between development and research objectives: follow-up was weak because, from a development perspective, it was considered more important to shift priority to other farmers. Moreover the project has been limited to a pilot stage. No extension has been planned from the EU side, so upscaling is a responsibility of the Ethiopian government, which is currently looking for other donors.

Unlike the previous two programmes, the project entitled *GCCA-Enhancing Belize's resilience to adapt to the effects of climate change* focuses on the governance structures of the country's water sector at central and local levels. While the government of Belize (GOB) already engaged in climate change policy in the water sector, "...the legal framework has been fragmented with numerous government agencies dealing with its management" (*PS-145707.01*). By developing and piloting "interventions consistent with national priorities and direction and Enhanced GOB institutional capacities for effective climate change governance", the project aims at achieving three results: first, improved planning and co-ordination capacities for bringing about climate change resilience in the water sector; second, integrating of the knowledge accrued by the planned pilot projects into the country's climate change adaptation menu; third, increase planning and co-ordination capacities at national level to better respond to climate change threats. The tap suggests that actions relating to the second expected result may contribute to R&I in Belize. These include education, training and raising public awareness about climate change, mainly for policy actors and citizen sector stakeholders. This, then, is to ease "...Belize's transition toward low-carbon development pathway, primarily through the provision of training sessions and workshops to enhance the capacity of relevant agencies and institutions on the use of the low-carbon growth modelling framework for planning purposes" (TAP, p. 26). Conceivably, this builds capacity for R&I because it increases demand for applied knowledge and qualified experts. The programme documentation, however, provides very little evidence to suggest that this has actually taken place.

The available monitoring report of 2013 gives the programme average grades. Delays meant that many of the projects were in the very early stages at the time of the monitoring exercise so that few conclusions regarding outcomes and impacts were possible (*MR-145707.01*). Similarly, the MR provides no indication of the potential impacts of R&I capacity.

The pilot project *Global Climate Change Alliance (GCCA) in the Lower Mekong Basin -- Addressing ecosystem challenges through the support to the Climate Change Adaptation Initiative (CCAI) of the Mekong River Commission (MRC)* also focuses on a specific environmental issue with both a significant transversal as well as trans-boundary dimension. For this reason, the programme brings together stakeholders from a range of different institutional backgrounds (e.g. thematic policy-making and regulatory bodies, line ministries and sector agencies, local government, NGOs at all levels, international donors and agencies and countries) and from a variety of countries (Vietnam, Thailand, Cambodia, Laos, China, Myanmar). Again, and in line with the GCCA in general, the interventions in the context of the CCAI are to contribute to the capacity to respond effectively, meaning in a socially and environmentally sustainable way that also helps achieve MDGs, to the challenges of climate change. This, the Identification Fiche (if) contends, will be brought about by a "...climate change vulnerability/impact assessment and adaptation planning and implementation integrated with development planning within the Mekong River Basin" (Identification Fiche, p. VIII). The programme documentation, in particular the expected results, suggests that much of this is predicated on the production, exchange and management of knowledge relevant to policy-making and planning between different stakeholders" (if, pp. VIII and IX). In particular, the programme envisages the establishment of the "Integrated Knowledge Management Programme (IKMP)", a project "designed to facilitate access to and use of the data, information and decision support tools necessary to promote and co-ordinate sustainable development of water and related resources in the Mekong Basin" (Identification Fiche, p. IX). This includes the collection and managing of climate change related data. Since it seems as if neither monitoring reports nor other types of evaluations are available, it is not possible to assess the extent to which these planned activities have been implemented and whether they have supported R&I.

The *GCCA – Projet de Développement durable Régional dans le Sud-Ouest de la République Centrafricaine (PDRSO)* focuses on forestry resources in the Central African Republic. The project aims to improve access and management of forest resources for local communities, create sustainable sources of income from long-term forest management strategies, develop an approach for sustainable

forest management integrated in REDD+ activities and, significantly, build the local capacity through research, education and communication. In particular, the project aims to conduct two of feasibility studies, a public awareness campaign as well as programme to train civil society stakeholders in forest resource management and policy advocacy. This programme involves the Ministry of Water, Forests, Food and Fisheries (MEFCP), forest-based enterprises, stakeholders from the citizen sector as well as the local population in target regions. It is interesting to note that organisations directly relevant to R&I are conspicuous in their absence. Again, since no external evaluations – either in the form of a monitoring report, mid-term review or other type of evaluation – are available, it is difficult to judge the extent to which these planned activities have been put into practice and how they have impinged on R&I capacity.

The *Global Climate Change Alliance (GCCA) project on Climate Change Adaptation and Sustainable Land Management in the Eastern Caribbean*, like the CCAI, takes a regional approach to climate change mitigation and adaptation. The programme sets out to strengthen the “natural resource base resilience to the impacts of climate change” by a) promoting “(e)ffective and sustainable land management frameworks and practices” and b) by engaging in specific “...physical adaptation pilot projects in relevant areas or sectors” (Action Fiche). Apart from creating an enabling policy environment and endeavouring to include as wide a range as societal actors as possible, the action fiche states that component A of the programme will involve the building of human and technical capacities “...to effectively operate and manage the required technical tools for the collection, storage, co-ordination, analysis and display of geo-spatial data necessary to support the decision making process in delivering SLM policies and strategies” (Action Fiche, p. 9). This implies both the acquisition of surveying and monitoring instruments as well as providing training for the effective use of this equipment. Again, no monitoring report or mid-term reviews are available, so there is no way of confirming whether these activities were put into action and how they contributed to the development of R&I capacity.

***Links with Commission R&I strategy and other R&I support programmes (including RTD)***

The programme documentation consulted does not suggest any explicit links between GCCA and other R&I programmes.

***Features: scale, funding source, geographical coverage, time period***

The table below outlines the features of the programmes discussed above.

Table 28 GCCA pilot project features

Project	Duration (months)	Start/end	Coverage	Total cost (EUR)	EU contribution (EUR)
GCCA support facility	36	19/11/2009 - 18/04/2015	Global	2,980,000.00	2,980,000.00
Cambodia Global Climate Change Alliance	54	24/12/2009 - 23/06/2014	Cambodia	9,935,748.06	2,205,816.06
GCCA-E	72	31/01/2011 - 31/01/2016	Ethiopia	10,000,000.00	9,700,000.00
GCCA-Enhancing Belize's resilience to adapt to the effects of climate change	28	13/07/2012 - 12/11/2014	Belize	2,900,000.00	2,900,000.00
Global Climate Change Alliance (GCCA) in the Lower Mekong Basin -- Addressing ecosystem challenges through the support to the Climate Change Adaptation Initiative (CCAI) of the Mekong River Commission (MRC)	48	01/01/2012 - 31/12/2015	Thailand, Cambodia, Vietnam	4,950,000.00	4,950,000.00
GCCA - Projet de Développement durable Régional dans le Sud-Ouest de la République Centrafricaine (PDRSO)	60		Central African Republic	10,500,000.00	4,000,000.00
Global Climate Change Alliance (GCCA) project on Climate Change Adaptation and Sustainable Land Management in the Eastern Caribbean	18	27/12/2013 - 26/06/2015	Eastern Caribbean	846,372.00	846,372.00

### **Relevance and added value of this programme for evaluation**

The relevance of the GCCA programme and its pilot sub programmes to the development of R&I in these countries is difficult to assess from the available documentation. While all pilot sub programmes imply R&I capacity development in partner countries, there is nothing in the literature to suggest that this development has taken place.

### **Sources of evidence available, their coverage and limitations**

The documentation for the pilot sub programme is reasonably complete (Action Fiche, Identification Fiche, TAP, detailed decision forms, detailed contract forms). Monitoring reports are available for three of the six programmes discussed above. One programme features a mid-term review. The GCCA website is very useful for background information.

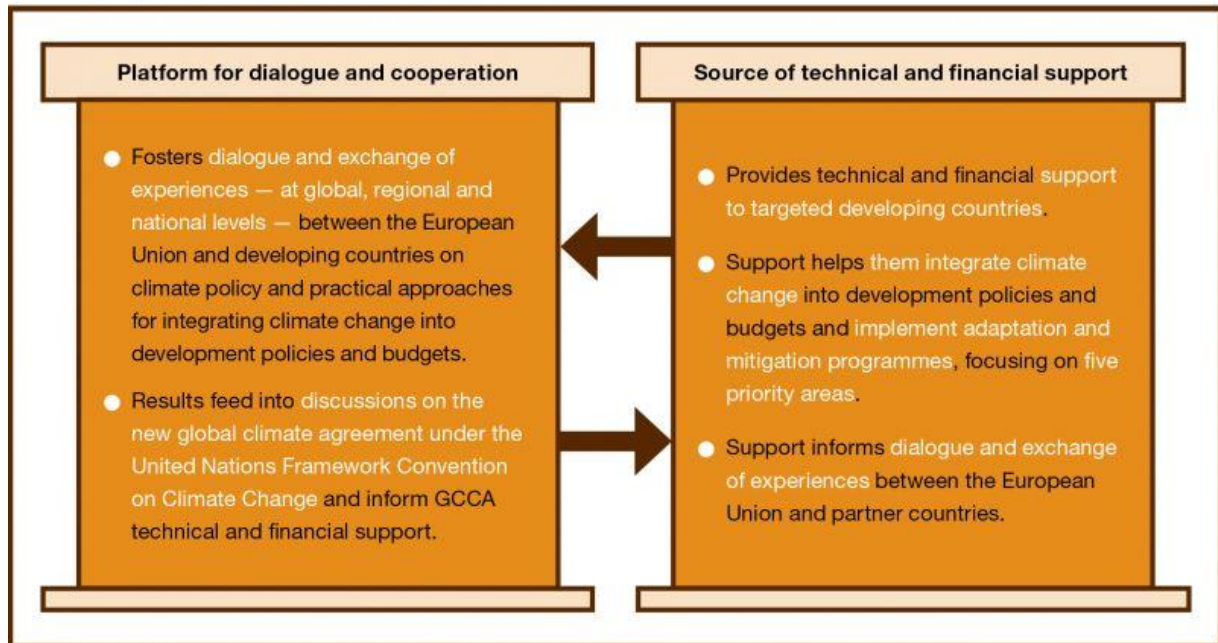
### **Key observations for JCs**

No.	JC	Relevant Observations
11	Link between R&I activities and EU development objectives (as per European Consensus and Agenda for Change – MDGs, etc.)	GCCA explicitly aligns with EU development goals.
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	GCCA features extensive capacity building measures, including interventions relevant to R&I development.
24	Enhanced networking of developing countries' researchers at regional and inter-national level	Several GCCA pilot projects are located at regional level and call for institutional collaboration on climate change adaptation and mitigation.
32	Strategic approach adopted to choosing different possible actors / channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities available	The GCCA has endeavoured to coordinate funding and administration across a range of actors (e.g. the UNDP for the GCCA or the GIZ in the GCCA-E). Evidence suggests that this strategy has been partially successful.

No.	JC	Relevant Observations
	ble	
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	The GCCA programme documentation spells out the causal chains between knowledge generation and the application in sustainable development processes.
53	Extent of external lessons learning, sharing and uptake within the sectors supported in partner countries, and at international level	The sharing and transfer of policy relevant and technological knowledge is an inextricable part of the GCCA programme at all levels. Whether this has taken place and how this has affected R&I capacity remains an open question.

Figure 19 The two pillars of the GCCA and the GCCA+

### The two pillars of the GCCA and the GCCA+



Source: <http://www.gcca.eu/about-the-gcca>

Figure 20 GCCA+ Partners

**GCCA+ partners**

Source: <http://www.gcca.eu/about-the-gcca/partners>



### 3.B.4 Global Forum on Agricultural Research (GFAR)

During the evaluation, it was initially discussed to conduct a joint case study on GFAR and FARA that would map and analyse DEVCO support to global and regional dialogue and agenda setting for agricultural research for development (AR4D). In that case study the focus would have been on FARA. After closer examination it was decided to focus the case study on GFAR, rather than on FARA. GFAR functions as the highest global level platform for dialogue, agenda setting and advocacy for AR4D, whilst FARA works by its nature on a regional level. The nature of GFAR activities is in that sense unique. Another reason to focus only on GFAR is that support to GFAR is seen as a way for the EU to influence global thinking and actions in AR4D in general and CGIAR policy specifically. Also, the overlap between FARA and ASARECA, which is studied in this evaluation as well, is considerable.

#### Brief description of Case Study subject

##### ***Purpose, objective, approach, actors***

The Global Forum on Agricultural Research (GFAR) was established in 1996. GFAR is a platform where all actors involved in creating, sharing, adapting and using agricultural knowledge in agricultural research and innovation systems in different institutions (public, private, academic, civil society) can voice their interests and needs. GFAR aims to make the international agricultural research systems more responsive and relevant to development changes on the ground. One of the main ways of doing this is through the coordination of the biannual Global Conference on Agricultural Research for Development (GCARD). Apart from coordinating the GCARD process, GFAR has other ways of reaching its goals e.g. through research and advocacy on farmers' rights and plant genetic resources, technical and financial assistance to Regional Fora and the Global Foresight Hub that identifies key future agricultural questions that lead to national and regional options for research and policy priorities (Annual Report 2013).

In the GFAR Medium Term Plan 2013 these four core functions help GFAR contribute to organisational and operational change in AR4D systems around the world are highlighted:

1. Collective Advocacy: enable dialogue among all sectors to identify key current and future priorities in agricultural research, innovation and rural development and advocate for key needs to be addressed.
2. Partnership Development: help build effective and equitable partnerships among diverse actors to address the complex issues along innovation pathways to impacts, (and through this increase ARD effectiveness (GFAR Governance Reform Presentation 2013)
3. Transforming Institutions: catalyse collective actions developing the capabilities and creating the transformative changes required in institutions to enable greater impacts for those they serve and
4. Sharing & Using Knowledge: mobilize the access, availability and use of agricultural knowledge and technologies into development purposes. (GFAR Medium Term Plan 2013)

In the Annual Report 2013, outcome areas are defined as follows:

- Farmers (particularly women producers) empowered and informed to better negotiate their own agricultural futures;
- Equitable and effective demand-driven partnerships enabled to transform agricultural research and innovation into impacts at scale;
- Transformative investments in AR4D systems stimulated to better meet the needs and opportunities of the resource-poor;
- Collective initiatives fostered to generate new capacities in transforming AR4D systems;
- Agricultural research and knowledge embedded into rural development agendas and better meeting societal needs;
- Accountability, transformational change and development impacts in AR4D systems increased through greater strategic coherence and more transparent stakeholder involvement.

On their website GFAR talks about needing a revolution in AR4D to eventually lead to development outcomes for the poor. Their criticism on the traditional agricultural research system can be illustrated by this quote from the Medium Term Plan 2013:

“Research has traditionally focused on yield gain potential, yet without recognizing that poor farmers are last to benefit from most interventions. Our ability to measure yields also skews thinking and focus compared to the challenges of measuring environmental and social change” (p. 4).

GFAR is managed by a Steering Committee, delegating execution of operations to a four-headed Management Team. In the Steering Committee the major stakeholders are represented. Besides rep-

representatives from the regional Fora, CGIAR, advisory services, education institutions, farmer's organisations, NGOs, private sector<sup>99</sup>, GFAR facilitating agencies (FAO and IFAD) and youth organisations are all members of the Steering Committee. They can be invited by the Management Team to attend meetings when topics covered relate to the member's specific constituency. In 2013 the Governance of GFAR has been evaluated and reformed. One of the aims of this reform was to reach greater inclusiveness through the membership of NGOs, farmer's organisations and private sector and a stronger link with CGIAR through the membership of CGIAR's chief executive officer (GFAR Governance Reform presentation 2013).

The Steering Committee works closely with the GFAR Donor Support Group (GFAR-DSG). The GFAR-DSG works to mobilize support from the international community for GFAR initiatives. It is currently led by the European Commission. The central place of GFAR in the EUs strategy to strengthen governance in the international agricultural research system and make it more responsive to poor smallholder farmers need can be seen in it appearing first page in the Annual Action Program 2013, while it did not appear at all in the AAPs 2008 and 2010.

The Steering Committee, the Management Team and the GFAR Donor Support Group are assisted by the Forum Secretariat, which is based in the FAO headquarters in Rome.

### ***How does it support or promote R&I?***

The European Union, through this support to GFAR, aims to "strengthen the governance of the international agricultural research system to improve its response to demand from poor smallholder farmers, to increase the role of multiple stakeholders in priority setting and implementation and to improve accountability to users of research products" (Annual Action Programme 2013, p. 1).

Together with CGIAR, GFAR organises the Global Conference on Agricultural Research for Development (GCARD). This biannual meeting has as its aim to "better align the work of the CGIAR with global and regional needs and activities" (review GCARD 2013, p. 4). At the GCARD and through dialogues that are organised in the period towards the conference, GFAR brings together participants from the different regional fora of national research systems (such as FARA (Africa), EPARD (Europe) and APAARI (Asia Pacific)), participants from international and national agricultural research institutions, NGOs, the private sector, farmers' organisations and the CGIAR.

"Through the GCARD process, GFAR, with the CGIAR, is catalysing new ways of working and interaction that build towards achieving large scale development outcomes through equitable partnership and shared objectives among the many and diverse stakeholders active between research outputs and national development impacts, with mutual accountability in these processes" (GFAR Medium Term Plan 2013, p. 6)

An evaluation of the GCARD processes (GCARD Review 2013) signalled that, although sessions at GCARD2 were found useful and knowledge acquired, there likely to impact participants work, a lack of focus and concerns on efficiency and effectiveness were expressed. Also, a stronger partnership with the agricultural development community was recommended. A longer term planning and organisation of the period ahead of the Conference, more and better opportunities for networking and effective communication could be created.

Other CGIAR related activities GFAR takes up are the coordination of regional and global consultations, like the consultation currently taking place on CGIARs Strategy and Results Framework and the new Vision and Mission. Another important CGIAR related theme GFAR works on is the Gender in Agriculture Partnership promoting and developing collective actions around the world for advocacy, knowledge sharing and dialogue to deliver greater gender equity in the AR4D system. Examples of other GFAR activities not directly related to CGIAR activities are the organisational and networking support GFAR gives to the regional Fora and the support of the establishment of baseline data to make return on investments in agricultural research more transparent.

A big challenge in agricultural research and innovation systems GFAR highlights is the reconciliation and linking of two types of knowledge and innovation; one coming from science and the other that of farmers own innovation. GFAR initiates activities that are key to AR4D capacity development like access to information, strengthening advisory services and strengthening the involvement of universities in the agricultural research system (Annual Report 2013).

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<sup>99</sup> The private sector is represented by the chief executive officer of PANAAC. The other members are CropLife and SAI Platform. PANAAC is an African private sector driven platform that works closely with NEPAD and AU under the CAADP. CropLife represents the interest of the major plant science industry (BASF, Syngenta, Monsanto e.g.) SAI Platform represents major food and drink industry and was created by Danone, Nestlé and Unilever in 2002 to facilitate knowledge sharing on sustainable agriculture practices.

The strengthening of advisory and extension services has been supported by EU funds and resulted in the establishment of the Global Forum for Rural Advisory Services (GFRAS) in 2010. GFRAS intends to reform processes in rural advisory and extension through capacity development and collective learning. A network for Young Professionals for Agricultural Development (YPARD) was established with support of GFAR, giving a direct voice to young people in agricultural research and making the AR4D system more responsive to their needs. GFAR continues to host the YPARD secretariat and gives administrative support. YPARD and GFRAS are both members of the GFAR Steering Committee.

In 2013 the Global Foresight Hub contributes to major strategic analyses like the EUs Global Food Security Foresight study of the Joint Research Centre. GFAR is also a platform to create and catalyse multilateral actions that address important farmer-centred themes, like the agricultural implications of climate change. GFAR actively supported the Alliance for Climate Smart Agriculture, and thus contributes to raising societal awareness, informing policies and promoting capacity building making agriculture more future-proof. The advocacy activities of GFAR for greater, more efficient, relevant and responsive agricultural investments are done at the highest levels, like the G8 and G20 and the world's major food companies like Nestlé, Unilever and Coca-Cola. At the same time GFAR supports and actively links with the partnership programme Promoting Local Innovation in Agriculture (PROLINNOVA), a programme that enables the very active creation, dissemination and sharing of local farmer innovation in Africa and Asia.

***Links with Commission R&I strategy and other R&I support programmes (including RTD)***

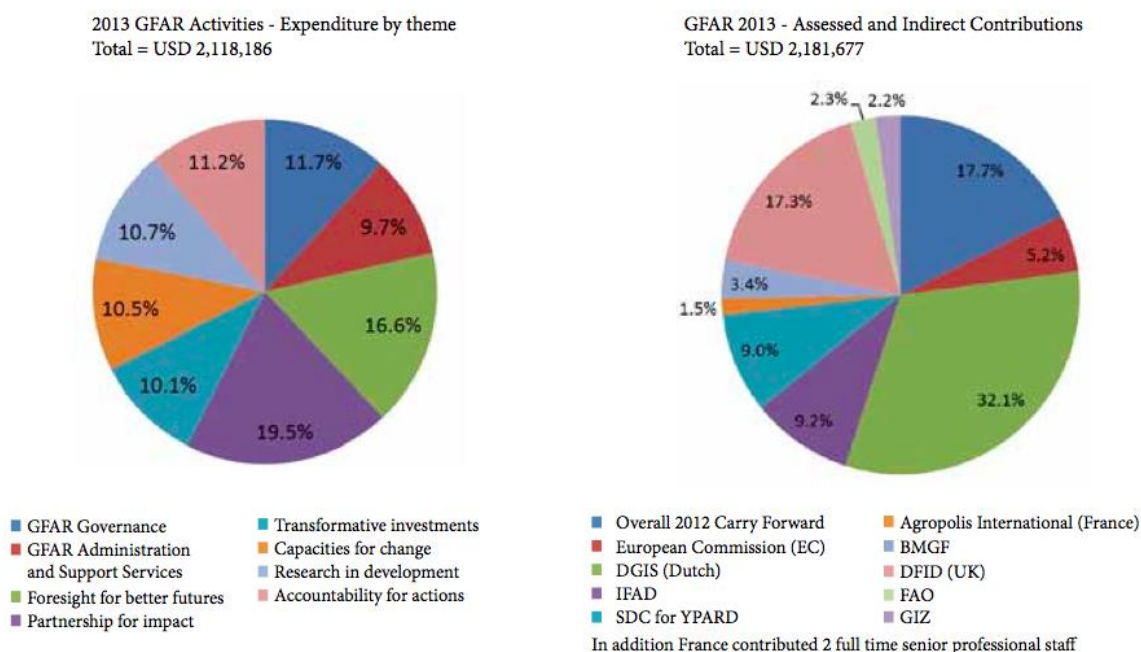
No direct links with other R&I programmes, apart from the Prolinnova (Promoting Local Innovation in ecologically oriented agriculture and natural resource management) network. Prolinnova is partly funded by DEVCO through its support to GFAR. One of the Prolinnova projects, JOLISAA, was funded under FP7. Joint Learning in Innovation Systems in African Agriculture (JOLISAA) is a project carried out in Benin, Kenya and South Africa between 2010 and 2013 by the Prolinnova network. The Prolinnova network works together with the CGIAR Systems programmes and Climate Change, Agriculture and Food Security (CCAFS) to integrate participatory farmer-led approaches in these programmes. Within the JOLISAA project African and European partners explored together with local smallholder farmers the question "How does innovation – i.e. doing new and better things – actually happen in African smallholder farming, and what conditions and policies are required to ensure its success?" (JOLISAA Policy Brief 2013)

***Features: scale, funding source, geographical coverage, time period***

GFAR is funded through the DCI-FOOD instrument 'Global Public Goods for Food and Nutrition Security: Support to International Agricultural Research for Development'. This is the same instrument through which funding of CGIAR is channelled. In the annual Action Programme 2008 EUR 1.25 million was reserved for GFAR and in the Annual Action Programme 2013 an amount of EUR 8 million for the period 2013-2016. The funds are channelled through FAO since GFAR has a legal status of a trust fund of FAO.

Total income received in 2013 for GFAR actions (contributions in 2013 plus 2012 carry forward) was USD 2.2 million. A total of USD 2.1 million was spent or committed in the year 2013. At the end of 2013, a new four-year agreement has been established between FAO (for GFAR) and the EU, doubling the scale of EC commitment to GFAR (Annual Report 2013).

Figure 21 GFAR expenditure and contributions (2013)



Source: GFAR Annual Report 2013, p. 47

### Relevance and added value of this programme for evaluation

EU support to GFAR is essential in the EU strategy to “improve the international agricultural research systems response to demand from poor smallholder farmers, to increase the role of multiple stakeholders in priority setting and implementation and to improve accountability to users of research products” (Annual Action Programme 2013, p. 1). It is difficult to assign GFAR’s contribution to results on a global level directly. However, many of the networking, dialogue and advocacy activities are relevant for the evaluation, also in the light of the EU support to CGIAR.

### Sources of evidence available, their coverage and limitations

The documentation from CRIS on GFAR is not very complete (only the Annual Action Programme 2013 and contract and decision forms). There is however substantial background information and official documents to be found on the GFAR website. Amongst others the Annual Reports, Medium Term Plan and Governance Review were used for this profile. The Draft Minutes of the 29<sup>th</sup> GFAR Steering Committee could also be useful for further analysis.

### Key observations for JCs

No.	JC	Relevant Observations
11	Link between R&I activities and EU development objectives (as per European Consensus and Agenda for change – MDGs, etc.)	The multi-stakeholder consultations facilitated by GFAR are key to strengthening global and regional agricultural R&I governance and to defining R&I needs as described in the EU development strategy papers.
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	GFAR and the GCARD process are global consultative platforms created to increase alignment and coherence of donor support with multiple stakeholders’ needs and priorities. Annual Action Programme 2013 stresses the importance of support to GFAR to improve the responsiveness and relevance of the AR4D system to poor smallholder farmers’ needs, especially women and youth.
22	Increased focus of EU support on ‘capacity building’ and enhancing institutional sustainability	Strengthening and transforming national and regional institutions and the global AR4D system is a key goal of GFAR.
24	Enhanced networking of developing countries’ researchers at regional and international level	GFAR aims to enhance networking at regional and international level between researchers and other R&I stakeholders from developing countries systematically. Support of regional Fora, building partnerships between different institutions and fostering collective actions e.g. on gender in agriculture partnership.
32	Strategic approach adopted to choosing different possible actors	GFAR, globally and through its support to regional platforms and specific activities (i.e. gender), is uniquely positioned to enhance na-

<b>No.</b>	<b>JC</b>	<b>Relevant Observations</b>
	/ channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities available	tional, regional and global dialogue and multi-stakeholder networking for setting the R&I agenda in line with EU development objectives. No documentation available on strategic value of channeling funding through FAO.
43	Level at which DEVCO support has benefited from complementary action financed through RTD and vice versa	The Prolinnova network is a good example how DEVCO and RTD can achieve synergy. It integrates funding from DEVCO (through GFAR), while one of its projects is JOLISAA, funded under FP7. And it works closely together with the CGIAR Systems Programme CCAFS.
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	GFAR aims to strengthen thinking on how research results are to be used in development processes. It is the product of logical thinking about how to make the global agricultural research system more responsive to development actors and processes. At this point of the global CGIAR reform, however, no evidence is available to assess whether the uptake of GFAR results by the CGIAR and hence, its impact on the global research system have been adequate. Initiatives are underway to further strengthen GFAR's input in this respect.
53	Extent of external lessons learning, sharing and uptake within the sectors supported in partner countries, and at international level	GFAR aims to promote lessons learning, sharing and uptake through different activities. The Prolinnova network seems to achieve some impact, e.g. in EU strategy documents. There is not enough evidence to assess the impact of the totality of activities, such as the knowledge and innovation networks on growing out of protracted crises and the development of new metrics for promoting nutritive production and access.

### 3.B.5 2009-2010 Global Programme on Agricultural Research for Development (GPARD) – Non-CGIAR

#### Brief description of Programme

##### **Purpose, objective, approach, actors**

The 2009-2010 Global Programme on Agricultural Research for Development (GPARD) is a component<sup>100</sup> of the Food Security Thematic Programme (FSTP) of the European Commission (EC), which stresses the need for greater and more coordinated investments in agricultural research and development at global, continental and national levels in order to contribute to achieving the Millennium Development Goals. The agricultural sector plays a crucial role in achieving these goals because of its important linkage with food security.

The FSTP addresses agricultural research and development along two dimensions:

1. The global level, which builds on a long-established cooperation with the Centres of the Consultative Group on International Research for Development (CGIAR), while opening it up to new global partners to improve the outreach and the impact of research at field level; and
2. The continental sub-regional level in Africa, Asia, Central and South America.

The 2009-2010 GPARD is specifically related to the first dimension, the global level, in the field of agricultural research and development – contributing to food security – to be provided by organizations other than the Centres of the CGIAR<sup>101</sup>. The GPARD is implemented on the basis of a call for proposals launched by DEVCO at centralized level. To ensure synergies with the research already done by the CGIAR Centres at worldwide level<sup>102</sup>, six themes were selected for the GPARD and under which calls for proposals could be submitted for Grant financing. It concerns the following main themes and their coverage by the Grant Contracts awarded (some contracts covering more than one theme).

Table 29 GPARD themes

GPARD Themes	Grant Contracts (title and CRIS no.)
1. "Conservation agriculture" (based on Agroecology) to combat land degradation in dry land areas.	<ul style="list-style-type: none"> <li>• Smallholder Innovation for Resilience (SIFOR) - Strengthening Innovation Systems for Food Security in the Face of Climate Change: <a href="#">c-287315</a> (<b>Grant Contract 1</b>)*</li> </ul>
2. Innovation systems involving smallholder farmers and Traditional Knowledge (TK) in developing countries, resulting in improved productivity.	<ul style="list-style-type: none"> <li>• Smallholder Innovation for Resilience (SIFOR) - Strengthening Innovation Systems for Food Security in the Face of Climate Change: <a href="#">c-287315</a> (<b>Grant Contract 1</b>)</li> <li>• Increasing yields of Millet and Sorghum by a new and sustainable seed technology developed in the Sahel: <a href="#">c-304690</a> (<b>Grant Contract 2</b>)</li> <li>• Sustaining and Enhancing the momentum for Innovation and Learning around the System of Rice Intensification (SRI) in the Lower Mekong River Basin: <a href="#">c-304801</a> (<b>Grant Contract 3</b>)</li> </ul>
3. Empowering smallholder farmers in the access to markets.	<ul style="list-style-type: none"> <li>• Improving the livelihood of small holder cassava farmers through better access to growth markets (CassavaGmarkets): <a href="#">c-290635</a> (<b>Grant Contract 4</b>)</li> </ul>
4. Risk management in family agriculture in developing countries.	<ul style="list-style-type: none"> <li>• Supporting smallholder farmers in Southern Africa to better manage climate related risks to crop production and post-harvest handling: <a href="#">c-304807</a> (<b>Grant Contract 5</b>)</li> <li>• Sustaining and Enhancing the momentum for Innovation and Learning around the System of Rice Intensification (SRI) in the Lower Mekong River Basin: <a href="#">c-304801</a> (<b>Grant Contract 3</b>)</li> </ul>
5. Agricultural diversification (high value crops	<ul style="list-style-type: none"> <li>• No Grant Contracts (but possibly under Grant Contract</li> </ul>

<sup>100</sup> Component 1 (also called Priority Area 1): Research and Technology 2009-2010 – contributing to food security.

<sup>101</sup> Source: Action Fiche for Food Security Thematic Programme (FSTP); Priority area 1: Supporting the delivery of international public goods contributing to food security through research and technology: "2009-2010 GPARD – Non CGIAR" (no date).

<sup>102</sup> The CGIAR Centres are not eligible for funding under the GPARD as they are funded through one of the four sub-components of the FSTP programme – Global Research (CGIAR). Source: Action Fiche FSTP – 2009-2010 GPARD.

GPARD Themes	Grant Contracts (title and CRIS no.)
and underutilized species).	3 – to be verified during field phase)
6. Improvement and/or development of new and more effective tools for the control of endemic neglected diseases and zoonoses affecting livestock production	<ul style="list-style-type: none"> <li>• Improving the management of trypanosomiasis in smallholder livestock production systems in Tse-Tse infested Sub-Saharan Africa: <u>c-279754 (Grant Contract 6)</u></li> </ul>

Notes: Some Grant Contracts cover more than one theme such as Grant 1 and 3.

\*For the sake of convenience, in this report each of the six Grant Contracts is given a single number (1 to 6).

The specific purpose of the GPARD is to generate research results on a broad range of themes relevant to smallholder farmers' food security with the aim of supporting policy-making in this area while guaranteeing that research results reach the intended beneficiaries, the low-income smallholder farmers, through dynamic innovative systems.

The overall objective of the GPARD is to promote agricultural innovation for smallholder farmers in developing countries in order to improve food security, enhance adaptation/mitigation to climate change and strengthen economic development.

The approach used by the GPARD is based on the EC's "2008 *Guidelines on Agricultural Research for Development (ARD)*" which have been developed around passed experiences (lessons learnt) regarding agricultural research and development at international and EU level. Hence on the basis of past experiences, there is a trend towards more demand-based ARD programming with a move away from the previous top-down approach to an approach of building partnerships between science institutions and public and private sectors - linking research to farmers through extension services to disseminate technical innovations<sup>103</sup> with the equitable participation of smallholder farmers to maximize direct and indirect impact on food security. Besides technical innovations the new approach now encompasses non-technical innovations at institutional and organizational level, and other forms of innovation such as making more use of existing Traditional Knowledge (TK) at the smallholder farm level, to improve productivity and to mitigate risks due to climate change (droughts and floods). Regarding the latter, an important aspect of the overall approach is building towards sustainable agricultural advisory services and dissemination mechanisms that are able to:

1. Support farmer innovation and experimentation;
2. Facilitate learning between farmers and researchers; and
3. Provide farmers with the information they need to make own choices regarding sustainable agricultural practices (using innovations based on TK).

The main actors of the GPARD are:

1. EC/Development and Cooperation DG (DEVCO) – Rural Development, Food Security, Nutrition - in Brussels (as the contracting authority);
2. The lead companies of the six Grant Contracts awarded under the GPARD: the University of Greenwich (United Kingdom), the University of Copenhagen (Denmark), the Asian Institute of Technology (Thailand), the Food and Agriculture Organization (Italy), the International Institute for Environment and Development (IIED) (United Kingdom), the Prince Leopold Institute of Tropical Medicine (Belgium);
3. The international and national institutions which have partnered-up with the lead companies/partners;
4. Farmers' organizations and smallholder farming communities in Africa, Asia, South America and which have been selected by the lead companies and their partners as target beneficiaries of their GPARD project;
5. Local traditional and political leaders; and
6. Local government institutions and ministries.

More details on the Grant Contracts, the lead companies and their partners are provided in the next section. As the EU Delegation (EUD) in the target countries should obviously be considered as another main actor of the programme, in reality this appears not to be the case as reported by the various

<sup>103</sup> Meaning the dissemination of new products and services developed by the national and international research institutes by way of the existing agricultural advisory services in a country. Based on extensive expert reviews, the latter is often a weak point in the dissemination process due to the lack of institutional, technical and financial capacity of these services in the developing countries.

monitoring missions, with the relevant EUD not having information about the programme<sup>104</sup>. This is confirmed by the field visit in Peru, where the local partner of the IIED, ANDES, indicated there was no significant contact with the EUD in Lima.

### **How does it support or promote Research and Innovation for development (R&I)**

As part of its methodology as presented in the Action Fiche<sup>105</sup>, the GPARD supports and promotes Research and Innovation for development (R&I) by way of delivering pro-poor scientific, technological innovations and policy options, and by developing and enhancing the links between agricultural research and extension programmes, research capacity and institution building, and which are clearly to respond to the beneficiaries' need. Hence the programme is to enhance the active participation of low-income smallholder farmers (the main beneficiaries), as well as other civil society and private players in research and extension programmes, by improving the exchange of information, experience and knowledge - through scientific and producers' association networks and (multi) stakeholder platforms – which eventually is to lead to more innovation capacity among the Agricultural Research for Development (ARD) players in developing countries. These main programme interventions are thus in line with the (bottom-up) approach used by the GPARD towards more demand-based ARD programming, in order to maximize the direct and indirect impact on food security, and by making more use of Traditional Knowledge (TK) at smallholder farm level to improve productivity and to mitigate risks due to climate change (drought and floods). Regarding the latter, it is to be noted that climate change is an overall cross cutting issue of all the projects (the six Grant Contracts), under the GPARD.

The main expected results of the GPARD, in line with the six programme themes as mentioned earlier, are the following:

1. *Productivity improved* based on improved soil fertility and a more efficient use of labour and resources available to smallholder farmers; (Theme: Conservation agriculture to combat land degradation in dry land area);
2. *Productivity improved* through the better use of knowledge by smallholder farmers (Theme: Innovation systems involving smallholder farmers and Traditional Knowledge or TK);
3. *Cash income increased* of smallholder farmers, greater stability of income and increased agricultural production diversity (Theme: Empowering smallholder farmers in the access to markets);
4. *Reduction of vulnerability to disaster* of smallholder farmers through improved management of risks at local and regional level (Theme: Risk management in family agriculture in developing countries);
5. *Increased farm net-income* through the introduction of high value crops (Theme: Agricultural diversification, high value crops and underutilized species); and
6. *Improved livestock production and human health* in livestock areas through better control of endemic neglected diseases and zoonoses (Theme: Improvement and development of new and more effective tools for the control of endemic livestock diseases).

Of the six Grant Contracts, the majority of them deal with improving productivity through the better use of knowledge by smallholder farmers (incl. use of TK), and the reduction of vulnerability to disaster through improved risk management (drought and floods). Just one Grant Contract is dealing with increasing cash-income with better access to markets (value chain approach). None are directly dealing with increasing farm net-incomes through the introduction of high value crops. As it is a highly specialized theme, just one Action Grant is dealing with improved livestock production through the control of animal diseases and human health in livestock areas (Trypanosomiasis).

One of the projects is Smallholder Innovation for Resilience (SIFOR): strengthening innovation systems for food security in the face of climate change (c-287315). There are four monitoring reports based on field missions done in April 2014. Three of the four MRs deal with the project activities in Peru, China and India. The monitoring report concerning the project as a whole (MR-147002.01) finds the following:

- The project aligns with countries interests to support in-situ conservation and traditional knowledge and the protection of farmers' rights to access to genetic resources. The project takes into account the obstacles for innovations among smallholder farmers to take place. It involves a broad range of stakeholders to facilitate changes in policies at different levels. The

<sup>104</sup> Monitoring mission project "smallholder innovation for resilience" covering China, India, Kenya and Peru, March 2014

<sup>105</sup> Action Fiche for Food Security Thematic Programme (FSTP); Priority area 1: Supporting the delivery of international public goods contributing to food security through research and technology: "2009-2010 Global Programme on Agricultural Research for Development (ARD) – Non CGIAR". (no date)



intervention logic is well thought out, but indicators to capture progress and success are lacking. A lot of effort is put into the preparation of the project: two workshops were organised to set a strong methodological common approach, surveys on innovations and innovations systems for the baseline data were prepared and implemented. The survey work in Kenya and Peru was still on-going during the monitoring mission in April 2014 (*MR-147002.01, p.2*).

- Implemented activities include workshops, farmer exchange visits and community based seed registration among others. Apart from the dissemination of a video, brochure and press-release, the project coordinator presents the objectives and outcomes of the project at several conferences, aiming to promote the application of innovations. The EUDs in the respective countries are not informed about the project activities, despite the fact that the project coordinator sends quarterly e-mail updates to several stakeholders (*MR-147002.01, p.3.*)
- Implementation of the surveys has created interlinkages between the farmers participating in the projects, increased awareness and appreciation of traditional knowledge and stimulated the discussions around actions to be developed. The integrated empowering approach could lead to better dissemination for example to neighbouring communities than more traditional approaches would. The project acknowledges the long time it takes for communities before becoming self-sufficient in managing innovation and community-based seed registration. The creation of platforms has proven to be important to share experiences and to be able to collaborate with other institutions and organisations that can provide technical and marketing support (*MR-147002.01, p.4*).

Evidence gathered during the field mission in Peru:

*Description:*

The project in Peru aims to map the existing traditional knowledge-based innovations in the Potato Park (an innovative structure of six Quechua communities in the Sacred Valley in Peru) and to build on these findings to improve and enable further innovations together with the local farmers and women collectives. The communities of the Potato Park, represented by ANDES, have been working together with the International Potato Centre (CIP), mostly with the gene bank. The SIFOR project works with farming communities in vulnerable areas that are rich in crop diversity to identify, conserve and spread resilient crop varieties for adaptation. It builds on a previous project 'Protecting community rights over traditional knowledge'. The budget for the activities in Peru are budgeted for EUR 0.56 million.

*Rationale and findings:*

ANDES is an organisation that has an extensive track record in working with the communities in the Potato Park. IIED has worked with ANDES in the preceding project on traditional knowledge and resilience as well. The project aims to generate evidence of the role of 'biocultural innovations' (e.g. traditional varieties or practices) in resilient farming systems, develop practical tools and approaches to strengthen local innovation systems like community seed registers and market innovations and the project aims to promote enabling policies and institutions at local, national and global level. The communities in *Parque de la Papa* manage community seed banks, a restaurant, and work on the development of new products and brands. The project collaborates with UNESCO and local governments on the conservation and protection of integrated landscapes and landscape governance within the framework of biocultural heritage. They also work together with the FAO commission on Genetic Resources for Food and Agriculture.

Evidence gathered during the field mission in Kenya:

*Description:*

The SIFOR project in Kenya (Euro 2.3 million, start date August 2012) was about climate change adaptation, targeting small-scale farmers on the coast, where the rains are becoming erratic and are expected to become more so. It is based on mobilising indigenous knowledge. The international implementing partner is the International Institute for Environmental Development in London and the network consists of institutions in India, China, Peru, and Kenya (KEFRI). The teams meet together at least once a year and have formed close professional relationships. Through the network, they gain access to the latest international research. National and county policymakers, as well as local farmers, also participate in an annual workshop.

*Rationale and findings:*

The coastal areas of Kenya are judged to be among those most vulnerable to climate change. As described by the case study for GPARD, SIFOR design was informed extensive consultations with developing country research institutes, in part through the Forum for Agricultural Research in Africa and was informed by FP7 research. No documentation for the Kenya component was available, but KEFRI staff interviewed expressed great satisfaction with the project. The mobilisation of local expertise and the commercialisation of products (soaps, etc.) manufactured from local crops resistant to worsening

climate conditions was judged to have been moderately successful. However, the responsible staffers warned that there were sometimes serious legal issues involved in patenting and licensing innovations based on local indigenous knowledge. This was perhaps complicated by the fact that the coastal areas covered are considered part of the national patrimony and are as such under the purview of the National Museum.

#### ***Links with Commission R&I strategy and other R&I support programmes***

The above mentioned programme results as based on the results of a consultation exercise (workshop in 2008) with the Forum for Agricultural Research in Africa (FARA) and the European Forum on Agricultural Research for Development (EFARD), while discussing the EC's agricultural research programming for the Framework Programme 7 – Food, Agriculture, Fisheries and Biotechnology Theme (FP7-FAFB). Further inputs were provided by the Southern Advisory Group (SAG). EU member states have also been consulted through the European Initiative for Agricultural Research for Development (EIARD), whereby some have expressed their interest to join the GPARD<sup>106</sup>. This implies that the ongoing interventions of the EC under the GPARD are in accordance with the views of the agricultural research institutes in the developing countries and likely with those of the EU member states. This is reflected in the organizational set-up of the six Grant Contracts where each lead company teamed up with between four to eight partners, most of which are national research centres or institutes and relevant faculties (agricultural science) of national universities (see further below).

From the documentation reviewed (Grant Contracts mainly it is however not known in what manner and at what level the interventions of the six Grant Contracts have synergies with the research already done by the CGIAR Centres at worldwide level. None of the CGIAR Centres are partners of the six Grant Contracts as they were not eligible as applicants or partner under the call for proposals under the 2009-2010 GPARD. Indeed, within the SIFOR project, ANDES and the Quechua communities of the Parque de la Papa have been co-operating with the CIP. There are clear linkages and synergies of this GPARD intervention with the IssAndes project, a regional programme implemented by CIP and supported by EU DEVCO (see case study). These linkages are forged on the level of CIP. The EUD in Lima appears to have little information about the SIFOR project and is not actively connecting the different projects.

#### ***Features: scale, funding source, geographical coverage, time period***

An allocation was initially made of EUR 5 million for the implementation of the 2009-2010 GPARD and there was a concern that the call would not attract enough proposals. However, subject to the adoption of the 2010 budget, an amount of EUR 18 million<sup>107</sup> would possibly be added to finance the selected projects under the call for proposals. In May 2010 the total available envelope for the call was EUR 25.5 million<sup>108</sup> whereby nine applications were selected and signed off on May 31, 2010 for the award of a Grant Contract by the evaluation committee of GPARD applications with a total grant value of EUR 23.8 million, and with six eligible applications selected and placed on the reserve list with a total grant value of EUR 14.8 million. According to information provided by the EC's Common External Relations Information System (CRIS) of June 2011, the six applications placed on the reserve list were awarded a Grant Contract under the GPARD for a total grant value of EUR 14.8 million with a budget as per CRIS of EUR 15 million (funding from the Food Security budget). At this point it is not known why the budget was reduced from EUR 25.5 million to EUR 15 million for the GPARD and which may have played a role in awarding the Grant Contracts to the six applications, placed on the reserve list, in order to stay within the available (reduced) budget.

The following table provides more detailed information on the six Grant Contracts, the type of intervention, lead companies and their partners, the EC grant amount, project duration and coverage (target countries).

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<sup>106</sup> France is supporting the sustainable development of agricultural research systems with the International Centre for Development Oriented Research in Agriculture (ICRA) and the European Consortium for Agricultural Research in the Tropics (ECART) with support from the International Fund for Agricultural Development (IFAD). The United Kingdom (with Canada) and Germany are supporting programmes which deal with agriculture and climate change in Africa.

<sup>107</sup> To be financed from the general budget of the EC for 2010 (source: Action Fiche for FSTP, 2009-2010 GPARD)

<sup>108</sup> Source: Evaluation Report of Open Call for Proposals – Final Eligibility Checks, 13 May 2010

Table 30 Overview grant contracts GPARD

CRIS contract no.	Title of Grant Contract	Lead Company/ partners	(EC Grant in Eur)	Duration (months)	Countries (zone)
c-287315 <b>(Grant Contract 1)</b>	Smallholder Innovation for Resilience (SIFOR): strengthening innovation systems for food security in the face of climate change	Lead company: Institute for Environment and Development (UK) Partners: 5 (4 NGOs and 1 research institute)	2,338,158	60 (start: Aug 2012)	China, India, Kenya, Peru (zone: miscellaneous countries)
c-304690 <b>(Grant Contract 2)</b>	Increasing yields of Millet and Sorghum by a new and sustainable seed technology developed in the Sahel	Lead: University of Copenhagen (Denmark) Partners: 4 (2 universities, 1 research institute, 1 national extension service)	1,602,827	48 (start: Dec 2012)	Burkina Faso, India, Tanzania (zone: miscellaneous countries)
c-304801 <b>(Grant Contract 3)</b>	Sustaining and Enhancing the momentum for Innovation and Learning around the System of Rice Intensification (SRI) in the Lower Mekong River Basin	Lead: Asian Institute of Technology (Thailand) Partners: 3 (1 internat. Organization - FAO, 1 NGO, 1 research institute); two Associates: 2 universities.	2,908,471	60 (start: Jan 2013)	Cambodia, Laos, Thailand, Vietnam (zone: South East Asia Region)
c-290635 <b>(Grant Contract 4)</b>	Improving the livelihood of small holder cassava farmers through better access to growth markets (CassavaGmarkets)	Lead: University of Greenwich (UK) Partners: 6 (2 universities and 4 research centres/institutes)	2,888,488	55 (start: May 2012)	Nigeria, Ghana, Tanzania, Uganda, Malawi (zone: West- and Eastern African region)
c-304807 <b>(Grant Contract 5)</b>	Supporting smallholder farmers in Southern Africa to better manage climate related risks to crop production and post-harvest handling	Lead: Food and Agriculture Organization (Italy) Partners no: 6 (2 universities, 4 research centres/institutes)	2,093,099	36 (start: Dec 2012)	Madagascar, Malawi, South Africa, Zimbabwe (zone: Southern Africa region)
c-279754 <b>(Grant Contract 6)</b>	Improving the management of trypanosomiasis in smallholder livestock production systems in Tse-Tse infested Sub-Saharan Africa	Prince Leopold Institute of Tropical Medicine (Belgium) Partners 8 (4 universities, 3 research centres, 1 Veterinaries without Borders – VSF)	2,994,878	60 (start: Mar 2012)	Burkina Faso, Ethiopia, South Africa, Togo, Mozambique (zone: West- and Eastern Africa region)
<b>Total</b>		<b>Six lead and 32 partners + two associates</b>	<b>14,825,921</b>	<b>36-60 months</b>	

The table shows that lead companies have partnered-up with between four and eight partners or associates, most of them are situated in the target country. Most partners are national universities and research centres or institutes; in some cases international organizations (e.g. FAO) and local NGOs (the most under Grant Contract 1: four). Almost all Grant Contracts started some time in 2012, with project durations of between 36 to 60 months; Grant Contract 3 (System of Rice Intensification- Lower Mekong River Basin) started in January 2013. Except for Grant Contract 5 (management climate risks to crops and post-harvest handling with FAO as lead, to end in December 2015), most Grant Contracts will end sometime in 2016-2017.

Regarding their geographical coverage, the majority of the GPARD Grant Contracts have Africa as target region (West, East and Southern Africa: four Grant Contracts). Just one Grant Contract (Grant Contract 1: Smallholder innovation for resilience) covers all regions: Asia, Africa and South America, albeit on a very modest scale in just four countries. One contract deals with Asia only (South East Asia covering Cambodia, Laos, Thailand, Vietnam: Grant Contract 3). This means that with such a geo-

graphical coverage, the GPARD should be seen more as a continental/sub-regional level programme rather than a global level programme as foreseen in its design.

### **Sources of evidence available, their coverage and limitations**

To date the sources of evidence available are rather limited for almost all Grant Contracts. Except for *Grant Contracts 1 and 2*, no ROM reports are available which would show implementation progress made so far regarding the achievement of the projects' purpose, objectives and expected results. For none of the Grant Contracts, project progress or annual reports are available (see Annex 1<sup>109</sup>: a Synopsis). The main coverage of the Grant Contracts, as derived from the Grant Applications, is mainly related to the development of innovative systems involving smallholder farmers with the use of Traditional Knowledge (TK) and the bottom-up approach (as per GPARD approach), which are to result in improved productivity (GPARD Theme no. 2) and in better risk management in smallholder agriculture to mitigate the negative effects of climate change (GPARD theme no. 4).

All Grant Contracts have as overall or specific objective(s) increased productivity by way of: 1) improved crops yields, incl. livestock production with the reduction of African Animal Trypanosomiasis (AAT)<sup>110</sup>, using "smart" farming principles (i.e. better use of labour and farm inputs, and the use of innovative techniques to mitigate the negative effects of climate change); 2) increased smallholder farm income through the reduction of postharvest losses, enhancing product quality and (farm) processing techniques; and 3) increased added value by linking farmers to markets with the use of a value chain approach by the projects. All of which are to contribute to the principal aim of the GPARD – to enhance food security of smallholder farm families. Noted is that none of the Grant Contracts deal with agricultural diversification, although it may be the case with *Grant Contract 3* (System of Rice Intensification) but not shown prominently as a specific activity of the project. Except for the lack of evidence based information, there are no significant limitations observed. As mentioned earlier, the projects' logframes are an important tool for this evaluation and are generally considered of good quality in terms of their intervention logic and having well qualified and quantified indicators on overall (as depicted in the OVIs). An important core document for the evaluation is the Action Fiche of GPARD which clearly spells out the main purpose and objective of the GPARD and how this is to be achieved with the various interventions by the six Grant Contracts (see following chapter).

### **Key observations for JCs**

<b>Number</b>	<b>JC</b>	<b>Relevant observations</b>
JC 11	Link between R&I activities and EU development objectives (as per European Consensus and Agenda for change – MDGs, etc.)	There is a link between the objectives of the Grant Contracts under the GPARD and those of the EU as indicated in the GPARD Action Fiche. Expected results and activities of the six Grant Contracts are in line with at least five GPARD schemes (out of the six themes). In the Smallholder Innovation for Resilience-project, conserving biodiversity of the relatively small number of major food crops is considered to contribute directly to future food security.
JC 12	Extent to which R&I has informed sector policy dialogue and sector support at national and regional levels	SIFOR/ <i>Parque de la Papa</i> works with the local government (landscape governance, education), the FAO (seeds in framework of the International Treaty of Phytogenetical Resources) and UNESCO (Biocultural heritage).
JC 22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	Sufficient focus of all Grant Contracts on capacity building of smallholder farmers and local institutions in improving national crop and livestock production systems, with the use of the bottom-up approach and innovative techniques and systems based on Traditional Knowledge and adaptation to climate change. Also focus on institutional sustainability but uncertain how this is secured. Level of collaboration with local partners should be analysed during the field phase. Case in point on institutional sustainability is the development of competent and functioning African laboratories and veterinary services in Africa (Grant Contract no. 6: Improving management of Trypanosomiasis). High operational costs of labs and vet services notorious. SIFOR involved bringing researchers and farmers from all the countries involved were brought together to share experiences and lessons learned. This was viewed as having contributed to

<sup>109</sup> Based on the results of the review of available documentation of the GPARD a special table (Synopsis) has been prepared as Annex 1 with a listing of available and missing documentation considered critical for this particular evaluation, including main points of attention for the evaluation during the field phase.

<sup>110</sup> African Animal Trypanosomiasis (AAT) which is claimed to affect 60% of the livestock in tsetse fly infested regions in Africa

		capacity building in ways that national institutions would find difficult to replicate.
JC 24	Enhanced networking of developing countries' researchers at regional and international level	In the case of the GPARD this very much would be networking at the level of the CGIAR Centres, which operate at both regional and international level. This was confirmed for the SIFOR programme in Peru, where researchers and farmers worked together with researchers from CIP on genetic diversity of native potatoes etc. SIFOR brought together teams from institutions in India, China, Peru, and Kenya. The teams meet together at least once a year and have formed close professional relationships. Through the network, they gain access to the latest international research. National-level policymakers, as well as local farmers, also participate in an annual workshop
JC 32	Strategic approach adopted to choosing different actors/channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities available	The action fiche is clear about the strategic approach adopted with the accommodation of new global partners (besides the CGIAR), to improve the outreach and impact of R&I at field level in order to contribute to enhancing food security of smallholder farmers. There is a broad range of GPARD themes, almost all covered by the new global partners in accordance with their competence. Instruments and modalities of EC support in accordance with general rules and regulations pertaining to Grant Contracts. However not clear why new partners were chosen from the reserve list of eligible applications and not those recommended for selection for Grant Contract award by the evaluation committee of the open calls for proposal. Also no evidence based information available on support provided by the EU Delegations in the target countries covered by the (six) Grant Contracts.
JC 43	Level at which DEVCO support has benefited from complementary actions financed through RTD and vice versa	The GPARD programme is to be complementary to other elements of the FSTP and the FA7-FAFB programme of the EC (DEVCO). The latter programme is currently being designed to be consistent with the interventions under the GPARD. (as per Action Fiche-GPARD). No evidence based information available regarding type and level of complementary actions between the two programmes. Complementarity mainly to be sought in the field of: 1) Continental & Regional African Research; 2) Continental & Regional African Food Security Programme; and 3) Contribution to the Global Donor Platform for Rural Development (as per Action Fiche – GPARD).
JC 51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	Expected results of the GPARD indicate that research results (crops and livestock) are to be used in the development processes which are to lead to enhanced food security at smallholder farmers' level with improved productivity, increased farm net-incomes, and reduction of vulnerability to disaster due to climate change. (i.e. better risk management) Expected results were formulated based on consultation exercises with FARA, EFARD (European Forum on Agricultural Research for Development), SAG (Southern Advisory Group) and the EIARD. This implies that the expected outcomes of GPARD are to be in line with the views of these main ARD players.
JC 54	Development process and outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks	The approach used by the GPARD is based on the EC's "2008 Guidelines on Agricultural Research for Development (ARD)", which have been developed around passed experiences (lessons learnt) regarding ARD at international and EU level. Programme interventions and outcomes are in line with this approach and (implicitly) with the views of main ARD players as mentioned in JC 51. The surveys of the Smallholder Innovation for Resilience-project (SIFOR) created interlinkages between the farmers participating, increased awareness and appreciation of traditional knowledge and stimulated the discussions around actions to be developed. <ul style="list-style-type: none"> <li>• SIFOR in Peru worked closely together with the Genetic Resources Conservation project by CIP. The projects have both had impact on seed conservation of native species, on developing farmers' practices to adapt to climate change, which is impacting poor people in the Andes severely.</li> <li>• The SIFOR project in Peru contributes to the work of an association of six communities in the <i>Parque de la Papa</i> e.g.</li> </ul>

		<p>the development of communal seed banks, the development of new products and brands.</p> <ul style="list-style-type: none"> <li>• In the <i>Parque de la Papa</i> there are 400 varieties being grown in the field to test for certain traits and how they are reacting to changing conditions due to climate change. Communities are exploring possibilities of growing seed potatoes, because of the favorable conditions on high altitude. They function as live laboratories of climate change and link local knowledge with conventional knowledge.</li> <li>• The SIFOR project creates the linkages between these locally developed technologies, based on indigenous or traditional knowledge, with the other projects in Kenya, China and India and creates synergies between the different communities.</li> <li>• The SIFOR project work together with UNESCO and local governments on the conservation and protection of integrated landscapes and landscape governance within the framework of biocultural heritage. They also work together with the FAO Commission on Genetic Resources for Food and Agriculture.</li> <li>• The project in Peru has supported a community in Huancavelica to grow different native potato varieties to market to a European chips producer. Five of the seven potato varieties come from the repatriation programme of CIP.</li> <li>• In Kenya, the EU has adopted a value-chain approach in its approach to rural development, and in its support for R&amp;I attempts to encourage institutes to bring in necessary partners. This needs to be done at programming stage, because it is impractical to give support to research institutes and then expect them to pass it on to other partners as work progresses. According to both EU staff and international experts, there has been some success, but limited, in encouraging national research institutions to adopt a ground-up approach to needs prioritisation and programme design. Co-financing is an important issue: the EU can properly support research as a public good, but at the innovation stage, involvement of the government or private sector is called for. Research organisations can only take products to the prototype stage; real commercialisation requires involvement of the private sector. There have been some successes in this area, e.g. with KEFRI through the SIFOR project.</li> </ul>
JC 62	Extent to which R&I policy dialogue is operational at all levels	As part of the purpose of GPARD, the programme is to support policy-making on the basis of its research results relevant to smallholder farmers' food security through dynamic innovative systems. The lead companies of the Grant Contracts have partnered-up with between four to eight partners or associates in the target countries. (national universities and research centres or institutes). It is assumed that largely through these partners, national policy makers will be informed and guided by the GPARD (workshops, conferences, etc) in the development of policies and budgetary allocations to promote agricultural innovation for smallholder farmers in order to improve food security, to enhance the adaptation/mitigation to climate change and to strengthen economic development. Evidence based information is however lacking regarding the type and level of policy support to be provided by the GPARD.
JC 63	Extent to which the EU facilitates R&I activities at all levels	The EU facilitates R&I activities to a large extent as depicted in the (six) themes which were identified during the consultations with the main ARD players mentioned in JC 51 and embedded in the EC's "2008 Guidelines on Agricultural Research for Development (ARD)". Expected results and activities of the six Grant Contracts are in line with at least five GPARD schemes (JC 11).

### 3.B.6 Higher Education and Mobility

#### Brief description of Case Study subject

##### **Purpose, objective, approach, actors**

This case study focuses on different programmes: Erasmus Mundus (Action 2), EDULINK, as well as TEIN and ACP-Connect. They provide three different types of support: the first is a mobility programme; EDULINK is to foster cooperation in HE, while the last two are for R&I infrastructure and particularly high-speed communication and data transfer networks.

The Erasmus Mundus enables students and faculty from partner countries around the world to spend time studying and researching at European HEIs. The programme "...aims to enhance the quality of European higher education and to promote dialogue and understanding between people and cultures through cooperation with Third-Countries"<sup>111</sup>. Since 2008, the programme pursues this goal in three distinct actions. Action 1 offers scholarships to joint Masters or PhD programmes that are offered by consortia of HEIs from Europe and partner countries. Action 2 establishes partnerships between HEIs in Europe and partner countries and provides scholarships for mobility within these partnership networks. This Action also included and continued the so-called "External Cooperation Windows" started in 2006. These provided targeted additional funding for mobility for specific regions and countries. Action 3 supports activities to promote European higher education. The programme addresses HEIs as well as students, faculty and staff (Actions 1 and 2) and organisations active in Higher Education (Action 3).

The EDULINK I and II are programmes for "fostering co-operation in the field of Higher Education between the countries of the ACP States and the European Union"<sup>112</sup>. The programme aims to bring about "capacity building and regional integration in the field of higher education" by networking HEIs as well as to support the quality of tertiary education so that it supports labour market and socio-economic development needs. This means strengthening both academic and administrative aspects of HEIs in ACP countries. The programme expects to bring about the following outcomes<sup>112</sup>:

- Enhanced contribution to national and regional policies and development plans for cooperation in higher education;
- Increased inter-institutional networking between HEIs in the ACP and with EU HEIs, including institutions offering teacher training, degrees and diplomas contributing to regional solutions to teacher shortages;
- Improved management and financial administration of ACP HEIs;
- Upgraded qualifications of academic staff of ACP HEIs;
- Improved institutional frameworks to pursue academic programmes and academic excellence in ACP HEIs;
- Increased mobility of postgraduate students and teaching staff through the provision of joint programmes;
- Delivered study programmes in high level skills required by the national and regional labour markets;
- Relevant national or regional quality assurance standards of study programmes are met.

The TEIN and ACP-Connect programmes both aim to create high-efficiency, dedicated regional data networks for HEIs. The ultimate aim in both regions is similar. TEIN seeks to contribute to "sustainable economic growth" while ACP Connect strives to "...contribute to poverty reduction" by creating effective and efficient data networks for education and research in, respectively, Asia and the ACP countries. Both programmes aim not only to create new and expand existing high-efficiency data networks but also to stimulate the generation of suitable ICT applications, build capacity for the management of these networks as well as enable connectivity with the European GÉANT network. The approach to creating regional data networks for education and research is to first build capacities (both in terms of network hardware and in terms of organisational and managerial resources) at national level in the form of National Research and Educational Network (NRENs). These are bodies "responsible for providing and distributing the connectivity to the research institutions in its home country" (Action Fiche, D-21576). Once national network capacities are operational, the programmes build regional networks by connecting the data networks NRENs. The ACP-Connect programme consists of three sub-programmes: one for Africa (AfricaConnect), one for the Caribbean (in conjunction with the C@ribnet) and one for the Pacific region. Both programmes involve a wide range of actors including

<sup>111</sup> [http://eacea.ec.europa.eu/erasmus\\_mundus/programme/about\\_erasmus\\_mundus\\_en.php](http://eacea.ec.europa.eu/erasmus_mundus/programme/about_erasmus_mundus_en.php)

<sup>112</sup> <http://acp-edulink.eu/content/about-edulink-0> accessed December 27th, 2014

the core project partners and National Research and Education Networks (NRENs), user application stakeholders, end-users, as well as government stakeholders. The TEIN programme was implemented by the international NGO DANTE, an EU body specifically focussed on building national research and education data networks (Action Fiche, *D-19268*).

### **How does it support or promote R&I?**

These programmes supported R&I by building networks, albeit in rather different ways. While the mobility programmes aimed to construct networks of researchers and HEIs, TEIN and ACP Connect support the construction of data networks for education and research. The EDULINK programme, much like the EU-Asia Link programme, generates HE networks and capacity centred on scientific and socio-economic specific themes.

“The Erasmus Mundus Programme (Action 2) primarily promoted R&I by building networks at the individual and institutional level. Table 32 at the end of this case study provides an overview of the Action 2 mobility grants disbursed to PhD students, post-doctoral researchers and staff in the 19 countries of the sample within the reporting period. With the exception of Mauritius, the EM programme provided mobility grants to individuals in all countries. In all, Action 2 enabled the academic mobility of a total of 3,294 post-graduates in the countries in the sample. These included 1,569 doctoral students, 660 post-docs and 1,066 staff visits. This accounts for about 26% of all the PhD students, post-docs and faculty exchanges the Erasmus Mundus (Action 2 after 2008) enabled in the reporting period. Given that the programme facilitated academic mobility in 139 different countries, the 19 countries of the sample (j13.7 % of the countries covered by the programme) make up more than a quarter of the entire academic mobility funded by the EM A2. However, this is due to the inclusion of China and India in the sample: as Table 32 suggests, the mobility granted to Chinese and Indian doctoral students, post-docs and staff alone adds up to over 12% of all mobility funded by the programme. Indeed, mobility grants to Indian and Chinese PhD students, post-docs and faculty make up about half of the entire mobility in the sample. Without China and India, the mobility scholarships granted to individuals in sample countries make up just shy of 14% of all mobility scholarships provided by the EM (A2) programme.” Source: EACEA Table 33 and Table 34 show the breakdown of mobility grants provided before and after the reform of the EM programme respectively. Note how the programme expanded in scope. In 2007-2008, the programme was inactive in eight of 19 countries in the sample (Burkina Faso, DR Congo, Jamaica, Kenya, Mauritius, Mozambique, South Africa and Uruguay). As Table 34 suggests, the reformed EM A2 included five of the previously excluded countries. Interestingly, unlike 2007-2008, the EM A2 did not enable mobility for researchers in Ethiopia and Tanzania in 2009-2013. Again, scholarships granted to Chinese and Indian doctoral students, post-docs and faculty make up about half of the scholarships in the sample as a whole. At institutional level, the EM External Cooperation Window and A2 involved about 480 HEIs in 328 exchange networks worldwide. Of these, 366 HEIs were from partner countries and about 115 were European universities.

Evidence from country visits to India, South Africa and Tunisia suggests that the EM A2 was effective in supporting the building of capacity in Higher Education as well as Research and Innovation. This, it would seem, was particularly true for mobility grants for PhD students, post-docs and faculty. Indian respondents in HEIs pointed out that mobility grants for master students contribute rather less to institutional capacity –building: here, skills and experiences that EM A2 makes possible contribute to the individual student’s portfolio (and attractiveness to other employers) without necessarily fostering a loyalty to the home HEI. The evidence further points to the flexibility of EM mobility grants in supporting a variety of capacity-building endeavours. In India and Tunisia, the EM programme supported efforts in building international networks at the level of researchers, in particular as a pathway to FP 7 projects; in South Africa, the EM grants enabled the development of closer ties between EUD and the Department of Education for policy dialogue on issues of internationalisation.

The data network programmes TEIN and ACP Connect support R&I in partner countries by not only installing physical data networks for education and research but also by supporting the development of requisite management capacity as well as encouraging the development of applications for these high-efficiency data networks. Both programmes In Asia, the TEIN 2 and 3 programmes brought about two major outcomes. First, the TEIN 2 programme built an electronic communication network for education and research that connected research communities in Asia and Europe. As a result of this network, data transmission speeds in parts of Asia increased significantly (Action Fiche, *D-19268*). The available monitoring report for TEIN 3 found that the programme had effectively expanded the network to include 13 Asian countries and had secured a high quality of services (i.e. connectivity). What is more, stakeholders point out that the data network has created new capacities for ongoing research collaboration among Asian HEIs and ROs as well as between Asian and European researchers. The monitoring report points to research cooperation in fields such as “high energy physics, agriculture, disaster management, weather forecasting, climate change or molecular biology” (*MR-140497.01*). Second, the programmes put in place an organisational infrastructure, built human resource capacity and de-



vised a schedule for taking over the day-to-day management at national and regional level to be implemented in the TEIN 4 programme.

The ACP Connect programme pursued similar aims for countries of the Africa, the Caribbean and the Pacific to the TEIN. In a very real sense, the ACP-Connect programme will follow the lead of similar programmes, most prominently EUMEDCONNECT (for North Africa), ALICE (in Latin America) or, indeed, TEIN (for Asia). The ACP countries are at different stages of building data networks for education and research: while the Caribbean has moved far along the road of regional connectivity, Africa has patchy coverage and embryonic NRENs and the Pacific, with the exception of Fiji, seems to lack any national research and education network (Action Fiche, D-21576). For this reason, the ACP-Connect programme not only concentrated on building data networks (predominantly in Sub-Saharan Africa) but also invested in extensive needs assessment for the Caribbean and Pacific regions.

Unlike the other schemes discussed in this report, the EDULINK programme supports R&I in a more integrated and thematically focused way. The programme explicitly responds to the perceived need to “stimulate the potential for economic growth by increasing the supply of high level qualified human resources” in ACP countries, to strengthen the HE capacities to provide this training and to promote HEI networks both between ACP universities as well as between European and ACP HEIs. The objectives of the programmes, then, are to “foster capacity building and regional integration in the field of higher education through institutional networking” as well as promote HE quality in the sense of providing training relevant labour market needs and socio-economic development objectives<sup>113</sup>. Like the EU-Asia Link programme (see report in this volume), the EDULINK programme funds collaborative projects between HEIs, ROs and other relevant actors in ACP countries and the EU. These projects focus on specific socio-economic or scientific themes and aim to build human resource and knowledge capacities for a particular sector and issue. The following table summarises the numbers of EDULINK projects in the ACP countries in the sample of this evaluation.

*Table 31 Numbers of EDULINK I and II projects by country*

<i>Sample country</i>	<i>Total</i>
Burkina Faso	11
DR Congo	4
Ethiopia	14
Jamaica	6
Kenya	35
Mauritius	1
Mozambique	12
South Africa	12
Tanzania	21

Source: <http://www.acp-edulink.eu/>

Table 35 at the end of this profile provides an overview over the relevant EDULINK I and II projects. As Table 35 shows, project themes vary widely from agriculture and food security over education and environment to HE management, the project themes for the projects involving HEs from countries sampled for this evaluation concentrate on Agriculture and Food security, Environment and Energy, Health, HE quality and management. Further, the approaches and methods of the funded projects are rather similar: almost all projects engaged in curriculum development (either in terms of creating new degree courses or new teaching modules), faculty and postgraduate training (often in ACP or European HEIs), as well as intra-ACP and ACP-Europe institutional networking.

#### *Links with Commission R&I strategy and other R&I support programmes (including RTD)*

The TEIN programme explicitly sought to identify and exploit synergies with Erasmus Mundus and the Framework Programme. By bridging the digital divide, so the argument went, TEIN 3 could complement Erasmus Mundus networks as well as facilitate Asian HEIs participation in FP (Framework Programme) consortia.

Evidence from fieldwork in North and Sub-Saharan Africa, as well as South Asia suggests that actors identified and exploited synergies between different Commission R&I strategies and programmes. In

<sup>113</sup> <http://www.acp-edulink.eu/node/23>

India, researcher mobility enabled by EM, Marie Curie Fellowships as well as European Research Council grants supported the building of international research networks. In Tunisia, research suggests that researcher and faculty mobility funded by the EM programme was supported by projects aimed at research governance and capacity funded by TEMPUS IV programmes. What is more, TEMPUS IV grants – funding training and support of PhD students, dovetailed with MOBIDOC grants aimed at funding the actual research.

*Features: scale, funding source, geographical coverage, time period*

Erasmus Mundus is the EU's global academic mobility programme. In the reporting period, the Erasmus Mundus programme spent EUR 259.5 million on mobility grants in Action 2. These covered 139 countries and involved about 366 different HEIs. Table 32 shows that about 32% of the total sum was spent in 18 of the 19 countries of the sample. Again, note that 15.1% of the total funds (about EUR 39 million) went to finance mobility in China and India alone.

TEIN 3 ran from December 2007 to September 2012 with a total budget of EUR 18 million (EUR 12 million EU contributions) (c-141718). It connected the NRENs of 13 Asian countries (Cambodia, Malaysia, Vietnam, China, India, Sri Lanka, Indonesia, Singapore, South Korea, Thailand, Philippines, Laos, and Japan). Overall, the ACP Connect programme cost EUR 16 million (with an EU contribution of EUR 13 million) (Action Fiche, D-21576). AfricaConnect, a significant component of the programme, will run from May 2011 to May 2015 at a total cost of EUR 14.8 million. The EU funds 80% of these costs (EUR 11.8 million) and African partners are responsible for funding the remaining 20%<sup>114</sup> (Description c-255139). The project covers southern and eastern African countries with the requisite network capabilities.

During the reporting period, the EDULINK I and II programmes funded 113 projects<sup>115</sup>. 77 of these projects involved HEIs from countries in the sample for this evaluation. Participation in EDULINK I and EDULINK II projects concentrate in HEIs from Kenya, Tanzania and Ethiopia. As Table 35 indicates, the EU spent a total of EUR 21.7 million on these projects. This corresponds to an average of about EUR 356,000 of EU contribution per project. The project duration varies from 24-42 months; most projects, however, take about 36 months.

#### **Relevance and added value of this programme for evaluation**

The four programmes featured in this case study are pivotal for evaluating R&I because they all aim to build fundamental and complementary research capacities. Each of the programmes builds capacity by constructing different kinds of networks: the mobility programmes create an institutional and ideational infrastructure for research collaboration, the network programmes generate a physical infrastructure for data transfer and the EDULINK projects provide thematic contexts for applying these capacities to real-world problems.

#### **Sources of evidence available, their coverage and limitations**

*Erasmus Mundus:* Statistical data provided by the EACEA (*Education, Audiovisual and Culture Executive Agency*) concerning number and funding of scholarships awarded for PhD students, post-docs and faculty by country and project consortia by project and country (while generally insightful, the project consortium data requires significant tidying up); EACEA website.

*TEIN/ACP Connect:* programme documentation (action fiche, detailed contract form, detailed decision form, interim reports, final report and, for TEIN only, a monitoring report); AfricaConnect Website, C@ribNet website

*EDULINK:* EDULINK website (comprehensive website with an accessible project database)

#### **Potential for further research or cross-checking during field phase**

The Field Phase could investigate the following questions:

- What is the status of the ACP Connect work in the Caribbean and in the Pacific?
- To what extent have stakeholders identified and exploited the synergies and complementarities between these programmes?
- To what extent have these fundamental research capacities facilitated participation in other R&I programmes, most prominently the FPs (in particular FP7)?
- To what extent have thematically-oriented programmes (such as EDULINK) helped focus and direct fundamental R&I capacities to development objectives?

<sup>114</sup> <http://www.africaconnect.eu/Project/Pages/Funding.aspx>

<sup>115</sup> <http://www.acp-edulink.eu/node/90>

**Key observations for JCs**

<b>No.</b>	<b>JC</b>	<b>Relevant Observations</b>
11	Link between R&I activities and EU development objectives (as per European Consensus and Agenda for Change – MDGs, etc.)	All four programmes explicitly align with stated development goals and objectives (MDG's and EU development goals).
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	All four programmes take into account and, in part, have been designed taking into account relevant policies strategies.
22	Increased focus of EU support on 'capacity building' and enhancing institutional sustainability	All four programmes focus on different forms of capacity building. The extent to which this has been successful remains an open question.
24	Enhanced networking of developing countries' researchers at regional and inter-national level	Networking is at the heart of all four programmes. All programmes promote networking between individual researchers and HEIs in Europe and partner countries. What is more, all programmes aim to facilitate South-South R&I networks.
32	Strategic approach adopted to choosing different possible actors / channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities available	Documentary evidence suggests that each of the programmes features strategic choices of specific and complementary stakeholders at different levels as well as efforts to furnish these stakeholders with appropriate instruments.

Table 32 Erasmus Mundus Action 2 – scholarships 2007-2012

Sample country	Doctorate		Post-doctorate		Staff		All categories	
	Number of persons	Total value of scholarships received (EUR)	Number of persons	Total value of scholarships received (EUR)	Number of persons	Total value of scholarships received (EUR)	Number of persons	Total value of scholarships received (EUR)
<i>Burkina Faso</i>	1	20,250					1	20,250
<i>Chile</i>	52	2,867,125	11	140,000	6	33,025	69	3,040,150
<i>China</i>	326	11,754,031	149	2,620,125	258	1,424,050	733	15,798,206
<i>Congo, DR</i>	18	430,200			6	42,900	24	473,100
<i>Egypt</i>	182	8,982,712	103	1,538,250	89	360,725	374	10,881,687
<i>Ethiopia</i>					2	9,150	2	9,150
<i>India</i>	403	18,541,489	180	3,385,875	249	1,548,600	832	23,475,964
<i>Jamaica</i>					1	4,575	1	4,575
<i>Kenya</i>	6	218,400			12	54,900	18	273,300
<i>Mauritius</i>								
<i>Mozambique</i>					3	13,725	3	13,725
<i>Peru</i>	22	1,076,425	6	94,500	11	66,650	39	1,237,575
<i>Philippines</i>	25	1,279,750	13	238,750	33	187,725	71	1,706,225
<i>South Africa</i>	112	3,802,617			82	535,725	194	4,338,342
<i>Tanzania</i>					1	9,725	1	9,725
<i>Tunisia</i>	101	3,756,450	37	678,500	69	263,975	207	4,698,925
<i>Ukraine</i>	234	7,487,650	126	1,920,000	143	624,225	503	10,031,875
<i>Uruguay</i>	17	921,364	3	40,750	12	64,625	32	1,026,739
<i>Vietnam</i>	70	3,165,100	32	562,125	88	449,875	190	4,177,100
<b>All sample countries</b>	<b>1,569</b>	<b>64,303,563</b>	<b>660</b>	<b>11,218,875</b>	<b>1,065</b>	<b>5,694,175</b>	<b>3,294</b>	<b>81,216,613</b>
% of total	27.5	32.0	31.4	33.0	22.1	23.3	26.1	31.3
<b>China &amp; India</b>	<b>729</b>	<b>30,295,520</b>	<b>329</b>	<b>6,006,000</b>	<b>507</b>	<b>2,972,650</b>	<b>1,565</b>	<b>39,274,170</b>
% of total	12.8	15.1	15.7	17.6	10.5	12.2	12.4	15.1
<b>Sample w/o China &amp; India</b>	<b>840</b>	<b>34,008,043</b>	<b>331</b>	<b>5,212,875</b>	<b>558</b>	<b>2,721,525</b>	<b>1,729</b>	<b>41,942,443</b>

	<i>Doctorate</i>		<i>Post-doctorate</i>		<i>Staff</i>		<i>All categories</i>	
% of total	14.7	16.9	15.7	15.3	11.6	11.1	13.7	16.2
<b>Total (EM A2 all countries)</b>	<b>5,712</b>	<b>201,047,153</b>	<b>2,102</b>	<b>34,028,713</b>	<b>4,823</b>	<b>24,431,724</b>	<b>1,2637</b>	<b>259,507,589</b>

Source: EACEA

Table 33 *Erasmus Mundus Action 2 – scholarships 2007-2008*

<b>Sample country</b>	<i>Doctorate</i>		<i>Post-doctorate</i>		<i>Staff</i>		<i>All categories</i>	
	<b>Number of persons</b>	<b>Total value of scholarships received (EUR)</b>	<b>Number of persons</b>	<b>Total value of scholarships received (EUR)</b>	<b>Number of persons</b>	<b>Total value of scholarships received (EUR)</b>	<b>Number of persons</b>	<b>Total value of scholarships received (EUR)</b>
<i>Burkina Faso</i>								
<i>Chile</i>	31	1,696,500	9	112,500			40	1,809,000
<i>China</i>	14	458,500	4	103,000	10	92,100	28	653,600
<i>Congo, DR</i>								
<i>Egypt</i>	39	2,306,887	11	189,625	21	81,825	71	2,578,337
<i>Ethiopia</i>					2	9,150	2	9,150
<i>Jamaica</i>								
<i>India</i>	77	3,944,075	37	830,750	52	384,675	166	5,159,500
<i>Kenya</i>								
<i>Mauritius</i>								
<i>Mozambique</i>								
<i>Peru</i>					1	15,250	1	15,250
<i>Philippines</i>	9	535,000	5	106,250	11	78,075	25	719,325
<i>South Africa</i>								
<i>Tanzania</i>					1	9,725	1	9,725
<i>Tunisia</i>	19	584,750	5	111,500	21	82,525	45	778,775
<i>Ukraine</i>	56	2,392,700	23	358,375	27	95,025	106	2,846,100
<i>Uruguay</i>								
<i>Vietnam</i>	6	339,275	1	13,250	8	77,800	15	430,325
<b>All sample countries</b>	<b>251</b>	<b>12,257,687</b>	<b>95</b>	<b>1,825,250</b>	<b>154</b>	<b>926,150</b>	<b>500</b>	<b>15,009,087</b>
% of total	25.1	31.5	24.5	26.8	17.2	18.4	21.9	29.6

	<i>Doctorate</i>		<i>Post-doctorate</i>		<i>Staff</i>		<i>All categories</i>	
<b>China &amp; India</b>	<b>91</b>	<b>4,402,575</b>	<b>41</b>	<b>933,750</b>	<b>62</b>	<b>476,775</b>	<b>194</b>	<b>5,813,100</b>
% of total	9.1	11.3	10.6	13.7	6.9	9.5	8.5	11.4
<b>w/o China &amp; India</b>	<b>160</b>	<b>7,855,112</b>	<b>54</b>	<b>891,500</b>	<b>92</b>	<b>449,375</b>	<b>306</b>	<b>9,195,987</b>
% of total	16.0	20.2	13.9	13.1	10.3	8.9	13.4	18.1
<b>Total (all EM A2 countries)</b>	<b>1,001</b>	<b>38,932,369</b>	<b>388</b>	<b>6,807,900</b>	<b>896</b>	<b>5,030,973</b>	<b>2,285</b>	<b>50,771,243</b>

Source: EACEA

Table 34 *Erasmus Mundus Action 2 – scholarships 2009-2012*

<b>Sample country</b>	<i>Doctorate</i>		<i>Post-doctorate</i>		<i>Staff</i>		<i>All categories</i>	
	<b>Number of persons</b>	<b>Total value of scholarships received (EUR)</b>	<b>Number of persons</b>	<b>Total value of scholarships received (EUR)</b>	<b>Number of persons</b>	<b>Total value of scholarships received EUR)</b>	<b>Number of persons</b>	<b>Total value of scholarships received (EUR)</b>
<i>Burkina Faso</i>	1	20,250					1	20,250
<i>Chile</i>	21	1,170,625	2	27,500	6	33,025	29	1,231,150
<i>China</i>	312	11,295,531	145	2,517,125	248	1,331,950	705	15,144,606
<i>Congo, DR</i>	18	430,200			6	42,900	24	473,100
<i>Egypt</i>	143	6,675,825	92	1,348,625	68	278,900	303	8,303,350
<i>Ethiopia</i>								
<i>India</i>	326	14,597,414	143	2,555,125	197	1,163,925	666	18,316,464
<i>Jamaica</i>					1	4,575	1	4,575
<i>Kenya</i>	6	218,400			12	54,900	18	273,300
<i>Mauritius</i>								
<i>Mozambique</i>					3	13,725	3	13,725
<i>Peru</i>	22	1,076,425	6	94,500	10	51,400	38	1,222,325
<i>Philippines</i>	16	744,750	8	132,500	22	109,650	46	986,900
<i>South Africa</i>	112	3,802,617			82	535,725	194	4,338,342
<i>Tanzania</i>								
<i>Tunisia</i>	82	3,171,700	32	567,000	48	181,450	162	3,920,150
<i>Ukraine</i>	178	5,094,950	103	1,561,625	116	529,200	397	7,185,775
<i>Uruguay</i>	17	921,364	3	40,750	12	64,625	32	1,026,739

	<i>Doctorate</i>		<i>Post-doctorate</i>		<i>Staff</i>		<i>All categories</i>	
<i>Vietnam</i>	64	2,825,825	31	548,875	80	372,075	175	3,746,775
<b>All sample countries</b>	<b>1,318</b>	<b>52,045,876</b>	<b>565</b>	<b>9,393,625</b>	<b>911</b>	<b>4,768,025</b>	<b>2,794</b>	<b>66,207,526</b>
% of total	28.0	32,1	33,0	34,5	23,2	24,6	27,0	31,7
<b>China &amp; India</b>	<b>638</b>	<b>25,892,945</b>	<b>288</b>	<b>5,072,250</b>	<b>445</b>	<b>2,495,875</b>	<b>1,371</b>	<b>33,461,070</b>
% of total	13.5	16,0	16,8	18,6	11,3	12,9	13,2	16,0
<b>w/o China &amp; India</b>	<b>680</b>	<b>26,152,931</b>	<b>277</b>	<b>4,321,375</b>	<b>466</b>	<b>2,272,150</b>	<b>1,423</b>	<b>32,746,456</b>
% of total	14,4	16,1	16,2	15,9	11,9	11,7	13,7	15,7
<b>Total (all EM A2 countries)</b>	<b>4,711</b>	<b>162,114,782</b>	<b>1,714</b>	<b>27,220,813</b>	<b>3,927</b>	<b>19,400,750</b>	<b>10,352</b>	<b>208,736,345</b>

Source: EACEA

Table 35 List of EDULINK I and II projects

<i>Project</i>	<i>Country</i>	<i>Sector</i>	<i>Goals</i>	<i>Approach</i>	<i>Duration (mth)</i>	<i>Budget (EUR)</i>	<i>EU share (EUR)</i>	<i>Phase</i>
ACADIA: African Center for Applicative Development & Innovation in Agribusiness - DCI-AFS/2013/320-339	Uganda, Kenya	Agriculture	Better agribusiness education	Curriculum Development; study tours; eLearning	36	478,627	478,627	II
Agriculture Information Management and Precision Farming (AgIM) - FED/2013/320-079	Cape Verde, Mozambique	Agriculture	Establish a master degree on "Agricultural Information Management and Precision Farming (AgIM)"	Curriculum Development; accreditation and quality assurance;	42		493,039	II
ARIS - Strengthening Agricultural and Rural Innovation Systems: A Regional PhD Programme (Y)	Kenya; Tanzania	Agriculture	"The ARIS project seeks to develop a regional PhD programme in Agricultural and Rural Innovation Studies to enhance application of science and technology in improving rural livelihood and economic growth of countries in the Eastern, Central and Southern Africa (ECSA) region."	Curriculum Development	36	571,372	484,180	I
Creating an Additional Masters in Agricultural Policy and Rural Economy in West Africa	Burkina Faso, Guinée, Mali	Agriculture	« L 'objectif spécifique de l'action est la création à Bamako d'un master complémentaire en «Politiques Agricoles et économie paysanne». Les objectifs globaux auxquels la création de ce master veut contribuer sont la dynamisation de la production agricole, et, in fine, la lutte contre la pauvreté et la faim »	curricula development	36	806,160	497,501	I
Deploying Interactive Online Networking Platform for Improving Quality and Relevance of African University Graduates to	Kenya, Uganda	Agriculture	"This action broadly aims at strengthening the capacities in three universities in Kenya and Uganda towards reforming graduate curricula, graduate training and education with greater participation of the agricultural labour markets and a large pool of global expertise"	Curriculum Development; graduate career development; market relevance;	42		497,874	II

Project	Country	Sector	Goals	Approach	Duration (mth)	Budget (EUR)	EU share (EUR)	Phase
Labour Markets - FED/2013/335 - 687				elearning				
Enhancing the Quality of graduates of agriculture to meet tomorrow's food security challenge (PREPARE-BSc) - FED/2013/320-109	East African Region: Kenya, Uganda, Tanzania	Agriculture	"The immediate objective is to have by 2016, six (6) undergraduate programmes in the East African region improved to enhance graduate suitability for the job market. PREPARE-BSc aims to address at the undergraduate level, the quality of the human resource base within agriculture."	Curriculum Development; faculty training; surveys; institutional networking	36		493,989	II
Establishing and Piloting Postgraduate Programmes for Supporting Agricultural Development in Post Conflict Countries of Central and Eastern Africa-ADECEA Project - FED/2013/320-203	Uganda, DR Congo, Burundi	Agriculture	"The specific objective is to establish post graduate training programmes supporting agricultural development in the targeted ACP countries. The action will strengthen the partnership between participating institutions and will facilitate staff networking. A demand driven postgraduate training will be established in three countries emerging from conflicts as well as three academic programmes that will be developed and piloted in the target countries that will also support the upgrading of qualifications of the ACP academic staff."	Curriculum Development; institutional networking; academic mobility	42		490,316	II
Partnerships to strengthen university food and nutrition sciences training and research in Eastern and Southern Africa (PASUFONS) - DCI-AFS/2013/331-203	Eastern Africa: Uganda, Kenya; Southern Africa: South Africa	Agriculture	"PASUFONS project seeks to enhance capacity of participating universities to contribute to amelioration of these problems through promoting interaction between training institutions and the food and nutrition sectors in Eastern and Southern Africa. The project will also facilitate sharing of training and research resources."	Curriculum development; faculty training; networking; Joint research	42		496,207	II
Strengthening Capacity of Universities in Eastern, Central and Southern Africa to offer Quality Graduate Programmes	Uganda, Kenya, Malawi, Zambia	Agriculture	"The project will contribute to FARA's aims by building capacity to train PhD graduates, and strengthening university competencies in training and research management. To achieve these goals, five universities from Uganda, Kenya, Malawi and Zambia will set up an African inter-regional network together with an association of universities in Eastern and Southern Africa. The network will draw lessons from the experience in PhD training of Montpellier Sup Agro in France."	Curriculum Development; institutional networking	36	583.610	496,069	I
Strengthening Human Resource Capacity to Foster Agricultural and Rural Innovation in Eastern Africa - FED/2013/320-91	Kenya, Uganda, Tanzania	Agriculture	"This action aims at strengthening the human resource capacity to foster agricultural innovations through exchange of staff and students between consortia of European and East African universities and linkages between similar PhD programmes. Further it seeks to reduce cost of student and staff mobility through online delivery of modules and establishing national stakeholder platforms for continuous guidance on relevance of the ARI programme. "	Curriculum development; joint PhD programmes	36		488,166	II
Strengthening University capacity to enhance competitiveness of Agribusiness in East and West Africa - FED/2013/320-100	Kenya, Uganda, Ethiopia, Nigeria	Agriculture	"The project aims to improve the relevance of agricultural science teaching and outreach to the needs of agribusiness and enhance the collaboration between universities and the private sector."	faculty training; institutional networking	42		496,368	II
SUCAPRI - Strengthening of University Capacity for	Kenya, Uganda	Agriculture	"The "Strengthening of university capacity for promoting, facilitating and teaching rural innovation processes" (SUCAPRI) project will	faculty training; institutional net-	36	717,108	499,558	I



Project	Country	Sector	Goals	Approach	Duration (mth)	Budget (EUR)	EU share (EUR)	Phase
Promoting, Facilitating and Teaching Rural Innovation Processes			form a network of teaching and research staff in Makerere University in Uganda and four universities (Nairobi, Egerton, Kenyatta, and Jomo Kenyatta University of Agriculture and Technology) in Kenya. The active interaction and sharing of knowledge between these universities and the International Centre for development oriented Research in Agriculture in the Netherlands will improve teaching practice and research in rural innovation processes."	working				
Enhancing Capacities on International Agriculture Agreements for Development of Regional Agriculture and Food Markets - FED/2013/320-081	Ghana, Nigeria, Liberia, Sierra Leone, Cape Verde, Burkina Faso	Agriculture, Food security	"The project will contribute to enhancing research skills of Partners on trade policies and negotiations in the agriculture sector. This would enable them to support government in its negotiation strategies which would facilitate market access for the regions agriculture exports."	Institutional capacity building, Curricula development; Networking	36		486,722	II
EU-ACP Networking for Academic Excellence on Agriculture and Food Security - DCI-AFS/2013/320-328	Malawi-Lilongwe Namibia-Windhoek; South Africa-Johannesburg	Agriculture; food security	"The project aims to design and implement a joint training programme in order to foster cost effective measures, including greater inter-institutional networking to provide quality universal university education and learning in the three participating Southern Africa states taking gender perspectives specifically into account. The project will develop programmes to promote the exchange of experiences and know-how in the field of education making available satisfactory ICT and research tools for professional development, training and learning."	Curriculum Development	30		492,483	II
Enhancing Intellectual Property Capacities for Agricultural Development - IP4Growth - FED/2013/320-273	Burkina Faso, Ivory Coast, Senegal, Spain, United Kingdom	Agriculture, intellectual Property Capacities	"IP4Growth will contribute to improving knowledge and capacities for IP Management, in particular in terms of Geographical Indications and Appellations of Origin (GIs/AOs) and knowledge transfer. The project will work towards enhancing the expertise and competitiveness of the region, facilitating the necessary skills enhancement of the members of West African trade associations and farmers associations. The development and organisation of training sessions will aim to improve the skills and knowledge of the target groups and improve their access to and understanding of regional and international markets. "	Capacity building	36		453,193	II
STARND - Strengthening Training and Regional Networks in Demography	Botswana, Malawi, Zambia, Namibia, South Africa	Demography	"Strengthening Training and Regional Networks in Demography" is a partnership of five southern African universities that aims to enhance the institutional and academic capacities of higher education institutions in the Southern African Development Community (SADC) by strengthening undergraduate and postgraduate demographic training, combined with the promotion of inter-institutional networking to develop long-term co-operation and collaborative research."	Needs assessment; faculty and expert training; networking	36	563,732	479,060	I
Education for the Children with Learning Disabilities: African-ocean Co-operation for Promoting Higher Education and Research	Namibia, Zambia, Kenya	Education	"The project "Education for the Children with Learning Disabilities: African-European Co-operation for Promoting Higher Education and Research" aims to contribute to improving school attendance and achievement of pupils in primary education in Namibia, Zambia and Kenya by enhancing the skills of educationists (teachers, special education teachers and psychologists) to diagnose and treat school	Curriculum Development; specialist training workshop for educators	36	593,360	500,000	I

Project	Country	Sector	Goals	Approach	Duration (mth)	Budget (EUR)	EU share (EUR)	Phase
			children's learning disabilities."					
IU IEPALA-R.B.-UCM, ISET and UAN produce excellent teacher trainers for Mozambique and Angola	Mozambique, Angola	Education	"To get higher education institutions more engaged in improving results in primary schools, the IEPALA University Institute in Madrid will set up an institutional network with the Institute for Technological Education in Mozambique and the University of Agostinho Neto in Angola."	institutional networking; faculty training	36	587,577	496,503	I
Teacher Quality in Lusophone Countries	Cap verde; Sao Tome & Principe; Mozambique; Timor Leste	Education	"This project stands for the enhancement of an inter-institutional network Higher Education Institutions (HEIs) from lusophone ACP countries. Its overall objective is to provide the participating HEIs with skills that enable them to develop a socially and culturally specific programme of quality In-Service Training (IST) for Basic Education teachers (Grades 1 to 9) in countries where Portuguese is the language of instruction and where strong historical and cultural ties exist."	Curriculum Development; faculty training; surveys; institutional networking	36	563, 013	478,561	I
JENGA - Joint development of courses for energy efficient - and sustainable housing in Africa - DCI-AFS/2013/320-299	Kenya, Rwanda, Uganda, South Africa	Energy	"JENGA aims at academic capacity building and knowledge transfer for energy efficiency and low-carbon technologies in the field of sustainable housing, addressing the fact that the building sector accounts for 40% of global energy consumption and 30% of greenhouse gas emissions."	Curriculum Development; faculty intensive training sessions; institutional networking	36		440,408	II
Participatory Integrated Assessment of Energy Systems to Promote Energy Access and Efficiency (PARTICIPIA) - DCI-AFS/2013/320-333	Botswana Namibia South Africa	Energy	"The objective of the project is to design innovative and competitive Master Modules and Programs in Participatory Integrated Assessment of Renewable Energy Systems for implementation at Stellenbosch University, the University of Botswana, and the Polytechnic of Namibia, so as to equip their graduates with high-level skills necessary for a comprehensive assessment of energy policies at local, regional and national levels. "	Curriculum Development; faculty training	36		497,499	II
The Learning Network for Sustainable energy systems (LeNSes) - DCI-AFS/2013/320-298	South Africa, Uganda, Botswana, Kenya	Energy	"The aim is to develop a new generation of practitioners capable of extending the access to locally-based, secure and cleaner energy services, based on the promising models of Sustainable Product-Service Systems (S.PSS)1 and Distributed Renewable Energy (DRE)2. LeNSes aims to promote an open source and copy-left ethos of knowledge building and sharing - supported by an Open Learning E-Platform (OLEP)3 (www.lenses.polimi.it)."	Curriculum Development; faculty training; surveys; institutional networking	36		487,866	II
L_EAP - LifeLong Learning for Energy security, access and efficiency in African and Pacific SIDS - FED/2013/320-080		Energy efficiency	"The purpose of the L3EAP project is to increase the capacity of universities in African, Caribbean and Pacific Group of States (ACP) SIDS to deliver high-quality Lifelong Learning courses on the topics of energy access, security and efficiency."	Curriculum Development; faculty training	36		495,783	II
African Network for Education in Energy Resources (ANEER) - FED/2013/320-205	Angola, Mozambique	Energy; environment	"Thus it will help to reduce the qualified personnel short- age in Angola y Mozambique. Updated curriculum on energy and efficiency will be designed for the participating academic centres and teachers will be trained. E-learning and innovative teaching methodologies for virtual classroom management will be used. Also a mobility program for teachers will be conducted in order to promote de expertise exchange and the participation in abroad formation	Curriculum development; mobility	42		499,374	II

Project	Country	Sector	Goals	Approach	Duration (mth)	Budget (EUR)	EU share (EUR)	Phase
			programmes."					
ENERGISE-Enlarged Network in Education and Research for a Growing Impact of Sustainable Energy engineering on local development-FED/2013/320-173	Ethiopia, Kenya, Tanzania,	Energy; environment	"The project ENERGISE aims at promoting innovative and labour driven curricula in Energy Engineering within each partner institution while enforcing their capacity to interact with the local socio-economic framework. The goal is to increase the number, quality and skills of specialised energy engineers who can act as employees or entrepreneurs within the complex challenge of sustainable access to energy. "	Curriculum Development; faculty intensive training sessions	42		498,120	II
Mainstreaming Energy Efficiency and Climate Change in Built Environment Training and Research in the Caribbean (CarEnTrain)-FED/2013/320-159	Guyana, Jamaica, Suriname, Trinidad and Tobago	Energy, climate change, environment	"Specifically, it aims to mainstream energy efficiency in relationship to sustainable economic development and Climate Change into existing curricular and CPD courses in Urban and Transportation Planning, Engineering and Architecture of HEIs and increase inter-institutional networking and regional capacity in energy efficiency and the built environment."	Curricula modernization, inter-institutional networking, capacity building	42		486,152	II
CREATive - The Caribbean Reef Education and Training Initiative	Jamaica, Belize, Bahamas	Environment	"CREATive is a cooperative, multidisciplinary, educational effort that will increase the number of skilled, Caribbean professionals with applicable knowledge of coral biology, geology and conservation methods. CREATive will use self- and peer-training to strengthen the existing capacity of three of the Caribbean's leading Higher Education Institutions (HEIs), and so provide lecturers that will both develop the region's first university-level course on Coral Reef Biology and Management, and create the first texts that address these disciplines from a Caribbean perspective. "	Institutional capacity building	36	629,694	479,890	I
HEEMS: Reinforcement of higher education as a tool to foster efficient use of energy applied to the poverty reduction within the marine sector through capacity building and regional integration - FED/2013/320-201	Cabo Verde, Sao Tomé e Príncipe, Mozambique	Energy; marine	"The project approach will be both to increase the capabilities of the HEI and particularly academic staff through the review and elaboration of specific curricula adapted to the real needs of the sector and to incorporate practical modules to the curriculum that may be taught through targeted demonstration projects, developed and tested through this intervention."	Curriculum Development; institutional networking; academic mobility	30		411,260	II
Programme on Energy Efficiency in Southern Africa (PEESA) - DCI-AFS/2013/320-301	South Africa; Namibia	Engineering education/ energy	"The aim of the project is to deliver high-level post-graduate programmes in the field of Energy Efficiency using an outcome-based approach for curricula design. For this purpose internationally agreed quality standards will be adopted, enabling institutional networking and student exchange in the future. This programme will offer a mix of subject and research options that look at the specific regional energy resources in light of their specific societal needs."	Curriculum development; HE quality control and assurance; faculty training	36		468,649	II
East African Higher Education Network on Sustainable and Energy Efficiency Campus Development - SUCCEED Network - FED/2013/320-274	Burundi, Kenya, Rwanda, Tanzania, Uganda	Environment and energy	"Specifically the project aims to establish a sustainable campus development platform to foster collaborative learning and actions for energy access and efficiency. Top level management staff will be targeted to increase awareness and improve institutional frameworks with regard to campus energy access and efficiency."	institutional networking; on-line platform; training seminars and workshops	36		495,101	II

Project	Country	Sector	Goals	Approach	Duration (mth)	Budget (EUR)	EU share (EUR)	Phase
Capacity building for sustainable Fisheries Management in the southwest ocean Indian - FISHERMAN - FED/2013/320-279 (Yes)	Southwest Indian Ocean: Tanzania, Mozambique, Madagascar, Comoros, Seychelles Spain	Fisheries	"The Specific objective of the project is to develop and implement a master program with a regional dimension aimed at building competences in sustainable fisheries management in Southwest Indian Ocean universities as well as to prepare a new generation of skilled professionals for a sustainable fisheries management in the region."	Curriculum Development;	36		491,110	II
Capacity building for ÖE-Learning Network on Food and Nutrition Security with Partner Universities in Eastern Africa and openÖ (eLEFANS) - FED/2013/320-196 (YES)	Ethiopia, Kenya, Uganda	Food security and nutrition	"The project will create a network of universities, practitioners, investors and policymakers to enhance innovative strategies in new teaching methods (e-learning practice) as part of a collective endeavor to support the education process in Food Security and Nutrition (FSN)."	Curriculum Development; ICT and elearning platform	42		489,791	II
ENERGY-AGRO-FOOD: Energy - Agro-food Synergies in Africa: New Educational Models for Universities-FED/2013/320-168	East Africa: Kenya, Tanzania, Ethiopia	Food security and nutrition	"The ENERGY_AGRO-FOOD project will implement new university teaching modules in the fields of Energy and Agro-food consistent with the needs of the regional and local labour markets. The main aim is to increase the capacity of Universities to offer innovative higher education programmes characterised by: interdisciplinarity, intersectoriality and interregionality."	Curriculum Development; academic mobility	30		499,502	II
Enhancing nutrition and food security through improved capacity of agricultural higher education institutions in East and Southern Africa-FED/2013/320-148	Kenya, Uganda, Zimbabwe,	Food security and nutrition	"This Project aims to increase agricultural productivity in East and Southern Africa through improving training in higher education institutions."	Curriculum Development; faculty training	36		488,984	II
FSBA: Food Security and Biotechnology in Africa-FED/2013/320-152	Kenya, Nigeria, Burkina Faso	Food security and nutrition	"The FSBA project will strengthen the education and outreach capacities of the African partners on the subject of sustainable application of biotechnology in food production in Kenya, Nigeria and Burkina Faso. The project aims to achieve this by the organization of stakeholder meetings and round tables in each partner country, the joint elaboration and testing of 120 hours of up-to-date Master's level course material, and the production of outreach materials. "	Curriculum development; faculty training; academic mobility	36		498,103	II
HENNA - Establishment of a Higher Education Network for Applied Human Nutrition between Eastern Africa and open	Ethiopia, Uganda, Kenya	Food security and nutrition	"This project aims to promote a network of universities that will create harmonisation of higher education programmes in Applied Human Nutrition in East Africa. The rationale is the belief that such an initiative will help to foster cooperation in information exchange, harmonisation of procedures and policies focussed on higher education, attainment of comparability among qualifications, and possibly the standardisation of curricula, so as to facilitate professional mobility for both employment and further study."	Curriculum Development; institutional networking	36	542,660	445,406	I
Strengthening Agroforestry Programmes in Higher Education for Food Security	Ethiopia, Mali, Niger	Food security and nutrition	"The aim of the project is to implement an MSc in Agroforestry and cross-training programmes, including a Master in Geo-information Technology, and three short-courses on Information Literacy, Agro-	Curriculum Development; institutional network-	36		404,956	II

Project	Country	Sector	Goals	Approach	Duration (mth)	Budget (EUR)	EU share (EUR)	Phase
ity in Sub-Saharan Africa - SAPHE - FED/2013/320-291			forestry and HIV/AIDS and Agroforestry and Gender at four sub-Saharan universities. The project also intends to implement a University Extension Program in Agroforestry, edit didactic materials for the courses and develop extension Agroforestry manuals. In order to achieve this, academic and research staff will be trained, laboratories for Agroforestry and for GIS and Remote Sensing will be equipped, and specific Agroforestry educational facilities and didactic materials will be developed (database for species with high value for rural communities, lexicon of food and forage plants of Sahel and Horn of Africa, university herbarium and demonstrative plots)."	ing; community involvement				
Strengthening Capacity of Higher Education Institutions in Eastern and Western Africa to Enhance Efficiency in the Dairy Value Chain (DairyChain)- FED/2013/320-157	Kenya, Nigeria, Ghana	Food security and nutrition	"he project is designed to reinforce and intensify exchange and collaboration between HEI in Kenya, Nigeria, Ghana and ope with an urgent need to upgrade the institutions, human resources and curricula to produce young professionals equipped with the relevant skills, including the introduction of inter-disciplinary teaching and problem-solving skills."	Curriculum development; faculty training; networking; Joint research	36		499,941	II
MAINBIOSYS- Mainstreaming the Bio-farming System in Ehiopian and Ugandan Higher Education Institutions - FED/2013/320-189	Ethiopia, Uganda	Food security and nutrition	"The project's goal is to facilitate the transfer of knowledge and research methodology throughout the joint development of demonstration actions and a research network among ACP and EU HEIs to enhance the partners' capacity to train competent and professional experts in sustainable agriculture. MAINBIOSYS aims to achieve results with a need based approach in strengthening human resources in developing collaborative research, technology transfer and knowledge exchanges on best practices and procedures in the sustainable agriculture sector."	Knowledge transfer and exchange; institutional networking;	36		475,969	II
Réseau des Universités Sahéliennes pour la Sécurité Alimentaire et la Durabilité Environnementale (R.U.S.S.A.D.E.), FED/2013/320-115	Nigeria, Burkina Faso, Tchad	Food security and nutrition	« Le projet RUSSADE vise à organiser un Master spécialisé pour la formation et la spécialisation des professionnels qualifiés pour des postes stratégiques dans les structures techniques des ministères, de la formation et des instituts de recherche, des entreprises, des ONG, qui travaillent tous dans le domaine du développement rural. Ces programmes pédagogiques multidisciplinaires doivent faire face à des défis et des difficultés du développement rurale dans la région du Sahel dans le but de renforcer les capacités dans divers domaines stratégiques, tels que les productions animales, la sécurité alimentaire, la protection de l'environnement, l'amélioration des connaissances pour un développement durable et équitable. Le Master formera des techniciens capables de contribuer au processus du développement en tenant compte des interactions entre les différents obstacles et en assurant une plus grande sensibilisation à la gestion durable des ressources environnementales »	Curriculum Development; faculty training	36		496,400	II
Value Chain Development for Food Security in the Context of Climate Change- A contribution	Ethiopia, Kenya	Food security and nutrition	"The partners will revise study curricula and develop training materials to integrate issues of climate change, food value chains and poverty reduction as well as introduce interdisciplinary teaching, problem-based learning and participatory research methodology."	Curriculum Development; faculty training; institutional networking	36		499,715	II

Project	Country	Sector	Goals	Approach	Duration (mth)	Budget (EUR)	EU share (EUR)	Phase
through strengthening capacity in higher education in Eastern Africa (ValueSeC) FED/2013/320-125								
ValueLead - Value Chains for Poverty Reduction in the Agri-Food Sector - Problem-Based Learning in Higher Education	Ethiopia, Kenya	Food security and nutrition	"The "Value Chains for Poverty Reduction in the Agri-Food Sector – Problem-Based Learning in Higher Education" (ValueLead) project will achieve these goals by enhancing institutional capacities, as well as teaching and curricula in fresh-food chain management. It will also strengthen the university-industry linkage through institutionalised collaboration on multiple levels."	Curriculum Development; faculty training; Stakeholder involvement	36	695,489	489,690	I
HEI's cooperation contributing to rural development in Mozambique - DCI-AFS/2013/320-332	Mozambique, South Africa	Food security and nutrition; energy	"The action will strengthen the capacity of ISET/OWU at the academic level and in the community based practical actions by developing and enhancing the relevance of the existing course in Community Development. The goal is to improve production and livelihoods in rural communities through developing thematic units, teaching material and through training teachers in concrete delivering research based cutting edge and long tested approaches and techniques on small- scale Renewable Energy Systems and agriculture (to improve production and livelihoods in rural communities). "	Curriculum Development; knowledge and technology transfer; community engagement	36		404,776	II
Concerted Fit-for-purpose PhD training in aquaculture and fisheries to improve food security and livelihoods in Sub-Saharan Africa - DCI-AFS/2013/320-302 (Yes)	Malawi, Kenya, Uganda, South Africa	Food security and nutrition; fisheries	Upgrade PhD programmes in fisheries	Curriculum Development; mobility; institutional networking	42		497,986	II
Geodesy in East African Universities	Ethiopia; Tanzania	Geodesy	"While the existing scientific network ensures that high level research collaboration and technological development continues, the EDULINK project seeks to ensure that the technology becomes understood and used at all levels of the target community."	Curriculum Development; faculty training	36	497,731	398,824	I
SuGIK - Sustainable Geographic Information Knowledge Transfer for Postgraduate Education	Cabo Verde; Mozambique	Gis&t	"The SuGIK project aims to increase the number of skilled geoinformation professionals in these counties by improving the quality of GIS&T postgraduate education at the Universidade de Cabo Verde – UniCV (Praia, Cape Verde) and the Universidade Católica de Moçambique – UCM (Beira, Mozambique).""The "Sustainable Geographic Information Knowledge Transfer for Postgraduate Education" (SuGIK) will enhance the management, academic, and technological capacity of the two universities by developing curricula and training local teachers in state-of-the-art resources and technologies for advanced education in GIS&T."	Curriculum Development; faculty training	36	511,008	353,771	I
Sustainable Quality Culture in East African Institutions through Centralised Units	Uganda, Tanzania, Kenya; Ghana	HE Policy/ quality assurance	"To this end, the project will strengthen the institutional capacities of three East African Universities and train their management and administrative staff to implement the quality assurance policy, apply the models for assessment of academic programmes and institutional services as well as to manage quality office within the univer-	Knowledge transfer and exchange; institutional networking; faculty training	24	482,655	410,256	I

Project	Country	Sector	Goals	Approach	Duration (mth)	Budget (EUR)	EU share (EUR)	Phase
			sities. This will be achieved through institutional cooperation and sharing of knowledge between Moi University in Kenya, University of Makerere in Uganda, University of Mzumbe in Tanzania. The partnership will be supported by the expertise of the University of Alicante in Spain and the German Accreditation Council."					
A NAME for Health - A Network Approach in Medical Education for the Pursuit of Quality of HEIs and Health Systems	Angola, Mozambique	Health	"The project aims to improve health through Medical Education, linking and empowering partner HEIs devoted to the education of medical professionals. The specific objective of the project is to strengthen the capacity of partner institutions to improve academic competencies and clinical expertise in priority health areas (maternal and child health care and infectious diseases) related to the Millennium Development Goals (MDGs)."	institution-building; exchange of knowledge and technology transfer; student support services; curriculum development and quality control; faculty/ student exchange and mobility	24	661,863	454,223	I
CARES - African Scheme for Establishing a Skills Framework for the Healthcare Sector (YES)	Burundi, Senegal and DRC	Health	"the principal objective of the "African Scheme for Establishing a Skills Framework for the Healthcare Sector" (CARES) project is to improve the quality of care in these countries by developing the skills of those working in the field of healthcare."	Curriculum Development; vocational training programmes; institutional networking	36		424,575	I
Creation of a Curriculum Based on the Quality of Health Care in West Africa	Burkina Faso, Benin	Health	"The objective of the project is to implement a specific curriculum based on a patient-centred approach (PCA) designed to increase the ability of health professionals to offer quality care to patients being treated by the health care systems in the two countries in question. The training will be given at the Institute of Research in Health Sciences in Burkina Faso and at the Regional Institute for Public Health Research in Benin, and will be supported by the expertise in the field by the Université Libre de Bruxelles (ULB) in Belgium."	Curricula development, capacity building	36	575,054	482,354	I
EAR-HEALTH - Institutional capacity building through an East African postgraduate teaching programme 'Public Health'	Tanzania, Uganda, Kenya	Health	"Concretely, "The Institutional capacity building through an East African postgraduate teaching programme "Public Health" (EAR-HEALTH) project will set up an East-African Master's Program in Public Health, that will deliver quality-assured post graduate courses on priority public health problems."	Curriculum Development; institutional networking; academic mobility	36	574,432	488,267	I
INEPEA - Improving Nursing Education and Practice in East Africa	Kenya, Uganda, Tanzania	Health	"The "Improving Nursing Education and Practice in East Africa" (INEPEA) project will set up a Knowledge Network (KN) of Higher Education Institutions concerned with the training of nurses and midwives. This will apply to training in both the public and private sectors in Kenya, Tanzania and Uganda. The aim of the network is to design and develop a common curriculum for continuing nurse education that will ultimately strengthen health systems."	Knowledge transfer and exchange; Curriculum Development; faculty training	30	436,914	296,617	I

Project	Country	Sector	Goals	Approach	Duration (mth)	Budget (EUR)	EU share (EUR)	Phase
MEDI-SHARE - Improving Capacity of Health Sector Researchers in ACP HEIs by Sharing Worldwide Recognised IT Tools and Experiences	Kenya, Tanzania, Uganda	Health	"In order to help understand the spread, and monitor the effects of these diseases, the "Improving Capacity of Health Sector Researchers in ACP HEIs by Sharing Worldwide Recognised IT Tools and Experiences" (MEDI-SHARE) project will foster disease monitoring and research activities of three leading universities in the East African region."	Curriculum Development; knowledge and technology transfer; establish database of pathologies	24	617,012	500,000	I
Teaching Capacity and Training for the Improvement of the Quality of Medicines	DRC, Rwanda	Health	"The principal objective of this project is to contribute to the improvement of the quality of medicines and thus, of public health in DRC and Rwanda. More precisely, it aims to strengthen the local capacity to respond to the need for quality medicines and to develop a platform of people in the pharmaceutical sector in the field of quality assurance and control."	training of faculty and stakeholders	36	496,465	584,076	I
MTADM: Joint Master Programme In Transboundary Animal Disease Management	Ethiopia, Kenya, Uganda and Sudan	Health/animal health	"The MTADM project aims to strengthen the capacity of national veterinary services in Ethiopia, Kenya, Uganda and Sudan. It will seek to control and manage transboundary and epidemic diseases more effectively in a regional concerted action and to promote safe trade in livestock and animal products according to international standards."	Curriculum development; training of faculty; networking of experts	36	477,563	395,952	I
African Universities Develop Strategies Addressing the Implications of Globalisation	Mauritius, Tanzania, Kenya, Ghana, Malawi, Uganda, Mozambique	HEI management	"The project "African Universities develop strategies addressing the implications of globalisation" aims to increase the expertise of eight African universities in developing strategies that will deliver graduates equipped to tap global knowledge resources and apply what they have learned in support of local and regional development."	HEI leadership training; high level seminars	24	420,056	340,355	II
CCAU - Catalysing change in African Universities (YES)	Uganda, Malawi, Tanzania	HEI management	"The main thrust of the project is to develop leadership, management and cross-cutting professional competencies of university managers and lecturers, and through exposure, of policy makers."	short leadership courses and seminars	36	552,980	470,033	I
AUDIS - African Universities International Dimension Strengthening (Y)	Angola, Benin, Cabo Verde, Congo (Kinshasa), Ethiopia, Mozambique, Tanzania, Senegal, Togo, Zimbabwe, South Africa,	HEI management; internationalisation capacity building	"The AUDIS project aims to combat this trend by creating better regional conditions for effective networking and by building the capacity of African universities to develop and carry out internationalisation policies and projects in the teaching and research sectors."	Management training; high-level seminars	24	554,431	459,753	I
ICT4D Consortium of African and Open Higher Education Institutions	Mozambique, Kenya, Senegal, Tanzania, Ghana	LCT	"More specifically, the "Consortium of African and Open Higher Education Institutions" (ICT4D) will foster the socio-economic development of African countries by strengthening curricula, teaching and research in information and communication technologies for development (ICT4D) at the participating African universities."	Curriculum Development; academic mobility	24	535,826	447,575	I
ERESA - Enhancing Research Capacity and Skills in Eastern and Southern Africa	Kenya, Uganda, Malawi	Innovation	"The overall goal of the action is to enhance the capacity of HEIs in the ESA region to contribute effectively to development and socio-economic transformation of society. Specifically, the action aims at building, sustaining and strengthening regional capacity for impact-oriented research for development through training programmes	Curriculum development; faculty training; academic mobility	36	583,418	495,905	I



Project	Country	Sector	Goals	Approach	Duration (mth)	Budget (EUR)	EU share (EUR)	Phase
			which provide a solid foundation in research methods and promote collaborative networking to exploit regional research potential and inform policy."					
PREPARE-PhD - Promoting Excellence in Ph.D. Research Programmes in East Africa	Uganda, Tanzania, Kenya	Natural science PhD programmes	"The PREPARE-PhD project sets out to address this need and to develop competent high level human resources within agriculture, veterinary science, human nutrition, natural resource management and related fields. The "Promoting Excellence in Ph.D. Research Programmes in East Africa" (PREPARE-PhD) project will strengthen local research capacity and regional networking in East Africa by upgrading whole Ph.D. systems through a holistic and inclusive approach, actively involving the institutions' management, but also administrative staff, supervisors and Ph.D. students themselves."	Curriculum development; faculty training; networking; Joint research	36	485,911	485,911	I
NETRIS - Network of Regional Integration Studies	Ethiopia; Cameroon; Tanzania; Senegal; South Africa; Fiji, Trinidad and Tobago	Regional integration	"The specific purpose of the NETRIS project is to establish and coordinate a network of ACP Higher Education Institutions (HEIs) working within the field of comparative regional integration. The objective of the network is to strengthen the research and training capacities of the partners in the field of regional integration studies, to stimulate mutual learning, shared practices and collective dissemination, and encourage policy relevant research."	institutional networking; faculty training; knowledge sharing; joint research programmes; mobility	36	636,280	540,838	I
Embedding Entrepreneurship in African Management Education - FED/2013/320-176	Sierra Leone; Kenya	Social entrepreneurship	Develop a social entrepreneurship MBA programme	Curriculum Development; institutional networking; academic mobility	42		499,670	II
Networks of Excellence for Qualitative Research in the Social Sciences: Training and Research Network in Sub-Saharan Africa	Ghana; Tanzania; South Africa	Social sciences	"This primary objective of the project is to enhance the independent capacity of the participating HEIs to conduct rigorous and innovative qualitative and multi-method social science research. The project will provide a new generation of African scholars access to cutting edge and innovative research design strategies and establish a training and research network that will stimulate and sustain, over the medium term, the uptake of these methods by other African HEIs."	faculty training; institutional networking	30	544,153	462,530	I
3A-STEP - Sustainable Tourism, Environmental Sustainability and Poverty Reduction	Botswana, Kenya, Namibia, Rwanda, Tanzania, Uganda	Sustainable tourism	Institutionalized(inter)regionalandinternationalcooperationofSouthernandEastern HEIs, their staff and students; Efficient and up-to-date academic education concerning sustainable tourism development which aims to alleviate poverty and contribute to environmental sustainability.	Curriculum Development;	30	588,159	499,690	I
EA3CLAT - East African Academic Alliance for Curricula in Logistics and Tourism	Kenya, Uganda,	Tourism and logistics	"The EA3CLAT project aims to tackle these issues by strengthening the capacity of four universities in East Africa so they can better address the higher educational needs of the tourism industry and the logistics sector."	Curriculum Development; institutional networking; academic mobility	30	588,148	499,927	I
TDNet - Trade and De-	Ethiopia, Ken-	Trade poli-	"Specifically, the project will improve the quality and relevance of	Curriculum de-	36	530,758	451,144	I

Project	Country	Sector	Goals	Approach	Duration (mth)	Budget (EUR)	EU share (EUR)	Phase
Development Training, Research and Policy Network	Kenya, Mauritius, DRC, Tanzania	Education	study programmes focusing on trade and development, reinforce inter-university ties, promote collaborative research on trade and development and bridge the gap between academics and policy makers, establishing new linkages and fostering dialogue"	Development; faculty training; networking; Joint research				
UCDISM - University Capacity Development for Integrated Sanitation Management in Eastern and Southern Africa	Tanzania, Kenya, Uganda	Water resource conservation	"In close cooperation with the International Masters programme on Integrated Watershed Management, established at Kenyatta University (Kenya) in 2006, the UCDISM project of the University of Siegen is designed to strengthen training and research capacity at universities in Eastern and Southern Africa. On the one hand, the project purpose is to improve water and sanitation governance with emphasis on establishing an international practice-oriented Masters programme in Integrated Sanitation Management (ISM) at the University of Dar-es-Salaam (Tanzania) in cooperation with Kenyatta University. On the other hand it is to upgrade all partner universities' capacity through regional knowledge transfer and training of professionals in project management."	Curriculum development; faculty training; networking; Joint research	36	586,617	497,993	I
ESPRIT — Environmental Sustainability: Priority Education and Research In the Tropics	Benin, Burkina Faso, Cameroon	Ecology, Agriculture	"The ESPRIT project seeks to strengthen the education and research capacity and academic synergies of its African partner HEIs in the field of sustainable dryland management. This will be done by bringing together the expertise available in all five participating institutions by joint research and publications, and the development of courses through multiple South-South and South-North missions by African staff. Other joint project activities such as organising and visiting seminars and conferences will further strengthen the interlinkages between the African partner institutions. In all activities, the European partners will play a supportive, co-ordinating and monitoring role. "	Capacity building, networking, Joint research, Curricula development	36	635,082	485,982	I
RAMSES - African Network to Support Centres of Scientific Excellence	Mali, Burkina Faso, Tchad, Congo-Brazzaville	Food, Informatics, Aromatic Plants, Geosciences and Mines, Mechanicals	« Le projet RAMSES s'inscrit dans cette approche. Il s'appuie sur plus de 10 ans de conventions bilatérales de recherche et d'enseignement et vise à renforcer et à mailler cinq pôles technologiques, qui sont situés au Mali, au Tchad, au Burkina Faso et au Congo, et qui sont spécialisés respectivement en «Alimentation et Nutrition», «Génie Informatique et Simulation», «Plantes Aromatiques et Médicinales», «Géosciences et Mines», et «Génie Mécanique et Civil». La gouvernance du réseau sera collégiale, via les responsables légaux des institutions. Sa mise en œuvre sera assurée par un Comité de pilotage, composé d'un responsable par pôle de compétence, sous la conduite d'un coordinateur représentant l'Université Blaise Pascal. «	Capacity building, networking, mobility	36	1216400	500,000	I
REEP — Renewable Energy Education Project	Ghana, Burkina Faso	Renewable energy	"Specifically, the "Renewable Energy Education Project " (REEP) will develop curricula and training programmes in renewable energy for field engineers and technicians, undergraduate and postgraduate students, and employees of public institutions and private enterprises. "	Curricula development, lifelong learning	36	569,525	412,905	I
Support for Doctoral Thesis in Economics – 2008	Burkina Faso, Sénégal, Côte d'Ivoire, Came-	Economy	« Le but du projet est de poursuivre l'action de renforcement des capacités du niveau doctoral des facultés partenaires. La pertinence d'une action de production de 25 docteurs pour	Support to Higher Education (doc-	36	750,103	500,000	I

Project	Country	Sector	Goals	Approach	Duration (mth)	Budget (EUR)	EU share (EUR)	Phase
Edition	roun, Gabon		desserrer la contrainte de personnel enseignant dans les facultés et Unités de Formation et Recherche des Sciences Economiques du réseau CIEREA n'est plus à démontrer. En outre, ce projet contribue à la formation en Afrique de docteurs économistes de haut niveau, aux normes internationales mais à coûts supportables, et cela dans un cadre hautement compétitif . »	toral thesis)				
Capacity Building for the Financial Sustainability of ACP HEIs	Trinidad and Tobago, Jamaica, Mauritius, Fiji, Suriname, Guyana, Belize	Energy security, food security, water security	“The project is concerned with building the capacity among the participating ACP HEIs to assume greater ownership for their financial sustainability. They need to be adequately resourced to facilitate their host economies in reducing poverty and embracing the priorities of inter alia, energy security, food security and water security. To this ends, HEIs must be able to build the indigenous bank of intellectual capital through research and innovation, produce well-trained professionals and prepare staff and students to function in the global environment. “	Institutional capacity building, institutional networking, joint curriculum development	24	521,394	430,619	I
SideCap - Staff improvement in distance education for Caribbean, African and Pacific Universities	Fiji, Mauritius, Jamaica	E-learning (distance learning)	“The ‘Staff Improvement in Distance Education for Caribbean, African and Pacific Universities’ (SideCap) project will enhance the quality of teaching and support for students in ACP universities by improving their distance education. This will be achieved through a progressive programme of upgrading the skills of teaching and support staff in effective course design for internet-based teaching”	Curricula development, ICTs, distance learning	32	588,158	499,934	I
Promotion of Capacity and Energy Education Development in the Caribbean Region (PROCEED-CARIBBEAN) - FED/2013/320-121	Barbados, Cuba, Jamaica	Energy	“The action concentrates on the target area of energy access and efficiency in higher education capacity building in the partner HEIs located in Barbados, Cuba and Jamaica. The action contributes to the first overall objective of the EDULIK II call in capacity building and regional integration through institutional networking by i) organizing joint workshop seminars with the partner HEIs, ii) fostering information exchange amongst the partners, iii) providing trainings of finance and coordination management, as well as curricula development and iv) increasing the mobility of teaching staff and PhD Students. This contributes to the specific objective of institutional capacity building, including the management planning and administrative capacity development. The action contributes to the second overall objective of the call in supporting higher education of quality, taking into consideration the needs of the labour markets and the partner countries’ socio-economic development priorities. “	capacity building, regional integration, networking, curricula development, staff and student mobility	42		499,000	II
Developing Education, Skills and Capacity in Forensic Awareness and Science	Mauritius, Jamaica	Forensic science capacities, fight crime	“The project aims to develop the University of Mauritius and the University of Technology in Jamaica into centres of excellence in forensic education and training in their respective regions. This will be assured through close cooperation between these two universities and strengthened by the expertise of Staffordshire University, international leader in collaborative education and quality assurance”	Institutional capacity building, institutional networking, purchase of equipment	36	566,815	481,790	I

Source: <http://www.acp-edulink.eu>

### 3.B.7 DEVCO support to WHO for global health research

#### Brief description of Programme

##### *Purpose, objective, approach, actors*

Relations between the EU and WHO are governed by an exchange of letters in December 2000 that specifies, among other things, health research and technology development as a priority area. Cooperation between the EU and WHO is governed by the 2010 Moscow Declaration, which is a document specific to the EU and the WHO's Europe regional office. Thus, strictly speaking, there is no cooperation between the EU and WHO as a whole. However, WHO is arguably the most important implementing agency for DG DEVCO-financed actions related to health R&I.

The EC attends as an observer meetings of the Advisory Committee for Health Research, the body which supports WHO in its role as promoter and coordinator of international health research. The EC took part in the high level consultation held in June 2008 on scaling up health research.

The Global Strategy and Plan of Action on Public Health, Innovation and Intellectual Property (GSPoA) provides the framework for all DEVCO support to R&I at WHO. Adopted after two years of negotiations between WHO Member States as World Health Assembly (WHA) Resolution 61.21 in 2008, the GSPoA consists of eight elements:

- Element 1      Prioritising research and development needs
- Element 2      Promoting research and development
- Element 3      Building and improving innovative capacity
- Element 4      Transfer of technology
- Element 5      Application and management of intellectual property to contribute to innovation and promote public health
- Element 6      Improving delivery and access
- Element 7      Promoting sustainable financing mechanisms
- Element 8      Establishing monitoring and reporting systems.

Of these, Elements 1-5 are directly concerned with health R&I. The protracted negotiations arose over the intellectual property rights aspects of the GSPoA.

The EU's support to WHO's work in the area consists essentially of DEVCO financing for projects implemented at WHO headquarters by two groups. One is the Public Health, Innovation and Intellectual Property (PHI) Team located in the Department of Essential Medicines and Health Products (EMP) within the Health Systems and Innovation (HIS) cluster. The other is the Special Programme for Research and Training in Tropical Diseases (TDR). In this case study, the major projects financed by DEVCO at WHO will be described. While all of these were in the context of the GSPoA, note that some of them began before the GSPoA was adopted. Also to be noted, the WHO adopted a strategy on research for health in 2010, but this is fully harmonized with the GSPoA.

##### ***How does it support or promote R&I?***

The following major actions have been financed by DEVCO and implemented by WHO:

Support for Regional Networks for Health Product R&D Innovation in Africa, Asia and Latin America (PP-AP/2009/220-143).

DEVCO provided EUR 5 million in seed money for the African Network for Drugs and Diagnostics Intervention (ANDI), an initiative incubated by TDR Geneva. With EU support, a series of consultative meetings was held and a strategic business plan was developed in 2009. An external review carried out in 2012<sup>116</sup> found that, despite under-funding, basic infrastructure for the network was in place, with a Secretariat in place at the Economic Commission for Africa in Addis, 38 Centers of Excellence in the region having been selected (32 being health R&D centers and six being manufacturing centers), and two projects addressing regional needs selected for funding. ANDI stakeholder meetings provided opportunities for networking (for example, the second ANDI meeting in Cape Town in October 2009 was attended by over 300 participants) and some Centers of Excellence were leveraging their status to raise additional funds. ANDI is governed by a board consisting of scientific experts from the five regions of Africa, WHO, the Economic Commission for Africa, two WHO regional offices for Africa (Regional Office for Africa and Regional Office for the Eastern Mediterranean), and a representative of the

<sup>116</sup><http://www.andi-africa.org/documents/Executive-Summary-Report-of-the-External-Review-on-ANDI-and-ANDI-Board's-Reponse.pdf>

African diaspora. The external evaluators rated the EU's support as crucial to getting AND off the ground.

Support for research and development into poverty-related, tropical, and neglected diseases (PP-AP/2008/160-163).

As called for under Element 1 of the GSPoA, WHO launched a major international mapping and priority-setting effort utilizing the regional and country network of TDR. DG DEVCO contributed EUR 2 million and TDR financed approximately EUR 8 million. A collaborative partnership was developed with the Geneva-based Global Forum for Health Research to perform desk research on R&D financing, which then served as input into the work of ten working groups (a total of 125 scientists), six of which were disease-specific and four of which were thematic. In line with the crucial need for local expertise and ownership, each disease-specific working group was chaired by a scientist from a country in which the disease was endemic. National and regional consultative meetings were held in China, Cuba, Ghana, Lao PDR, and Nigeria. The South-South Initiative (SSI) for tropical disease research was created and developed an action plan in a meeting at the Rockefeller Foundation Bellagio Center and a meeting of Lusophone researchers was held in Accra to discuss Africa-Brazil scientific collaboration. A web-based platform, TropIKA.net was developed for information sharing purposes.

The resulting 2012 volume *Global Report for Research on Infectious Diseases of Poverty*<sup>117</sup> is regarded as a standard reference in the area. It presents analysis of current financing and coordination of R&D, identifies the most pressing needs, and makes specific recommendations for action.

Improving access to medicines in developing countries through pharmaceutical-related technology transfer and local production (D-23958 and D-21831, 2008 and 2010, respectively).

This ongoing project responds to the July 2007 European Parliament resolution on the TRIPS Agreement and access to medicines (B6-0288/2007 / P6\_TA(2007)0353) which calls on the EC and Member States to take steps to transfer to developing countries the technology and capacity needed to stimulate local production of needed medicines. A number of external factors combined to make this an attractive project. African governments and institutions, including the African Development Bank, were taking increasing interest in the feasibility of local production. This was especially true in the area of generic drugs, where availability was found to be insufficient and the long-term prospects for continuing import from China and India are uncertain. In Phase 1 of the project (2009-11), implemented by WHO Public Health, Innovation and Intellectual Property (PHI) in collaboration with the *United Nations Conference on Trade and Development* (UNCTAD) and the International Centre for Trade and Sustainable Development (ICSTD), the main trends and barriers to local production of pharmaceuticals, vaccines and diagnostics were identified. Eight reports were published.<sup>118</sup> Among the more important findings were, first, that local production does not necessarily improve access unless the local health system context is taken into account. Second, a mapping exercise found that the great bulk of technology transfer to developing countries has been in the area of HIV/AIDS, tuberculosis, and malaria. Among other areas, vaccines were held to hold special promise because of heavy public sector involvement. Under D-23958 DEVCO committed EUR 1.67 million to this project and under D-21831 EUR 5 million. An ongoing Phase 2 (2012-present) responds to the first finding by seeking to promote greater policy coherence between government policies that affect the local production in order to improve access. The Phase 2 project is fully aligned with the African Union's Pharmaceutical Manufacturing Plan for Africa (PMPA). In addition to further policy analysis and case studies, Phase 2 includes substantial technical assistance and capacity building components.

Promoting research for improved community access to health interventions in Africa (D-24004).

The overall objective of this Action is to generate evidence to increase access, especially for poor communities in low and middle income countries, to health interventions and effective health services to combat diseases that disproportionately affect developing countries, as outlined in the GSPoA. While this project is implemented by a global institution, it is implemented at a regional level, and is the subject of a separate regional case study.

*Links with Commission R&I strategy and other R&I support programmes (including RTD)*

Support to WHO in the context of the GSPoA is explicitly incorporated into COM(2010) 128 on the EU role in global health and SEC(2010) 381 on European research and knowledge for global health. While DEVCO support to WHO is complementary to RTD FP7 support to health research, WHO headquarters does not participate in FP7 calls.

<sup>117</sup> [http://www.who.int/tdr/stewardship/global\\_report/en/](http://www.who.int/tdr/stewardship/global_report/en/)

<sup>118</sup> Available at [http://www.who.int/phi/publications/local\\_production/en/](http://www.who.int/phi/publications/local_production/en/)

*Features: scale, funding source, geographical coverage, time period*

All of the WHO HQ actions are financed as preparatory actions (“PP-AP projects”). Preparatory actions are adopted by the European Parliament in response to specific concerns, here poverty related, tropical and neglected diseases and improving access to medicines in developing countries. They are financed under the general budget of the European Union.

While global in scope, it is clear that their major focus is Africa.

For financial scale, see action descriptions above.

### **Relevance and added value of this programme for evaluation**

The preparatory actions carried out by TDR are at the core of DEVCO’s support to health R&I.

### **Sources of evidence available, their coverage and limitations**

Documentation varies by action, but has been found to be typically good, including project documents, Action Fiches, Identification Fiches, Monitoring Reports, and external reviews or evaluations. All of the actions listed above have websites on the WHO server (independently in the case of ANDI) at which policy papers, reports, and other outputs are disseminated.

### **Key observations for JCs**

<b>Number</b>	<b>JC</b>	<b>Relevant observations</b>
11	Links with EC development objectives	Support to WHO is clearly very closely tied to EU development policy and health communications.
21	Degree of alignment and coherence of EU DEVCO support to R&I with relevant policies and strategies	Support to WHO aligned with COM(2010) 128 and SEC(2010) 381.
24	Enhanced networking of developing countries’ researchers at regional and international level	All of the actions here built significant international networks.
31	Appropriateness of the financing modalities and types of funding under different EU instruments and the way they have been applied for enhancing R&I	The efficiency of financing small (under EUR 5 million) project actions instead of providing something similar to budget support to WHO can be questions, but it appears that EU financing rules make the latter out of the question. The transaction costs for both DEVCO and WHO are, nonetheless, high.
32	Strategic approach adopted to choosing different possible actors / channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities available	Same comment.
41	Extent to which DGs DEVCO and RTD have formulated clear strategies on how they should cooperate in a complementary way.	Presumably WHO does not compete for FP7 funding because it is not a research institution per se. In financing WHO, DEVCO would appear to be filling a gap, namely for research that would specifically address the need for a policy on health R&I areas affected by market failure.
42	Degree to which DEVCO support addresses issues that could/would not have been better, or equally well, addressed through RTD and vice versa	Same comment.
51	Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes	In the case of all actions examined, the question of ultimate uptake and impact can be raised. The local production project concentrated in Phase 1 on policy papers. In Phase 2, it is trying to get ideas off the ground. The current state of ANDI is also in need of confirming.
52	Extent of internal lessons learning, sharing and uptake in the EU Institutions within the sectors supported in partner countries, and at international level	The EU finances a lot of budget support, with accompanying policy dialogue, on health in Africa. It will be interesting to see if CDI is built in.

<i>Number</i>	<i>JC</i>	<i>Relevant observations</i>
54	Development processes and outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks	Same comment.
61	EU internal capacity	The WHO projects are supported entirely by DEVCO Brussels – the EUD Geneva confines itself to political relations with WHO.
62	R&I policy dialogue	The WHO would be the natural partner for policy dialogue concentrating on the need for action to address market failure in health R&I. The EC is financing research at WHO to address the issue, but the extent to which it was actively involved in the accompanying policy dialogue (for example the Intergovernmental Working Group on Public Health, Innovation, and Intellectual Property that ultimately gave rise to the GSPoA) is not known.

## 4 Annex 4 – Survey to EU Delegations

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## 4.A Introduction and methodology

This annex presents the results of a survey of EU Delegations (EUDs) in the framework of the “*Evaluation of the EU Support to Research and Innovation for Development in Partner Countries (2007-2013)*”. The survey was implemented through a web-based questionnaire and managed in-house by the contractor.

The Evaluation Unit of DEVCO contacted 37 EUDs to obtain contact details of the main survey respondents in the Delegations. The 32 EUDs listed in Table 36 below responded to the request<sup>119</sup>. It later emerged that two of them, Ghana and Namibia, had virtually no bilateral R&I support in the thematic sectors and were dropped ex post, yielding a potential sample of 30 EUDs.

Invitations to the survey were sent out as soon as the contact details were received, starting 21 May 2015. The survey was closed on 4 September 2015. As shown in Table 36, completed questionnaires were received from 22 of the 30 EUDs, which corresponds to a response rate of three quarters (73 %).

The main respondents were the Heads of Cooperation and the S&T contacts in the Delegations. Several Delegations highlighted the problem of limited institutional memory due to staff turnover, which inevitably led to a relatively larger coverage of the later part of the evaluation period.

Table 36 Survey completion status of the 32 EUDs contacted

Region	Country	Survey completed	Region	Country	Survey completed
ACP	Benin	•	Asia	Afghanistan	
	Burkina Faso	•		Bangladesh	•
	Fiji			Cambodia	•
	Ghana	Dropped		China	•
	Jamaica			India & Bhutan	•
	Kenya			Philippines	•
	Mauritius	•		Thailand	
	Mozambique	•		Vietnam	•
	Namibia	Dropped	ENP	Algeria	•
	Papua New Guinea	•		Egypt	•
	Senegal	•		Jordan	
	Sierra Leone			Morocco	
	South Africa	•		Tunisia	•
	Trinidad and Tobago	•		Ukraine	•
	Zimbabwe	•		Latin America	Mexico
			Peru		•
			Uruguay		•

The complete questionnaire is included further below in Annex 4 of this report. It consisted of an introductory section and nine thematic sections with questions on the following subjects:

1. General issues;
2. Dissemination of information about R&I opportunities;
3. Policy dialogue;
4. Outcomes of support to R&I, dissemination, uptake and innovation;
5. Aid delivery methods, funding instruments, implementing channels and approaches;
6. Coordination and complementarity;
7. Lessons learnt from support to R&I;
8. EU institutional capacities;
9. Value added.

The questions posed were largely of multiple choice (scaling) nature, often complemented with open space to provide the possibility for further comments or explanations on the choices selected.

<sup>119</sup> The 37 EUDs correspond to the country list suggested in Volume 1 of this Final Report, with India and Bhutan covered by the same delegation. No contact details were obtained from the Delegations of Chile, DR Congo, Ethiopia, Tanzania and Uganda, which were hence not invited to do the survey.

Except for the initial selection of sectors, none of the questions were obligatory. Furthermore, not all questions were applied to all EUDs but were only displayed depending on previous answers (e.g. Yes/No). A special case of this 'skip' logic was the fact that some questions were sector-specific and only applied if the given EUD had actually been active with R&I support in that sector. Altogether, this explains why the total number of responses is in general less than the 22 potential answers presented in the above overview table.

The section below presents the answers given to each question and is organised according to the main subjects mentioned above.

## 4.B Detailed analysis of the survey responses

The survey analysis combines data from multiple choice questions (presented as figures or tables) and open text fields of the questionnaire (synthesised as text or in tables). Most of the figures present results in percentage terms and therefore also display the total number of responses (' $N = \dots$ ') based on which the percent values were calculated. In most cases,  $N$  stands for the total number of EUDs that responded to the survey - unless indicated differently.

For the purpose of external reporting, responses are kept anonymous and not linked to specific EUDs/countries. Survey data for the ten field phase countries may be used at a later stage, depending on the data collection strategy in the field.

### 4.B.1 General issues

#### 4.B.1.1 Could you briefly indicate in which of the following sectors, research and innovation was supported between 2007 and 2013 (entirely or partially) by funding from DG DEVCO in your country?

This introductory question identified the sectors of R&I support in the individual EUDs. The responses were subsequently used to display further sector-specific questions (only) for the sectors initially indicated by the respondents.

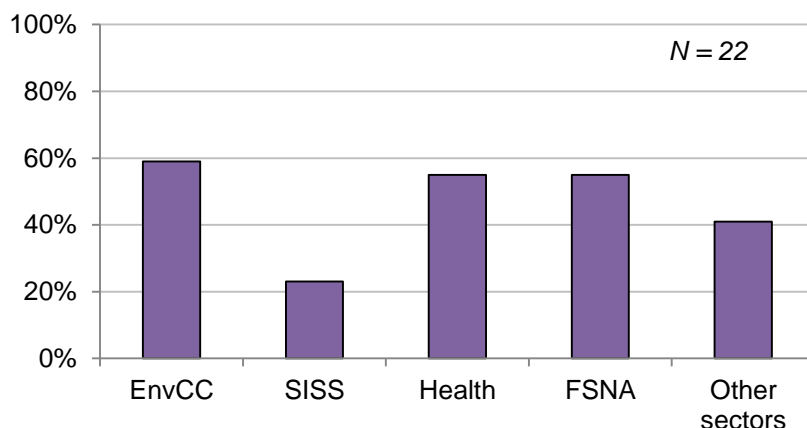
The results in Figure 22 below suggest that each sector - except SISS - received at least some R&I support in 50-60 % of the respondent countries.

Note that these figures are simple counts and not weighted by contracted amounts. Therefore, the survey data do not contradict the figures in the inventory, for instance the fact that the Health sector accounts for less than 10% of the total funding in this evaluation.

The low number of countries with R&I support for SISS should be interpreted with caution since it may partially reflect the difficulty of correctly identifying interventions in this sector. In contrast to the other thematic sectors, the definition of SISS is much less standard.

The 'Other' sector contains mostly R&I support in the field of Education.

Figure 22 Sector coverage of R&I support



Note: Multiple sectors possible. The diagram shows the percent of delegations that indicated R&I support in the given sector during the period 2007-2013.

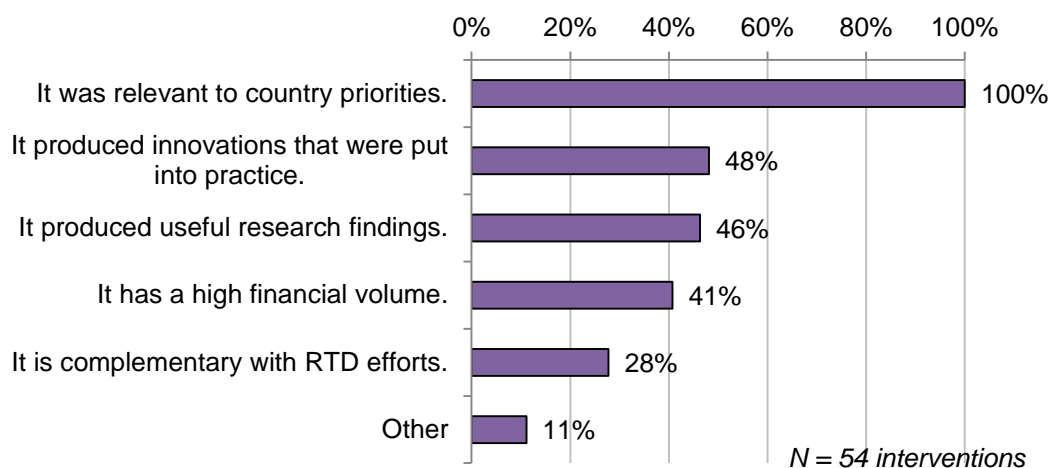
#### 4.B.1.2 Could you briefly indicate what you consider to be the most important DG DEVCO funded interventions in R&I in the country between 2007 and 2013, and why?

This question aimed to establish the list of interventions to which country-specific survey responses refer.

The key intervention enumerated by the respondents typically present a subset of all country-level contracts listed in the inventory created during the Inception Phase of this evaluation. For many countries, the inventory also includes a range of smaller contracts captured by keyword search but less relevant in size. Furthermore, contracts signed before 2007 with more than 50 % of disbursements thereafter were included in the inventory for completeness, but rarely referred to in the survey data. In general, R&I interventions considered by the respondents tend to fall in the second half of the evaluation period, which is also a consequence of staff turnover in the Delegations. Respondents also listed a few contracts not previously captured in the inventory - apparently broader interventions but with less evident R&I components. These should be taken into account for the final inventory.

To better understand the selection of interventions listed by the respondents, respondents were asked why they considered them as important. Figure 23 shows that 'important' is usually understood as an intervention being relevant for country priorities. Interestingly, nearly half of all interventions were also considered as important because they 'produced innovations that were put into practice' and 'useful research findings'. Yet, while respondents were able to list specific research findings in the survey section "Outcome of support", they generally failed to identify *specific* innovations resulting from DEVCO support to R&I (see Section 4.B.4 further below).

Figure 23 Importance of R&I interventions



Note: Multiple reasons possible. The graph shows the percent of interventions listed as important for the given reason.

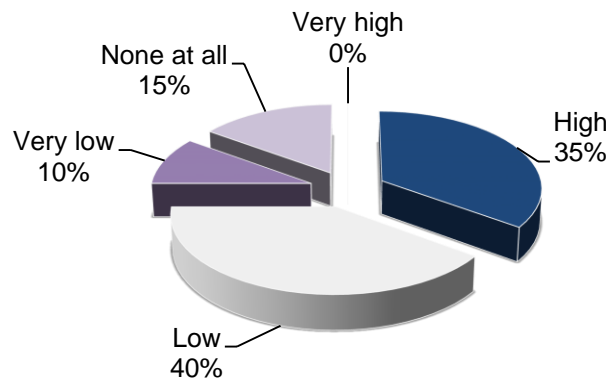
#### 4.B.1.3 In your opinion, how much of a strategic priority does the EU, through DEVCO funding, give to supporting R&I in the country?

After the identification of sectors and interventions, the next set of questions (in this and the following section (4.B.1.4)) explored the strategic priority given by the EU to R&I support.

There is some divergence in the EUDs' opinions about the level of strategic priority given (see Figure 24), but overall 65 % considered that it was low, very low or non-existent. None of the respondents said that it was 'very high'.

Most EUDs indicated that the (good quality or lack of) government framework for R&I, as well as in-country R&I institutional capacity, were important factors in their assessments - see Figure 25 further below. The other factors were somewhat less important, especially among those that had previously selected the options very low/low/no strategic priority (not separately shown).

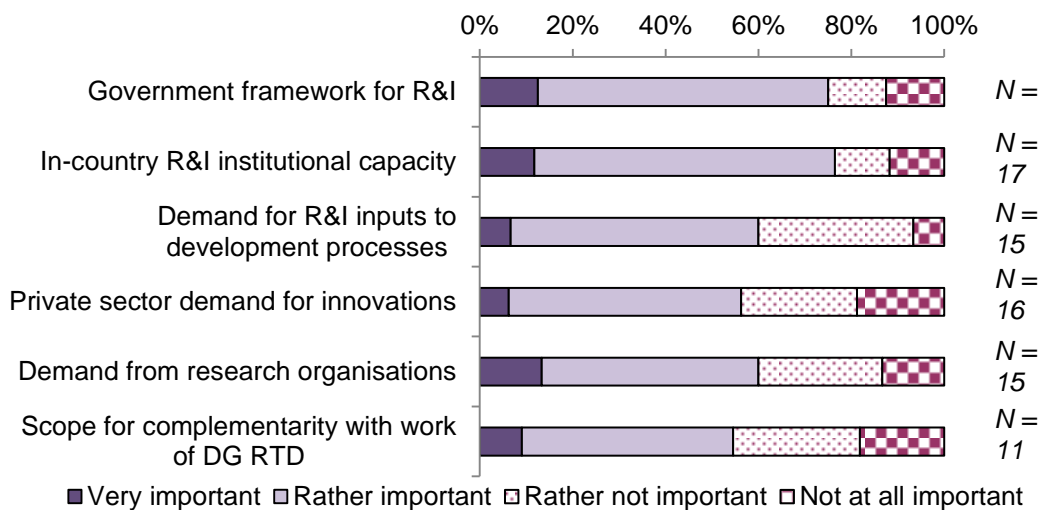
Figure 24 Level of strategic priority given by EU to R&I support



N = 20

Note: Percent of EUDs that rated the EU's strategic priority to R&I support at the indicated levels.

Figure 25 Reasons for assessment of strategic priority to R&I support



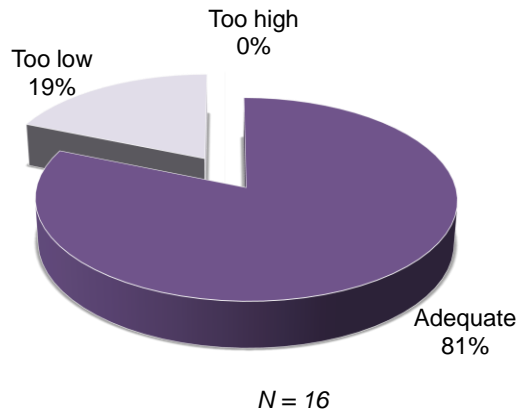
Note: The bars show how many percent of EUDs indicated that the given reasons were very / rather / rather not / not at all important for assigning the priority levels shown in previous Figure 24.

#### 4.B.1.4 How adequate would you consider the strategic priority given?

Despite the relatively low overall perception of the EU's strategic priority for R&I support, a clear majority of respondents (81 %, see Figure 26) agreed that it was adequate. Even among the EUDs that rated the priority as low/very low/none, 70 % indicated that the level was adequate (not shown in the graph).

Some respondents who rated the priority level as 'low but adequate' justified this with the low priority given to R&I by the respective country governments themselves – the EU would thus match the demand of partner countries. Among the Delegations that considered the EU's strategic priority as 'high and adequate', a few highlighted the existence of bilateral S&T agreements.

Figure 26 Adequacy of strategic priority given by EU to R&I support



Note: Percentage of EUDs that consider the EU's strategic priority to R&I support was at the given level of adequacy.

#### 4.B.2 Dissemination of information about opportunities

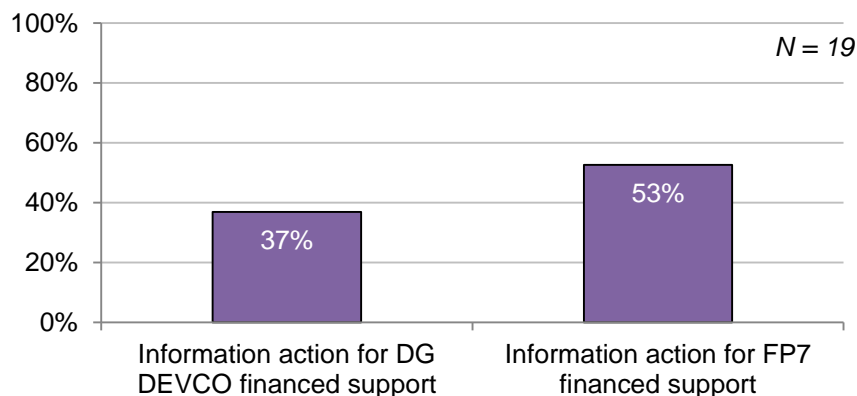
##### 4.B.2.1 Between 2007 and 2013, did your EUD implement any information actions which aimed at raising interest and awareness of researchers and institutions on accessing R&I funded by the EU (DEVCO and/or FP7)?

One half (53 %) of the Delegations declared that they had implemented some information actions about EU funding for R&I in the period 2007-2013 (based on  $N = 19$  answers).

Information actions can be about DEVCO or RTD financed R&I support. All of the 53 % of EUDs that carried out information actions addressed FP7 in these measures (Figure 27). In contrast, DEVCO finance was only addressed by two thirds of these Delegations (or 37 % of all EUDs) in their information actions.

**If "yes", what type of action was it? (Several ticks possible)**

Figure 27 Information actions for EU funding by EUDs



Note: Multiple action types possible. A bar shows the percentage of EUDs that implemented the information action of the given type.

Examples from respondents of awareness raising actions for DEVCO financed support are information campaigns within a science fair hosted by a national Ministry of S&T; the Euro-Mediterranean Innovation Marketplace; a side-event to a country's bilateral summit with the EU; and a workshop of a specific DEVCO-financed R&I programme. The objectives of these and similar actions were to provide information about financing and/or to raise awareness of research collaborations with the EU. Their success was generally considered as high.

The most frequent types of practical support to access DEVCO finance (answers from five Delegations) were group briefings and help with establishing contacts with EU researchers (three EUDs), followed by help with contacts in the country (2x) or international organisations (2x). In contrast, provid-

ing detailed written advice, individual advice sessions, training workshops, help with completing application forms and study tours to the EU were rare (1x or none). If used, the specific type of support was generally rated as 'rather useful'.

For FP7, awareness raising actions included, among others: information events/days and workshops organised by specific FP7-funded projects in various countries (fairly common), presentations at universities, conferences, information through national focal points and specific workshops. Most of these actions were rated as highly successful.

Among the types of practical support (responses from six EUDs), provision of detailed written advice and training workshops (three EUDs each) were more frequently used than in information actions for DEVCO finance, while group briefings and help with establishing contacts with EU researchers were equally common (3x each). The remaining forms of support were similarly rare. If used, the success of the different types of support was mostly rated as rather or very useful.

### 4.B.3 Policy dialogue

#### 4.B.3.1 Between 2007 and 2013, and in the sectors where R&I support was provided via DG DEVCO funding, did the EU (Delegation) participate in any policy dialogue at national level with national stakeholders?

Table 2 below shows that, in each sector, at least two thirds of the EUDs in countries with R&I support in the sector also participated in policy dialogue.

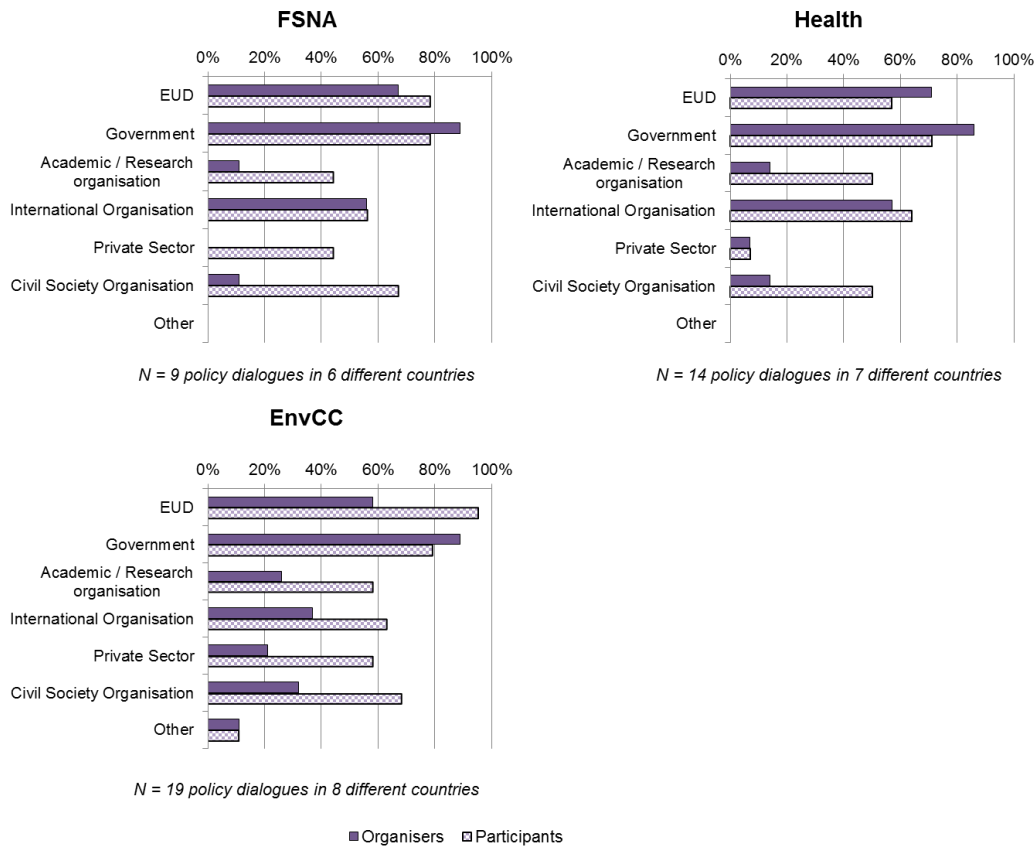
Table 37 Participation in sector-specific policy dialogues

	<i>FSNA</i>	<i>Health</i>	<i>EnvCC</i>	<i>SISS</i>
Total no. of EUDs with R&I support in the given sector	12	12	13	5
of which:				
Participated in policy dialogue in the sector	6	7	8	2
Did not participate in policy dialogue in the sector	2	2	3	0
(No information about policy dialogue)	(4)	(3)	(2)	(3)

Note: Unit of analysis = EU Delegation.

The following graph (Figure 28) provides details on the different group of stakeholders that have acted as organisers of or participants in sector-specific dialogues. SISS is not analysed here since only four dialogues from two different countries were reported in this sector.

Figure 28 Participants and organisers of policy dialogues by sector



Note: Multiple organisers and participant groups per policy dialogue possible. The graphs show the percentage of all policy dialogues in the given sector (i) that were co-organised (dark bars) by the indicated institution/ stakeholder group and (ii) in which the indicated institution/stakeholder group participated (light bars).

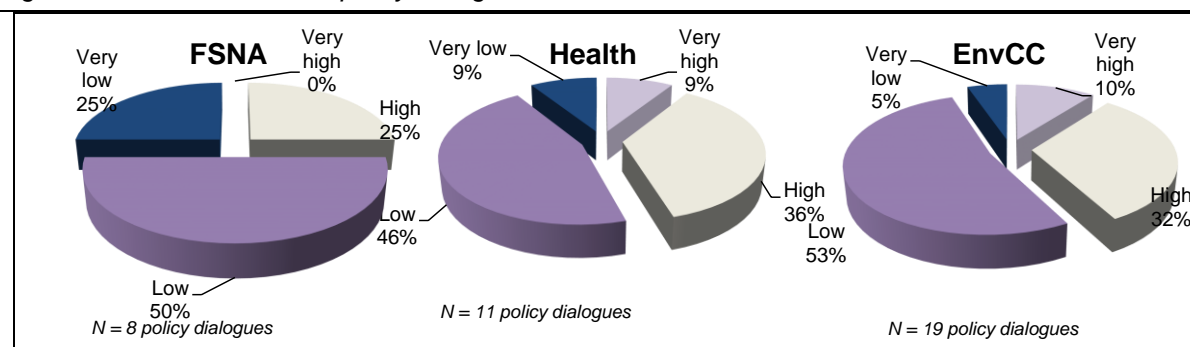
Regarding the organisers of policy dialogue, a consistent pattern emerges across all sectors. Independently of the sector, the national government is the lead or co-organiser in at least 85 % of the dialogues. In EnvCC, academia has a stronger weight and international organisations have a lower weight as organisers than in the other sectors. The EUDs themselves appear as organisers in two thirds of the policy dialogues in all sectors.

Participation by the different stakeholders varies somewhat between sectors. In FSNA and EnvCC, the EUDs participate in almost all dialogues, but only in two thirds of the Health dialogues. The government, in contrast, is a regular participant in most sector dialogues. In Health, participation of the private sector is scarce. Apart from these differences, a common observation in all sectors is the participation rate of about 50 % of academic and research institutions, which hence seem relatively well presented.

Even within sectors, the perceived success of policy dialogues varies substantially as shown in Figure 29 below. About half of the dialogues were rated as successful in the Health and EnvCC sectors. In contrast, FSNA dialogues were on average considered less successful, although this result should be interpreted with some caution due to the low sample size.

Main reasons for the low success of dialogues in different sectors included little R&I focus and exclusion of some important stakeholder groups, whereas successful dialogues were those that informed development strategies and plans or triggered specific follow-up actions, especially by national governments. For example, two dialogues resulted in the creation of an Institute for Regulatory Sciences and a Government Initiative for Sustainable Development, respectively.

Figure 29 Success of policy dialogues



Note: Each sub-diagram displays the percent of policy dialogues in the given sector that were rated with the different degrees of success

#### 4.B.3.2 In your opinion, what were the major outcomes of your policy dialogue efforts in terms of strengthening R&I in the country?

Examples of responses included:

- Consolidation of the national policy for R&I;
- Identification of long-term priorities in research for the bilateral cooperation country-EU;
- For the NIP 2014-2020, a focal area will be Research and Innovation;
- Initiation of the Association Membership in the Horizon 2020 programme;
- Commitment of the Ministry of S&T to promote the role of private sector in innovation;
- Selection of research grants for National Food Policy Capacity Strengthening Programme.

#### 4.B.3.3 In which ways did your EUD's policy dialogue efforts contribute to research needs of your country and/or region being taken into account in DG DEVCO support to R&I?

Very few relevant data provided.

#### 4.B.3.4 At the regional level, has your Delegation been involved in any type of policy dialogue related to DG DEVCO funded support to R&I?

Of the 17 EUDs that answered this question, five indicated "Yes", seven responded "No" and the remaining five stated that there has not been any regional-level R&I support. Details on the five regional policy dialogues are given in the table below.

Table 38 Regional policy dialogue in R&I

Type and/or sector of dialogue	Main stakeholders	Main outcomes	Role of the Delegation
Sugar research	Research institutes in the ACP region	Research to improve competitiveness of cane sugar	Follow up of the implementation of the local research project
FLEGT & REED+ <sup>a</sup>	National government, EU	Voluntary Partnership Agreement	Contribution to the dialogue
Climate change	Mekong River Commission	CC impact assessments	Monitoring
Governance & institutional level of R&I in the region	Concerned ministries and public bodies (i.e. labs and universities)	Development and strengthening of networks and synergies	Participation and advise
Regional Senior Official Meetings	n/a	n/a	n/a

<sup>a</sup> FLEGT: Forest Law Enforcement, Governance and Trade; REED+: Reduced Emission from Deforestation & Degradation.

A few EU Delegations indicated in addition that components of regional R&I support have been implemented in their countries, but provided little further detail.



#### 4.B.4 Outcomes of support, dissemination, uptake and innovation

##### 4.B.4.1 What would you consider as the main research findings obtained from DG DEVCO funded support to R&I in the country?

The questionnaire invited the respondents to provide examples of key research findings (generally understood as results of specific research projects, rather than the outcomes of R&I support more generally).

Table 39 to Table 41 below list the research findings reported by the Delegations (by sector) that are broadly in line with this definition. For reasons of anonymization, the reference to specific countries has been removed in the tables (but is retained for internal use of the evaluation team).

The EnvCC sector shows the largest number of research findings, both in absolute terms as well as measured by the number of countries (not shown). In contrast, no specific research findings were reported for the SISS sector.

Comparing the tables does not reveal any evident, systematic differences between the sectors. The target audience of the dissemination of research findings is diverse, but it is worth noting that the private sector seemed to be addressed more frequently by dissemination activities than national governments.

There is similar variety in the means used for the dissemination of research findings, although conferences, workshops and various types of publications are relatively more common.

Table 39 Main research findings and their dissemination – FSNA sector

<i>Research finding</i>	<i>Target audience of dissemination of research finding</i>	<i>Means of dissemination</i>
Increasing sugar productivity through development of high sucrose and early-ripening genotypes	ACP States	Conference, publication, workshop
International quarantine facility for exchange of sugar cane germplasm among ACP countries	ACP States	Conference, publication, workshop
Depletion of fisheries resources	Technical Working Group on Fisheries	Note
In-depth knowledge of the agricultural situation and policy options for better nutrition and food safety	Regional research community, private sector in the country, international research organisations	Leaflet, conference, publication, note, inter-service meeting
New technical (FSNA) practices implemented	Mainly small producers	Field conferences with participation of stakeholders and beneficiaries

Table 40 Main research findings and their dissemination – Health sector

<i>Country</i>	<i>Research finding</i>	<i>Target audience of dissemination of research finding</i>	<i>Means of dissemination</i>
South Africa	Establishment of the National Treatment and Resistance Network	Regional & international research community	Peer review journals
South Africa	Development and validation of alternative low cost in-house screening assays	Regional & international research community	Peer review journals
South Africa	Establishment of a bio bank at the National Health Laboratory Services to monitor drug resistance	Regional & international research community	Peer review journals
Peru	Upgraded nutriment supply by improved native varieties	Government sectors (e.g. agriculture and health), NGOs, organisations of producers	Conferences, interviews in media, workshops, etc.

Table 41 Main research findings and their dissemination – EnvCC sector

Country	Research finding	Target audience of dissemination of research finding	Means of dissemination
Mauritius	Use of bio pesticides for the control of sugar cane white grubs	ACP States	Conference, publication, workshop
Mauritius	Regulating phosphorus in sugar cane to decrease production costs and to protect fresh water resources in ACP states	ACP states	Conference, publication, workshop
Mauritius	Efficient conjunctive use of water for sustainable sugar cane production	ACP States	Conference, publication, workshop
Papua New Guinea	It is possible to generate and provide electricity from 100% coconut oil in a large village situation	Energy stakeholders	Implementation and monitoring reports
South Africa	Geological assessment report on potential sites for a pilot CO <sub>2</sub> storage project	Government, national and international research community, private sector, international funding organisations, DEVCO	Workshops, international conferences, project narrative reports
South Africa	Update of the existing CCS-GIS to include large point sources of CO <sub>2</sub> , sites worth further consideration for storage	Government, national and international research community, private sector, international funding organisations, DEVCO	Workshops, international conferences, project narrative reports
Bangladesh	Innovative Disaster Risk Reduction Practices	Regional research community, private sector in the country, international research organisations	Leaflet, conference, publication, note, inter-service meeting
Peru	Climate change adaptation for new varieties of potatoes	Disseminated to producers' organisations, NGO and networks	Publications, technical assistance, experiments in fields
Vietnam	Innovative technologies Implemented	To project stakeholders: private sector in the country (SMEs), international organisations, public institutions	Leaflets, workshops, publications, through information centres, through consumers and their networks, TV broadcasting
Mexico	Renewable energies	National S&T council, development banks	Policy dialogue

A few EU Delegations reported being aware of at least one research finding from DEVCO financed R&I support that was taken up in their country. The examples provided are given below.

Table 42 Uptake of research findings

Sector	Who and/or what instigated the transfer of findings?	How/for which purpose have the findings been used?	By which stakeholders have the findings been used?
FSNA	Research institutions and government agencies	Follow-up research, product innovation, policy planning	All relevant stakeholders
FSNA	World Bank, CORAF <sup>a</sup> , national research institutions in Western and Central Africa	Production and dissemination of innovations	Research institutions, private sector, donors
Health	National Department of Health	The National Department of Health released the National HIV Drug Resistance Strategy, which recommends the clinical management models and databases developed in the project as models for the country and specifically mentions the National Treatment and Resistance Network and systems developed at the Medical Research Council.	Government
Health	EUD	Setting of national observatory of health equity	Ministry of Health
EnvCC	National Energy Development Institute; British Geological Survey	The research was conducted in line with the roadmap for CCS (carbon capture and storage)	Government

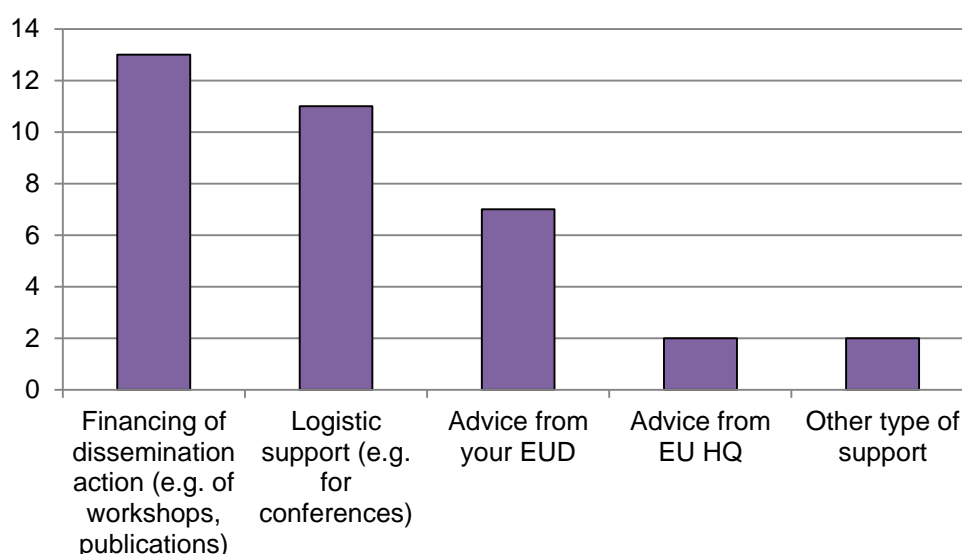
Sector	Who and/or what instigated the transfer of findings?	How/for which purpose have the findings been used?	By which stakeholders have the findings been used?
EnvCC	Research institutions and government agencies	Follow-up research, product innovation, policy planning	All relevant stakeholders
EnvCC	EUD	Research calls linked with FP7	National S&T council

<sup>a</sup> CORAF West and Central African Council for Agricultural Research and Development

#### 4.B.4.2 Did the EUD provide support to external stakeholders (e.g. universities, private sector) for the dissemination of research findings that have been generated with financing from DG DEVCO?

Of all the 22 EUDs that answered this question, five indicated “Yes”, ten responded “No” and the remaining seven did not know.

Figure 30 Support to stakeholders for the dissemination of research findings



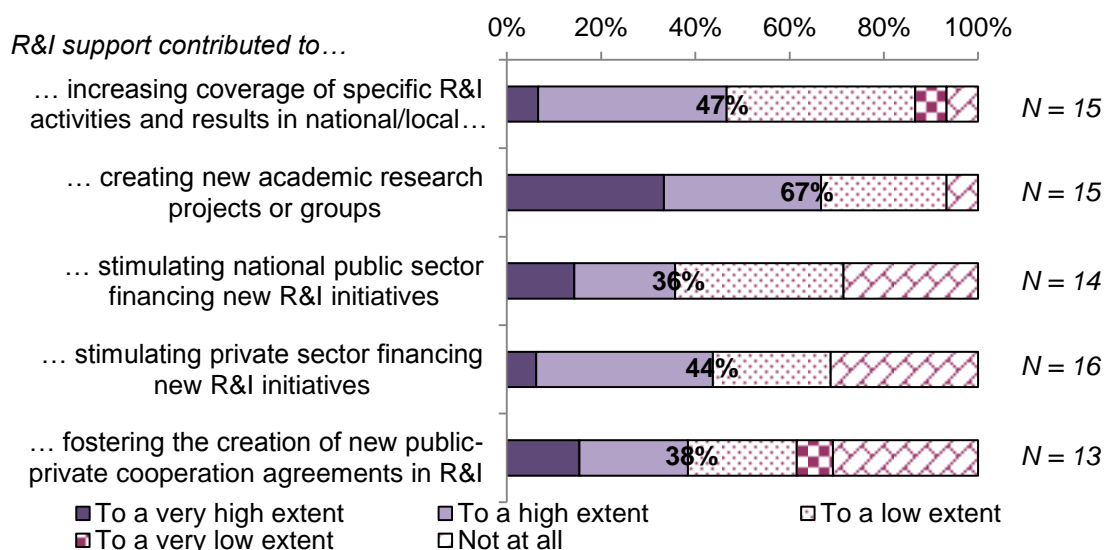
Note: The question was asked by sector to the five EUDs that answered ‘Yes’ to the previous question. The total count is equal to the sum of all sectors in these EUDs (e.g. each of the five EUDs has R&I support in three sectors → max. of 15 per type of support). Multiple actions possible in any given sector and EUD.

The picture looks similar if the numbers are disaggregated by sector. In all sectors, financing of dissemination actions is the most frequent type of support for dissemination, followed by logistic support. All types of support were rated as ‘rather useful’ by almost all respondents in all sectors, except for advice from EU HQ (but which had only  $N = 2$  responses).

#### 4.B.4.3 How would you score the contribution of DG DEVCO funded support to R&I between 2007 and 2013 in relation to the following outcome and impact indicators?

Next, the questionnaire asked whether DEVCO financed R&I support had contributed to specific outcomes and impact indicators. Results are presented in Figure 31 below.

Figure 31 Contribution of R&amp;I support to outcomes and impacts



Note: Each bar illustrates the proportions of EU Delegations that rated the contribution of R&I support to the specific outcome/impact indicators as very high, high, low, very low, or none. The percentage number displayed inside a bar represents the share of Delegations indicating that R&I support made a high or very high contribution to the given outcome/impact. The N's refer to the total number of EUDs that provided a rating in the given category.

The most evident contribution of R&I support was the creation of new academic research projects or groups: two thirds (67 %) of the respondents stated that the contribution was 'very high' or 'high'.

In almost all countries, R&I support also contributed at least to some extent (and in 47 % of the cases to a very high or high extent) to the media coverage of R&I activities. For example, one EUD organised a tour to EU-funded projects for the national media. It also linked launches of R&I projects to community events organised by the Ministry of S&T.

The contribution to other outcomes and impacts seems generally lower - and more variable - across countries. On the one hand, one third of the EUDs responded that DEVCO support to R&I did (virtually) not contribute to the stimulation of public or private sector financing, or private-public partnerships for R&I. On the other, around 40 % said that the contribution to these outcomes and impacts was very high or high.

For crowding-in of public funds, the link to specific R&I support by the EU is somewhat vague in the examples given by the respondents (greater emphasis of government agenda on R&I, general calls for research proposals by national S&T agencies).

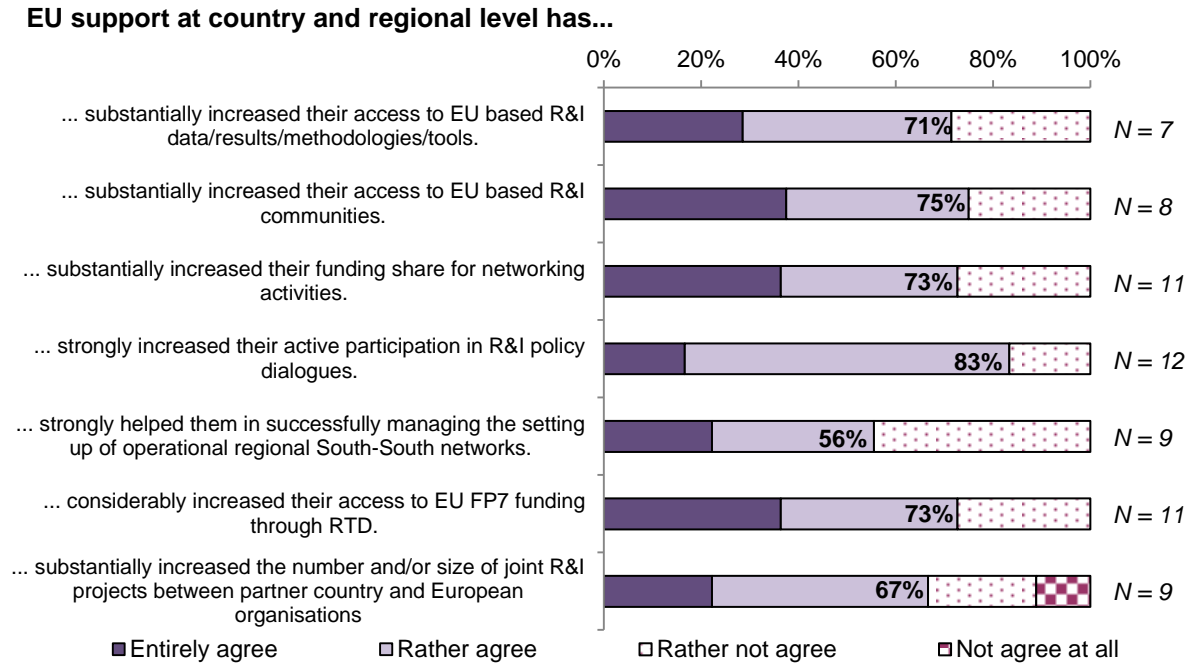
Links to private funding for R&I are slightly more specific. For instance, participants of a bilateral S&T fellowship scheme financed by the EU were subsequently employed in the research and development departments of private sector institutions/companies, potentially triggering higher private sector engagement in R&I. In another country, a programme for innovation in EnvCC was targeted to Small and Medium Enterprises (SMEs) that invested in sustainable production, thus attracting additional private sector funding for innovation.

#### 4.B.4.4 In your view, between 2007 and 2013, and across all R&I activities implemented in your country or your region, in which areas has DG DEVCO support been most helpful for your country's research communities?

This question aimed to gather evidence of impacts on national research communities.

Figure 32 summarises the results. Overall, approximately three quarter of the EUDs entirely or rather agreed that R&I support had been helpful for research communities in the different aspects listed below. The exception is management of South-South networks, which only 56 % of the EUDs considered as having been improved through R&I support.

Figure 32 Usefulness of R&amp;I support for research communities



*Note: Each bar illustrates the proportions of EU Delegations that (i) entirely agreed, (ii) rather agreed, (iii) did rather not agree or (iv) did not agree at all that R&I support contributed to the given impact on research communities in their countries. The percentage number displayed inside a bar represents the share of Delegations indicating that they entirely or rather agreed with the statement that R&I support contributed to the given impact. The N's refer to the total number of EUDs that provided a rating in the given category.*

#### 4.B.4.5 Are you aware of any specific innovation which could at least partly be an effect of DG DEVCO supported R&I efforts in your country?

Only four of the 22 Delegations reported to be aware of a specific innovation that potentially resulted from R&I efforts in their country. Relevant examples are listed in the following table.

While most respondents listed specific interventions under the conviction that they had produced useful innovations (see Section 4.B.1.2), the rather short list of specific examples hereunder suggests that it is difficult for EUD staff to trace the uptake of research findings and to name concrete innovations.

Table 43 Innovations resulting from R&amp;I efforts

<i>Sector</i>	<i>Innovation</i>	<i>From which re-search project?</i>	<i>Innovation made by what type of actor?</i>	<i>Innovation taken up by what type of actor?</i>	<i>To whom do the benefits accrue?</i>	<i>Benefits for poor people</i>
FSNA	New sugar cane varieties	ACP-Sugar Research Programme	Research organisation	Sugar cane industries and large and small farmers	Farmers	Small farmers are able to cultivate highly productive varieties, which will generate more revenues
FSNA	Increased milk productivity	Contribution Multi-Donor Trust Fund for CORAF				
Health	Development & validation of alternative low cost in-house screening as-says	c-147790	Academic institution	Academic institution, government department		Better HIV/AIDS treatment
Other sector	Wireless mesh network	D-18932	Research organisation	Government department, private sector entity	Rural communities	Access to internet
Other sector	Agro-processing cluster with the focus on mango	D-18932	Private sector entity	Private sector entity	Civil Society Organisation, private sector entity, local farmers	Jobs; additional income

#### 4.B.5 Aid delivery methods, funding instruments, implementing channels and approaches

##### 4.B.5.1 Were there any major changes in the way DG DEVCO delivered its aid for R&I in your country over the evaluation period (i.e. between 2007 and 2013)?

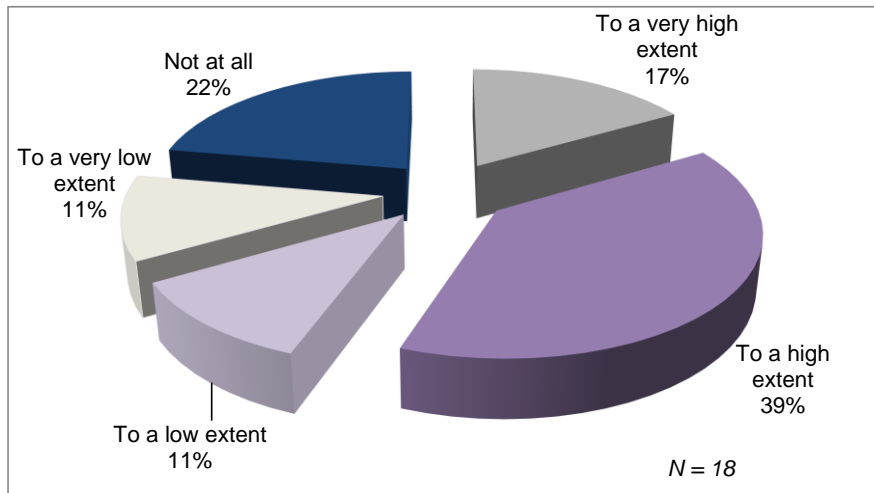
All Delegations that answered this question stated that they were no changes over the evaluation period. Several EUDs mentioned that either the aid delivery method (e.g. budget support) had been adequate throughout the study period, or that R&I had simply not been a priority in the country.

##### 4.B.5.2 To what extent have DG DEVCO supported interventions supporting R&I in your country been designed based on a thorough analysis of the partner country's specific context?

The perceptions of whether R&I interventions were designed based on a sound analysis of the country context differ substantially. While four Delegations indicated that this was not the case at all, more than half of the respondents wrote that R&I intervention had been designed based on thorough country analysis to a 'high' or 'very high' extent (see Figure 33).

Potential challenges that EUDs faced in this exercise included frequent changes of the institutional setup of the country or the consideration of European interests, for example. Examples of success factors for the analysis/design stage included a sound knowledge of the sector systems and policies, as well as a favourable institutional environment in the country.

Figure 33 Design of R&I support: analysis of country context

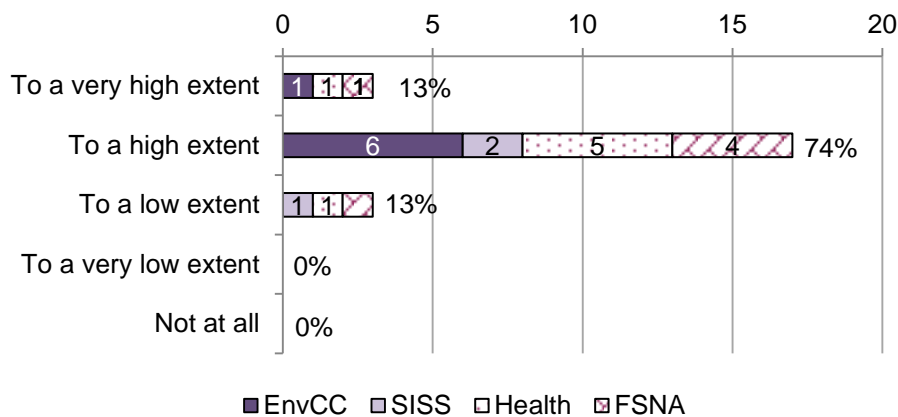


#### 4.B.5.3 In your view, to what extent did these DG DEVCO supported interventions in relation to R&I adequately take account of the implementing organisations' capacity?

This question was asked for each sector. While the following Figure 34 also displays the number of responses by sector, the presentation format emphasises the total across all sectors (mainly due to the low sample size per sector).

The average rating is clearly more positive than in the previous question. Even though the data suggest that R&I interventions were not always designed based on a sound country analysis, they clearly took into account the implementing organisations' capacity to a large or very large extent (87 % of all ratings given). There are no evident differences between sectors.

Figure 34 Design of R&I support: consideration of the capacity of implementing organisations



Note: The question was asked by sector. The bars display the different ratings of the extent to which the design of R&I support took into account the capacity of implementing organisations. The total length of each bar shows how often the rating score was indicated by all EUDs across all sectors. The percentage values show the relative frequency of the given rating across all EUDs and sectors.

#### 4.B.5.4 Please indicate if SPSP/SBS related to R&I was used

Of the 18 EUDs that answered this question, seven countries (39 %) mentioned a total of eight Sector Policy Support Programmes (SPSP)/Sector Budget Support (SBS) facilities for R&I. Two SPSP/SBS fell in the area of FSNA, three in Health, two in EnvCC and one in another sector. The other countries typically lacked SPSP/SBS in the thematic sectors and consequently potential R&I components. The few EUDs that commented on the potential role of SPSP/SBS stressed the general function of additional funding, rather than the benefits of this specific aid modality.

The usefulness of the SPSP/SBS was rated for half of the eight cases with 'very' or 'rather' useful, e.g. due to greater coordination of actors or involvement of government-affiliated actors in FP7 programmes. No ratings were submitted for the other four cases.

#### 4.B.5.5 For the period 2007 to 2013, how would you assess the suitability of the following types of DG DEVCO support to R&I for strengthening research and innovation capacities of the country?

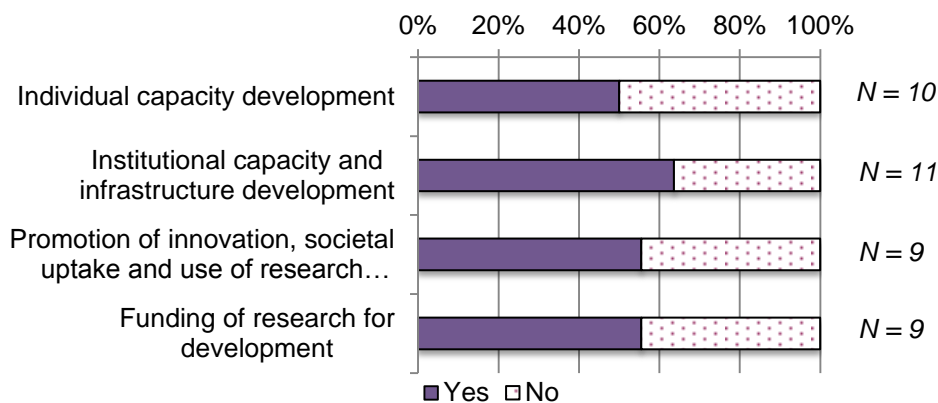
Results for this question are presented in Figure 35 to Figure 37 by sector. Only SISS is omitted, as usual, due to low sample size.

Even though the responses for the different sectors were provided by distinct sets of EUDs, the pattern is relatively uniform across the three sectors presented here.

To strengthen R&I capacity, institutional capacity building and infrastructure development was the most frequently used type of support in all thematic sectors. In FSNA, it was somewhat less common (64 %) than in Health and EnvCC (at least 80 %), but nevertheless dominates the other types of support.

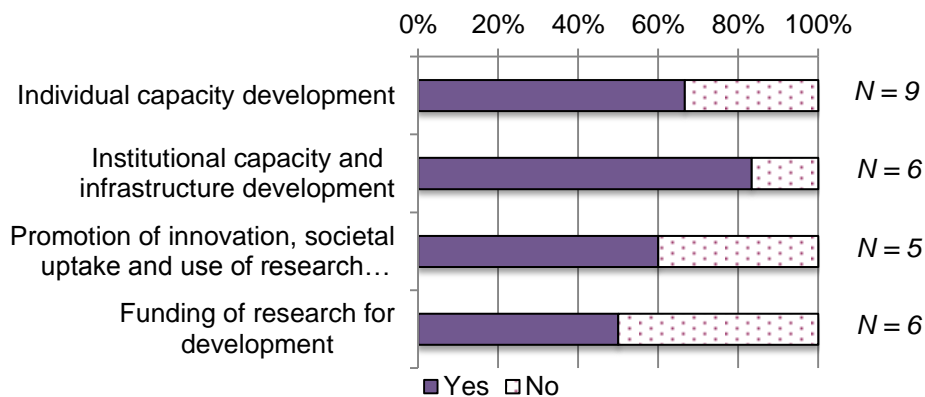
Another obvious, albeit also not very pronounced difference is that individual capacity development was used in at most half of the cases in FSNA and EnvCC, but in two thirds of the cases in the Health sectors. Given the limited number of responses, these results should be interpreted with some caution.

Figure 35 Use of different types of R&I support to strengthen R&I capacities (FSNA sector)



Note: Multiple types of R&I support possible. Each bar displays the fractions of EUDs that used the given type of support in the FSNA sector - or not. The N's represent the EUDs with R&I support in the FSNA sector that provided responses for the given type of support.

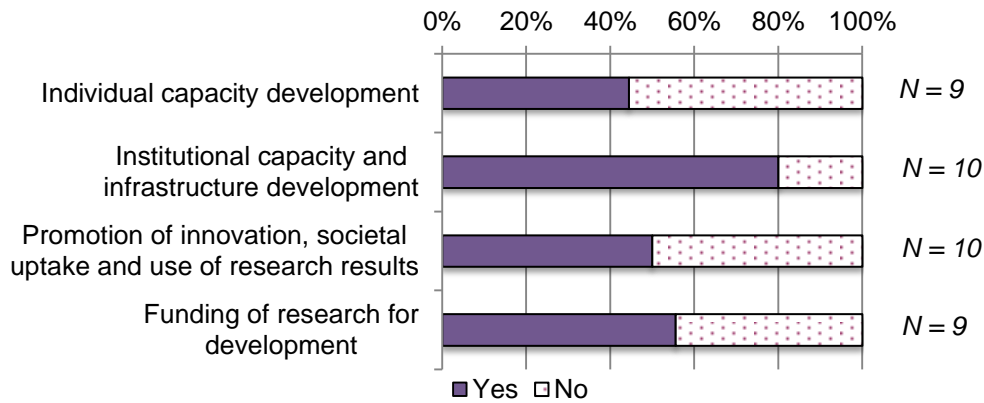
Figure 36 Use of different types of R&I support to strengthen R&I capacities (Health sector)



Note: Multiple types of R&I support possible. Each bar displays the fractions of EUDs that used the given type of support in the Health sector - or not. The N's represent the EUDs with R&I support in the Health sector that provided responses for the given type of support.



Figure 37 Use of different types of R&I support to strengthen R&I capacities (EnvCC sector)

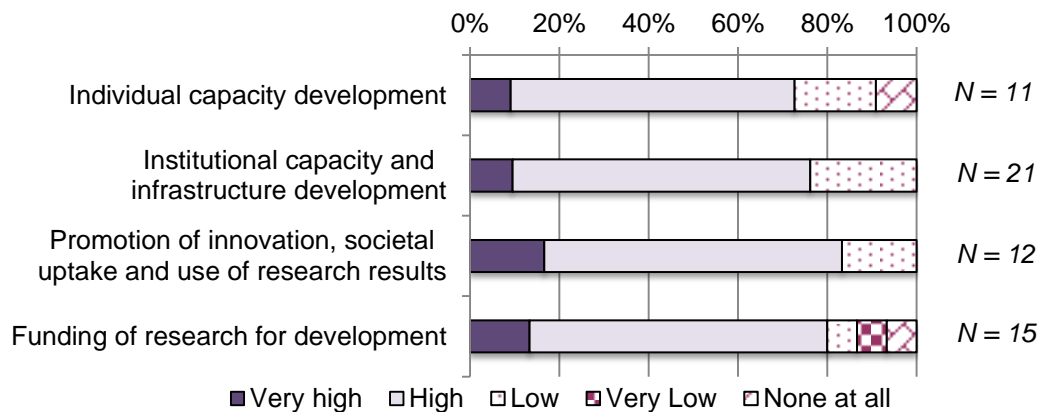


Note: Multiple types of R&I support possible. Each bar displays the fractions of EUDs that used the given type of support in the EnvCC sector - or not. The N's represent the EUDs with R&I support in the EnvCC sector that provided responses for the given type of support.

Respondents were also asked to assess the suitability of different types of support for strengthening R&I capacities in their countries. Figure 38 below displays the results. Given the low numbers of responses per sector in comparison to the previous diagrams, results have been aggregated across all sectors.

All four types of support were considered useful in at least 75 % of the cases. The figure does not reveal any clear preferences for a specific type of support.

Figure 38 Assessment of different types of R&I support for strengthening R&I capacities (all sectors)

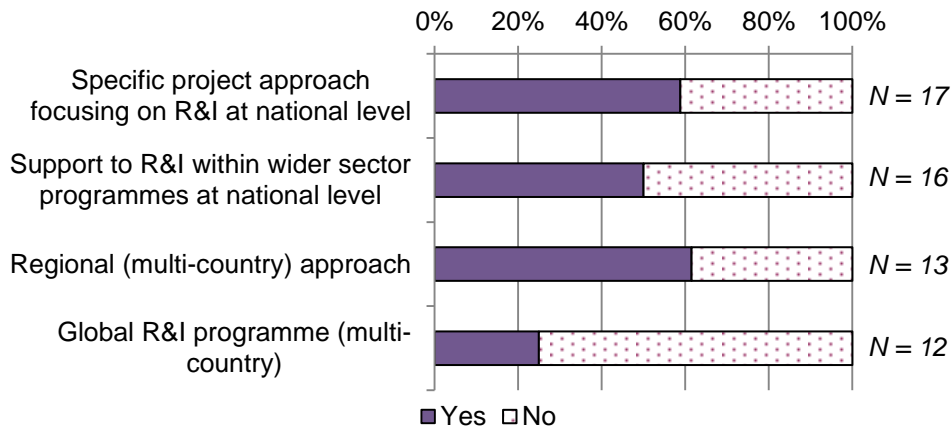


Note: The question was asked by sector, but aggregated across all sectors due to the low numbers of responses per sector. The different parts of each bar represent the percent of times that EUDs rated the suitability of the given type of support across all sectors as very high, high, low, very low, or none at all. The total N's reflect the number of total responses (assessments) of the specific type of support by all EUDs in all sectors.

#### 4.B.5.6 Based on your in-country experience, how would you assess the suitability of the following approaches used by DG DEVCO to tackle the specific challenges related to R&I in your country?

All aid approaches listed in Figure 39 - except global R&I programmes – were used in approximately 60 % of the respondent countries to address R&I challenges. In contrast, global R&I programmes were only used in a quarter of these countries.

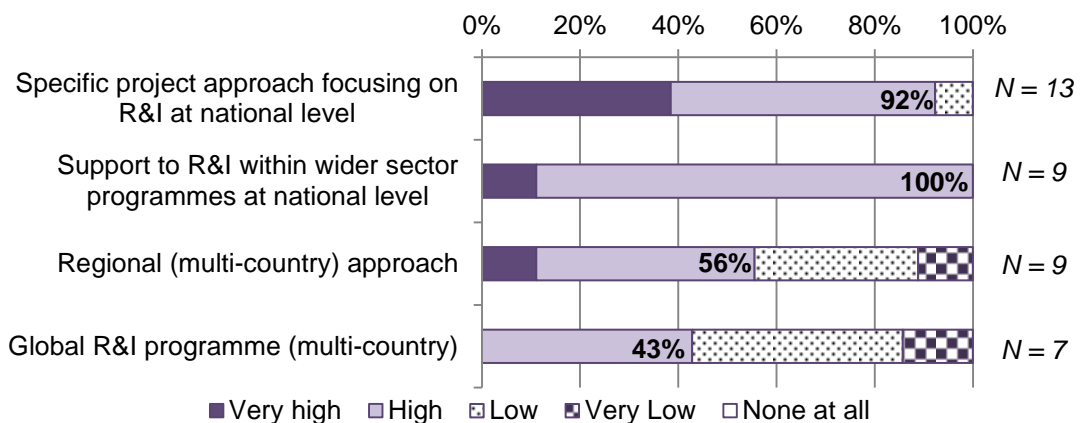
Figure 39 Use of different aid approaches



Note: Multiple approaches per country possible. Each bar displays the fractions of EUDs that used the given approach - or not.

The next chart shows how the Delegations assess the suitability of these approaches for addressing R&I challenges. The difference between national project approaches and sector programmes on one side versus regional and global approaches/programmes on the other is striking. Essentially all EUDs believe that the suitability of the first two approaches for tackling R&I challenges is very high or high, but only half of the EUDs answered the same for the other two approaches.

Figure 40 Assessment of different aid approaches

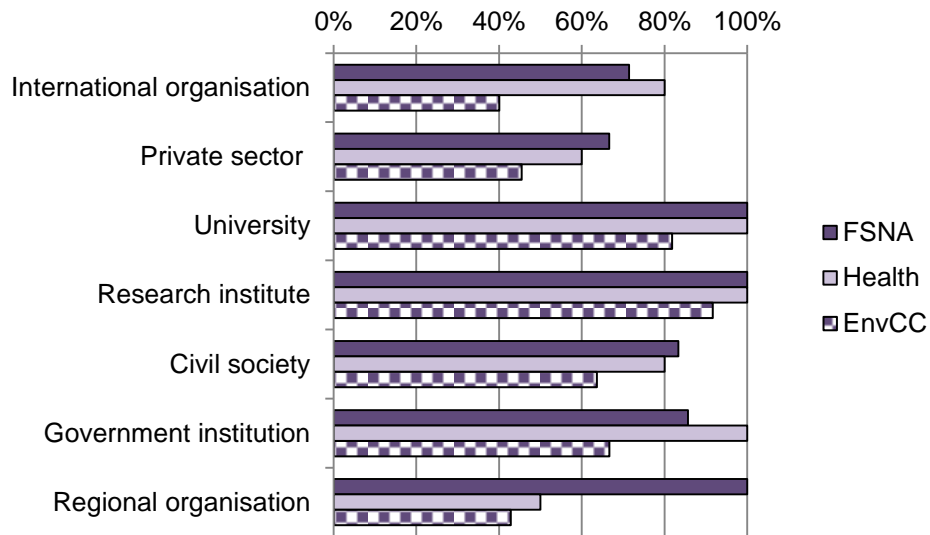


Note: Multiple approaches per country possible. Each bar displays the fractions of EUDs that rated the suitability of the given approach for addressing R&I challenges as very/high/low/very/low/none at all. The percentage values inside the bars represent the fractions of 'very high' and 'high' responses.

**4.B.5.7 Based on your in-country experience, how would you assess, for the period 2007 to 2013, the suitability of the following implementing channels for DG DEVCO funded support to R&I in your country?**

Figure 41 compares the use of implementing channels in the different thematic sectors (SISS omitted due to the low number of cases). Any given country used most of the implementing channels in the FSNA and Health sectors, but a smaller range of channels in the EnvCC sector. In particular international organisations are less common in EnvCC. Regional organisations, in contrast, dominate in the FSNA sector but less in Health and EnvCC. Note that the values presented here are the percent of countries (rather than the percent of contracts) that used the different channels; the values are hence not directly comparable with those obtained from the inventory.

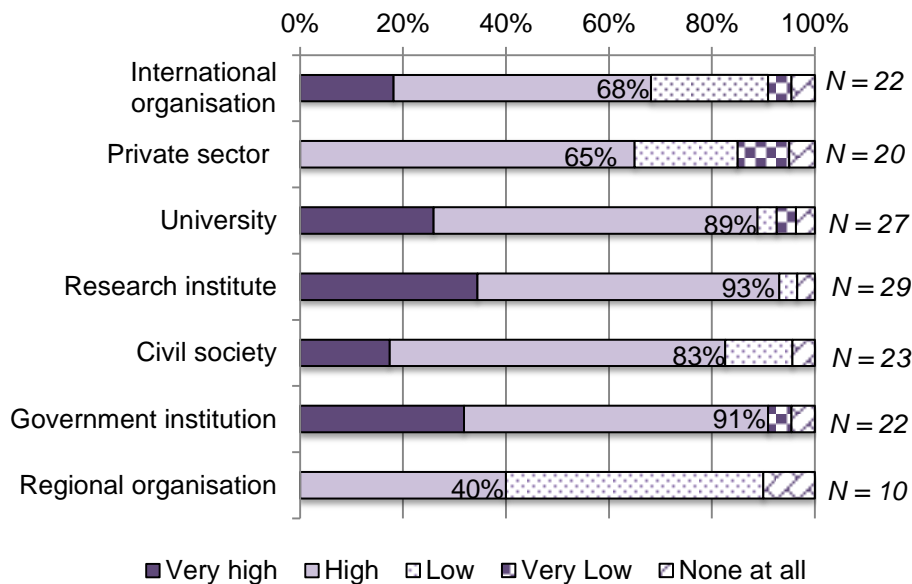
Figure 41 Use of implementing channels by sector



Note: Multiple implementing channels per EUD and sector possible. The bars display the fractions of EUDs in the different sectors that used the given type of implementing channel. Percentages are calculated based on the following counts: FSNA: N = 7, Health: N = 6, EnvCC: N = 12 (number of EUDs with R&I support in the given sector that provided data).

The suitability of the channels for R&I support in the individual countries was assessed as well. Figure 42 shows the responses aggregated across all sectors. Universities, research institutes, civil society organisations and regional organisations were perceived as the most suitable channels ('very high' or 'high' rating in more than 80 % of all cases), followed by international organisations and the private sector. Regional organisations are considered the least suitable channels.

Figure 42 Assessment of implementing channels (all sectors)



Note: The question was asked by sector, but aggregated across all sectors due to the low numbers of responses per sector. The different parts of each bar represent the percent of times that EUDs rated the suitability of the specific implementing channel across all sectors as very high, high, low, very low, or none at all. The total N's reflect the number of total responses (assessments) of the specific type of support by all EUDs in all sectors. The percent values inside the bars show the fractions of 'very high' and 'high' responses.

#### 4.B.6 Coordination and complementarity

##### 4.B.6.1 In your country, and between 2007 and 2013, has DG RTD funded any R&I support in the same sectors as DG DEVCO?

14 of the 22 EUDs provided information on whether RTD funded R&I support in the same sectors as DEVCO (the others wrote that they did not know or left the answer field blank). Half of the 14 EUDs had received RTD support in the DEVCO supported sectors and the others not.

##### *How would you characterise this support?*

Very little details provided by respondents.

##### *How would you rate complementarity between support financed through DG DEVCO and support financed via DG RTD?*

Very few respondents assessed the complementarity of RTD and DEVCO financed support in 2007, 2010 and 2013. Half of the available answers suggest that support was rather complementary and the other half viewed support as rather not complementary, or not at all. This did not change over time.

##### *Between 2007 and 2013, what actions did your EUD take to ensure effective coordination in the implementation of support provided by DEVCO and RTD; and how successful would you rate these efforts?*

Examples of actions included (with their rating of success in parenthesis):

- Proposal for an event on FP7 with the Ministry of Health (rather not successful, event was not organised);
- Dialogue with Senior Officials Meeting on Health (rather not successful);
- Reporting of DEVCO and RTD funded initiatives in preparation of a bilateral EnvCC meeting; Green Finance Matrix, which reports on both DEVCO and RTD funding; proposal for an event on FP7 projects with the Ministry of Environment (all rather successful actions);
- Sharing knowledge and dissemination of information (rather successful).
- Close follow-up of actions of the person in charge of the sector (unknown whether successful).

##### 4.B.6.2 Between 2007 and 2013, did your EUD take any actions to ensure effective coordination, in programming & implementation, between support from DG DEVCO and support from other EU institutions (like EIB) and EU Member States?

Of the 13 Delegations that answered this question, seven (54 %) took some coordination actions.

##### *If yes, what actions did you take and how successful would you rate these coordination efforts?*

Relevant examples of coordination come mainly from R&I in Health (rating of success in parenthesis):

- Information sharing every two months and joint preparation for the planning of Official Development Assistance (ODA) with EU Member States, national government and other development partners (successful); the same EUD also coordinated R&I programming with the Health Focal Points of EU Member States;
- Coordination activities with the national agency for international cooperation (success: programmes now take into account other existing or foreseen R&I programmes at national level);
- Database for information sharing (with all stakeholders, but by German cooperation agency) (successful);
- Coordination meetings with DG MARE (for R&I in Fisheries, successful).

#### 4.B.7 Lessons learnt from support

##### 4.B.7.1 Please think of any lessons learnt from R&I support to your country (financed through either DG DEVCO country or regional funds), and try to answer the following questions: sector and/or project; what was the lesson; was it communicated; and if yes: to whom and how?

Several countries identified a range of lessons from EU support to R&I. Most of them concern the implementation of specific projects, stakeholder involvement and/or coordination of R&I policies. Each of the key lessons in the following list mentions the sector/programme, the specific lesson and how it was communicated:

- National Support Programme to Research and Innovation: The governance and strategic aspects of R&I are more important and relevant than those related to specific sectors. Communication through exchanges with DG RTD.
- Research, Development and Innovation Programme: Decentralized programmes provide ownership of the government and ensure its commitment to the programme. However, the implementation might be difficult due to the difference between EU and national procedures. Lessons not communicated.
- Innovation for poverty alleviation: DG DEVCO and DG RTD support should be truly complementary to reinforce each other's objectives. Lesson communicated through formal meetings and action has already been taken within the framework of the Multiannual Indicative Programme (MIP).
- EU funded cooperation in the area of R&I: Various lessons from an evaluation study in the country. The results were discussed at a workshop with government participation and the report was sent to the Ministry of Education and Science.
- Agricultural innovation for food security: The choice of the specific implementer guaranteed the credibility and legitimacy because of its anchorage in the region and high level of professionalism and institutional capacity. Communication through ROM exercise.
- Sugar sector: Research organisations should ensure that they have necessary financial capacity to meet their contribution whenever awarded a grant under any EU programme. Communication to DEVCO (aware of the problem in the specific country).
- Energy from coconut oil: Energy production is technically possible, but sustainability is limited by the human factor in management/maintenance.
- Health: The research agenda should be coordinated by the Ministry of S&T and line ministries at the national level. Communication of this lesson through formal meetings and policy dialogue.
- Local plants for global market: Involvement of the private sector is crucial to identify research areas. Communication in stakeholder meetings.

#### **4.B.7.2 When designing new DG DEVCO funded support to R&I in the country, did you consider any lessons learnt from past experience on support to R&I?**

Seven Delegations indicated that there had been some lessons to consider for the design of new R&I support - and all these countries actually did consider the lessons. Specific examples include:

- Lesson: Need for better complementarity between DEVCO and RTD funding. MIP 2014-2020 has received comments from both DEVCO and RTD; the new programme on innovation will be prepared in consultation with both.
- Lesson: Need to support the strategic priority of intervention areas of the national strategic plan on science, technologic development and innovation. Considered in budget support (consolidation of national instruments to promote the increase of research national capacities and generation of knowledge, promote the association of the private sector and academia in research and innovation initiatives, facilitate the access to scholarships for researchers, improve national capacities to take advantage of the opportunities of the EU framework programmes.
- Design of R&I support based on lessons from an earlier EU food security programme. Lessons considered by enhancing capacity building, innovation and networking.
- Lesson: Natural resources management is the most resilient approach for climate change – included in the design of calls for R&I proposal.

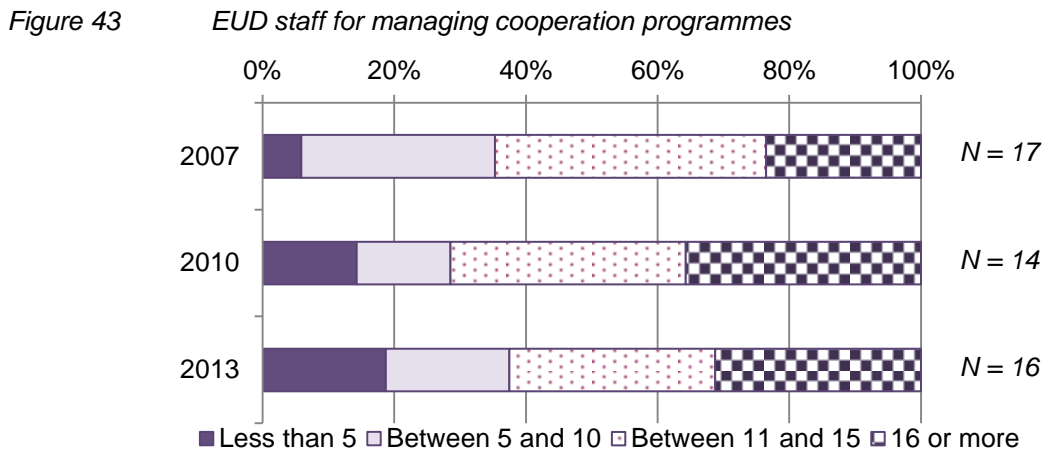
#### **4.B.8 EU institutional capacities**

This section of the questionnaire started with several questions on the staffing of EU Delegations.

##### **4.B.8.1 Within your Delegation:**

###### ***How many persons are managing cooperation programmes (in all areas of support)?***

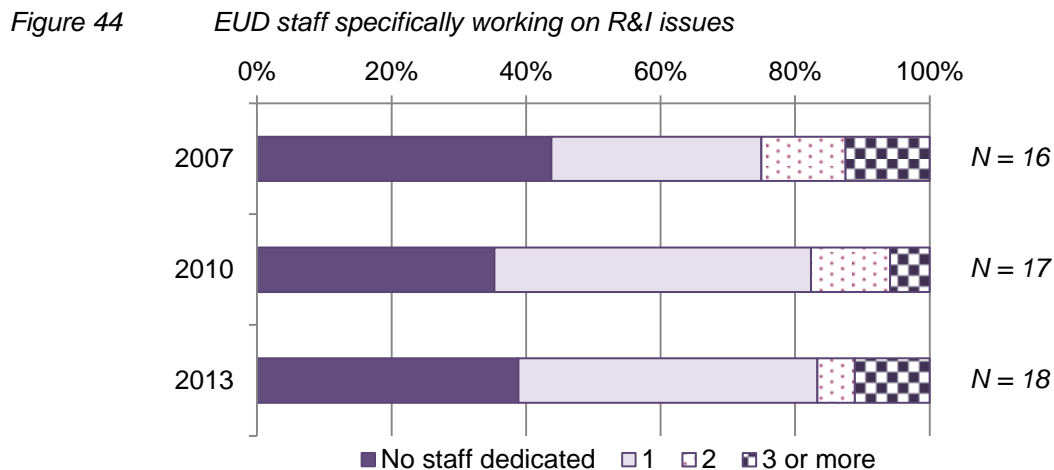
Throughout the period 2007-2013, approximately two thirds of the Delegations were staffed with more than ten employees who managed cooperation programmes (see Figure 43). This share has not significantly changed over time (the minor variation in 2010 may also be related to the slightly different sample with only 14 respondents). The only visible variation over time is the further decrease in the number of staff of Delegations with very small cooperation areas (less than five employees).



Note: Each bar displays the fractions of Delegations with the indicated number of staff for managing co-operation programmes in the given year.

### **How many have been specifically working on issues related to R&I?**

The number of staff specifically dedicated to R&I cooperation has been similarly constant over time. 40% of all EUDs have had no particular staff for R&I at all. See Figure 44 for details.

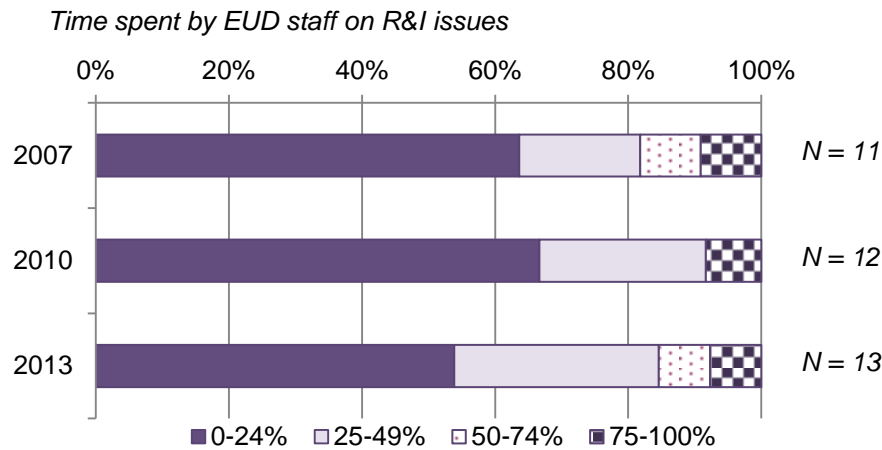


Note: Each bar displays the fractions of Delegations with the indicated number of staff specifically working on R&I in the given year.

### **For the persons dealing with these topics within the Delegation, how much time was approximately spent specifically on them, in 2007, 2010 and in 2013?**

Approximately 80-90 % of the EUD staff who deals with R&I topics in the Delegation have spent less than 50 % of their work time on these issues; roughly 60 % even spent less than 25 % of their time with R&I. Figure 45 suggests a minor increase in the average work time dedicated to R&I.

Figure 45



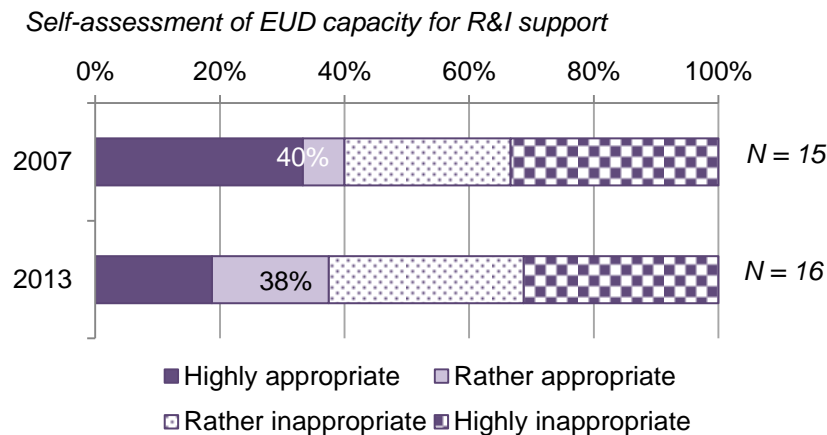
Note: Each bar displays the fractions of Delegations with the indicated percent of work time dedicated to R&I issues in the given year.

#### 4.B.8.2 For the period 2007 to 2013, how would you assess the Delegation's capacity to effectively cope with all tasks relating to DG DEVCO funded support to R&I to the country (e.g. programming and identification of needs, monitoring, dialoguing, networking)?

A majority of approximately 60 % of Delegations stated that their capacity for dealing with R&I related tasks was rather or highly inappropriate - at the beginning as well as at the end of the evaluation period. However, several respondents mentioned that this was simply a consequence of R&I not being a priority in their countries.

Aggregated results for all sectors are summarised in Figure 46. The results by sector (not shown due to low number of responses per sector) are very similar in all sectors.

Figure 46



Note: The sub-divisions of each bar represent the percentage of Delegations with the indicated self-rating of capacity for dealing with R&I-specific tasks in the given year and across all sectors. The total N's are the sector counts, determined by the number of EUDs that responded as well as the number of sectors per EUD. The percentage values inside the bars represent the fractions of responses with 'highly appropriate' and 'rather appropriate'. Due to the low numbers of responses per sector, the answers have been aggregated across all sectors.

#### 4.B.8.3 More specifically, and for the same period, how would you characterise the Delegation's capacity to lead effective policy dialogue related to R&I, overall, and in the sectors where DG DEVCO financed support was provided?

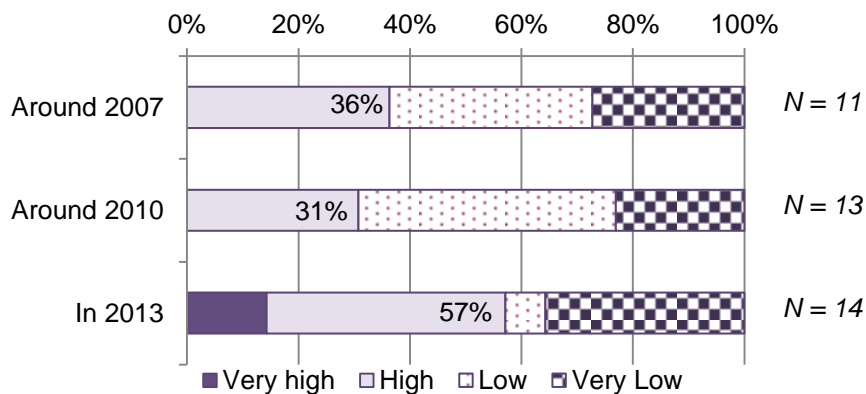
EUD capacity specifically for conducting policy dialogue for R&I seems to have been more developed than for dealing with R&I issues in general. According to the text responses (no graph), half of the Delegations answered that R&I was not a priority area in their countries. However, among the others (which did conduct some policy dialogue for R&I), a clear majority assess their capacity as sufficient. No relevant information was provided by sector.

#### 4.B.9 Value added

##### 4.B.9.1 Overall, and across all sectors supported, how would you judge the value added of the EU support through DG DEVCO funding to R&I in your country in relation to R&I support provided by individual EU Member States?

For the purpose of this question, value added referred to the contribution of DEVCO finance in relation to those of Member States. Figure 47 reveals a considerable increase in the perceived value added of DEVCO support for R&I after 2010. The verbal answers suggest that this was a consequence of progress made in specific R&I sectors, enhanced volume and predictability of DEVCO support, growing capacity, new programmes or improved complementarity.

Figure 47 Valued added of DEVCO relative to Member States financed R&I support



Note: Each bar displays the percentage of Delegations that rated the value added of DEVCO financed R&I support relative to support financed by Member States in the given year as very high/high/low/very low. The percentage values inside the bars represent the share of 'very high' and 'high' responses.

##### 4.B.9.2 In upcoming DG DEVCO support to your country, is there a need for more emphasis to be put on R&I? Why or why not? If so, how? What concrete suggestions could you make?

The EUDs actively submitted responses and suggestions for this final question, which can be grouped in three categories.

The first group of EUDs has a strong interest in putting more emphasis on R&I. R&I either figures as a focal sector in the country strategy may produce a strong valued added for certain projects or areas of technology.

The second group is mainly interested in stronger R&I support to connect to European universities and research institution through the Horizon 2020 programme or in other ways.

Finally, the remaining Delegation regard R&I support as a complementary strategy to support in other (focal) sectors.

The responses given are listed below.

Group 1 – R&I has strong role in country strategy:

- Yes. Actually for the NIP 2014-2020, the focal area will be mainly tertiary education, research and innovation. This is because R&I has potential for job creation and features prominently in the new Government programme. A Ministry dedicated for Research and Innovation has even been set up.
- Yes, since this is a strategic identified by the country to promote long term sustainable development, to contribute to solving local and global challenges and diversifying the economy.
- Yes. Due to the signing of Partnership and Cooperation Agreement, where cooperation in Science and Technology is one of the priorities, there are cooperation activities in the S&T field coming up – in satellite technologies and in other sectors which remain to be identified (scoping study on-going). Also, innovation and New Technologies are crucial for the country's ongoing development, especially as it is facing the "middle-income-trap".
- Yes. The focus should be on a different part of the Innovation cycle, as the current part of Research and Innovation is satisfied. More focus is needed on research commercialisation and probably social innovation.



Group 2 – R&I can foster links to European researchers, e.g. via Horizon 2020:

- There is a programme foreseen specifically for innovation sector to improve the National System of Innovation. Also, the country remains eligible for Horizon 2020 and is already emerging as one of the leading third country beneficiaries.
- There is a need for support as the country becomes an associated member to the Horizon 2020 programme. The country is still in great demand for further support to strengthen institutional capacity of the government for R&I policy development and coordination, as well as for effective representation in the governing structure of the programme.
- R&I is a top priority for the country, which has already requested to be associated to Horizon 2020 EU programme, which might require additional support to make full use of various programme opportunities
- DEVCO could connect more European institutes to the country. There is a large potential for joint research, in particular in the areas of climate change and nutrition.

Group 3 – R&I has less prominent role, mainly complementary to other sectors:

- Given limited staff capacity in delegation, focus is on implementation of focal sectors under the increased EDF envelope.
- Could be useful. To complement and support the sectors covered in the MIP.
- R&I is one of many areas where activity should improve, but it needs genuine government prioritisation.
- New budget support to the National Strategy of Social Inclusion includes lessons learned of past actions. Nevertheless, R&I is not mentioned explicitly.
- More emphasis on R&I only to the extent it can contribute to economic diversification and creation of employment.

## 4.C Questionnaire

### Evaluation of the EU support to research and innovation for development in partner countries (2007-2013)

#### Worldwide questionnaire to EU Delegations

The evaluation unit of the Directorate General for Development and Cooperation (DG DEVCO) has launched a worldwide evaluation of the European Union's (EU) support to research and innovation for development in partner countries. The evaluation period covers the years 2007 until 2013 and includes all partner countries and regions (with the exclusion of the EU candidate or pre-accession countries).

The main objectives of the evaluation are:

- 1) to provide the relevant external co-operation services of the EU and the wider public with an independent assessment of the support provided to Research and development over the period 2007-2013;
- 2) to identify key lessons and forward-looking recommendations.

The legal scope of the evaluation covers the activities supported by DG DEVCO within the framework of the following cooperation instruments: the European Development Fund (EDF), the Development Cooperation Instrument (DCI) – both geographic and thematic budget lines, and the European Neighbourhood and Partnership Instrument (ENPI). It does look at the activities financed by DR RTD from a coherence, complementarity and coordination perspective in relation to DG DEVCO support.

The evaluation is forward looking, providing lessons and recommendations in particular as regards the support of Research and Innovation in the following areas:

- Environment and Climate Change (EnvCC),
- Science, Information Society and Space (SISS),
- Health,
- Food Security, Nutrition and Agriculture (FSNA).

While the first three sectors are standard types, "Science, Information Society and Space" is a term not yet frequently used. However, interventions in this area aim at bridging the scientific and digital divide that partner countries experience. This is seen as a prerequisite for competitiveness in the global economy, economic growth and increased quality of life.

#### Definitions

For the purpose of this evaluation the following definitions of the terms research and innovation are used:

- **Research:** The process of inquiry into and evidence collection on new or developing areas of knowledge, so as to build up expertise and knowledge for development processes.

- **Innovation:** The process through which the evidence from and outcomes of this research and knowledge creation are taken up by society, translated and adapted into new knowledge that is then proactively used in development processes.

*Focus of the questions: Support provided through funding by DG DEVCO*

This survey is about EU support to R&I. It focuses on **support through funds provided by DG DEVCO**, and **not** on funding provided by DG RTD. DG RTD support to R&I funding is covered in this questionnaire but essentially from a coordination and complementarity point of view, and in relation to communication on R&I and to the dissemination of R&I findings and results.

One of the most important challenges of this evaluation is the geographical coverage and consequently the impossibility of interviewing key stakeholders in all partner countries having received EU R&I-related support. This survey to EU Delegations (EUDs) constitutes therefore a major building block to strengthen the evidence base of the evaluation. It aims to capture your perceptions on a number of topics such as policy dialogue, outcomes of support, issues of coordination and complementarity, EU capacity and the usefulness of various aid modalities and channels.

**Who should fill in the survey and by when:**

Considering that the survey covers work at different levels and requires a comprehensive knowledge of EU cooperation in research & innovation related areas in your country of duty, **we believe that the ideal persons to complete the survey would be the Head of Cooperation and/or the different Heads of relevant sections.**

Depending on the country in which your EUD is based, the time required to complete the questionnaire might be between 90 and 120 minutes. We are aware that EUD's workload is usually very high, and that you are often asked to participate in similar exercises, but we believe that the priority given to research & innovation in the EU's multiannual financial framework for 2014-20 and in the new cooperation instruments makes this worldwide evaluation particularly interesting. Your contribution is therefore very valuable and constitutes a decisive input for the usefulness of this evaluation.

**We would highly appreciate if you could fill in the survey before June 15, 2015.**

If you have any further questions or comments regarding this evaluation in general, or this online survey, your contact persons are:

*Michael Lieckefett, Survey Manager - Phone +49 761 79074-0 (michael.lieckefett@particip.de)*

*Marian Meller, Evaluation Manager (marian.meller@particip.de)*

We would like to thank you in advance for your co-operation.

The Evaluation Team

**Note:**

The following abbreviations are used hereafter:

- DG DEVCO: DG EuropeAid International Cooperation and Development
- DG RTD: DG Research and Innovation

- EnvCC: Environment and Climate Change
- EU: The Evaluation uses the common acronym "EU" to refer to either the "Commission of the European Union" (post-Lisbon Treaty) or the "European Commission" (pre-Lisbon Treaty), as applicable. In some specific cases related to the overall EU Policy framework or the post-Lisbon Treaty context, the acronym EU refers to the Commission of the European Union as well as other EU services in charge of the European external action and its relations with third countries.
- FSNA: Food Security, Nutrition and Agriculture
- R&I: Research & innovation
- SBS: Sector Budget Support
- SISS: Science, Information Society and Space
- SPSP: Sector Policy Support Programme

#### 4.C.1 Identification Data

Your personal identification details in this questionnaire will be kept confidential, and will not be reported with the results of the survey.

Using the survey:

- Click '**Next**' at the end of each page to save the current page and to get to the next set of questions.
- It is possible to use the '**Back**' button at the end of each page to refer to earlier pages and/or edit earlier answers if you wish. However, the data you entered on any page is only saved by clicking 'Next' on that page. Do not go back before saving the current page by clicking Next first, to avoid losing data you entered on current page.
- A '**Save and continue survey later**' bar can be found at the very bottom of each page of the survey. By clicking the button, a link will be sent to your email address, which allows you to continue the questionnaire at the point where you have interrupted it.

After completion of the survey, if you wish to obtain an overview of all the replies you have provided, a file can be generated and sent to you upon request.

#### **EUD office:\***

*(Please note that questions with an asterisk symbol require an answer.)*

Afghanistan	Algeria	Bangladesh	Benin	Bhutan	Burkina Faso	Cambodia
Chile	China	Congo, DR	Egypt	Ethiopia	Fiji	Ghana
India	Jamaica	Jordan	Kenya	Mauritius	Mexico	Morocco
Mozambique	Namibia	Papua New Guinea	Peru	Philippines	Senegal	Sierra Leone
South Africa	Tanzania	Trinidad and Tobago	Thailand	Tunisia	Uganda	Ukraine
Uruguay	Vietnam	Zimbabwe				



**Position at EUD (multiple answers possible)**

Head of Delegation	Head of Co-operation	Head of Political and Press Section	Head of another Section. Please specify section : _____	S&T Contact	Evaluation focal point	Other - please specify: ____
( )	( )	( )	( )	( )	( )	( )

**Contact details**

Email address\*: \_\_\_\_\_

Phone number: \_\_\_\_\_

Comments \_\_\_\_\_

**4.C.2 General Issues**

Notes:

1) The reference period for this evaluation is 2007 – 2013. The evaluation therefore needs to capture the situation at both the beginning and the end of this period. To simplify the questions we have usually avoided repeating these dates each time. So if not stated otherwise, questions refer to this period. You will also find a number of questions where you are asked to identify the baseline in 2006/07 and the changes during the period under evaluation, either by formulating them in a text form, or by scoring for several dates, e.g. 2007, 2010 and 2013.

2) We are aware that scorings and assessments of the earlier parts of the period might be difficult, given staff rotation. However, we trust that your Delegation's institutional memory will allow you to provide answers in most cases. Where this is not possible, kindly indicate in the appropriate places.

Dimension	Question	Type of answers (and scale)	Ind																				
General Issues	1) Could you briefly indicate in which of the following sectors, research and innovation was supported between 2007 and 2013 (entirely or partially) by funding from DG DEVCO in your country. This support could be either through specific actions/ interventions or as a component of broader support (like budget support).*	<p><i>Notes:</i></p> <ul style="list-style-type: none"> <li>Depending on which sectors you tick here, the questionnaire will differ.</li> <li>You need to tick "Yes", "No" or "Do not know" for all five sectors before being able to continue.</li> <li>By ticking yes for a maximum of two sectors, you should normally cover the bulk of DG DEVCO financed support to R&amp;I in your country.</li> </ul> <p><i>We would appreciate if you could ensure ticking those sectors that received support to R&amp;I, even if it might have only been of minor importance, or in the framework of an SPSP or SBS.</i></p> <table border="1"> <thead> <tr> <th>Sector</th> <th>Yes</th> <th>No</th> <th>Do not know</th> </tr> </thead> <tbody> <tr> <td>Environment and Climate Change</td> <td>( )</td> <td>( )</td> <td>( )</td> </tr> <tr> <td>Health</td> <td>( )</td> <td>( )</td> <td>( )</td> </tr> <tr> <td>Food security, nutrition and agriculture</td> <td>( )</td> <td>( )</td> <td>( )</td> </tr> <tr> <td>Science, Information Society and Space</td> <td>( )</td> <td>( )</td> <td>( )</td> </tr> </tbody> </table>	Sector	Yes	No	Do not know	Environment and Climate Change	( )	( )	( )	Health	( )	( )	( )	Food security, nutrition and agriculture	( )	( )	( )	Science, Information Society and Space	( )	( )	( )	To cross-check with inventory
Sector	Yes	No	Do not know																				
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Dimension	Question	Type of answers (and scale)								Ind																																																																
	Please note that questions with an asterisk symbol require an answer.	Other, please specify ____						()	()	()																																																																
General Issues	2) Could you briefly indicate what you consider to be the most important DG DEVCO funded interventions in R&I in the country between 2007 and 2013, and why?	<table border="1"> <thead> <tr> <th data-bbox="629 352 808 544">Intervention</th> <th data-bbox="808 352 936 544">Contract number, if available</th> <th colspan="6" data-bbox="936 352 1805 544">Why has it been important? (multiple ticks possible)</th> <th data-bbox="1805 352 1928 544">If "Other", please specify in text box below</th> </tr> <tr> <td></td> <td></td> <th data-bbox="936 544 1077 687">It was relevant to country priorities.</th> <th data-bbox="1077 544 1218 687">It produced useful research findings.</th> <th data-bbox="1218 544 1382 687">It produced innovations that were put into practice.</th> <th data-bbox="1382 544 1500 687">It has a high financial volume.</th> <th data-bbox="1500 544 1711 687">It is complementary with RTD efforts.</th> <th data-bbox="1711 544 1805 687">Other</th> <td></td> </tr> </thead> <tbody> <tr> <td>1__</td> <td>__</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>__</td> </tr> <tr> <td>2__</td> <td>__</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>__</td> </tr> <tr> <td>3__</td> <td>__</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>__</td> </tr> <tr> <td>4__</td> <td>__</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>__</td> </tr> <tr> <td>5__</td> <td>__</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>__</td> </tr> </tbody> </table>	Intervention	Contract number, if available	Why has it been important? (multiple ticks possible)						If "Other", please specify in text box below			It was relevant to country priorities.	It produced useful research findings.	It produced innovations that were put into practice.	It has a high financial volume.	It is complementary with RTD efforts.	Other		1__	__	( )	( )	( )	( )	( )	( )	__	2__	__	( )	( )	( )	( )	( )	( )	__	3__	__	( )	( )	( )	( )	( )	( )	__	4__	__	( )	( )	( )	( )	( )	( )	__	5__	__	( )	( )	( )	( )	( )	( )	__									To cross-check with inventory
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Importance of R&I	3) In your opinion, how much of a strategic priority does the EU, through DEVCO funding, give to supporting R&I in the country?	<table border="1"> <thead> <tr> <th colspan="6" data-bbox="629 895 1686 927">Your assessment</th> </tr> <tr> <th data-bbox="629 927 779 986">Very high</th> <th data-bbox="779 927 1003 986">High</th> <th data-bbox="1003 927 1211 986">Low</th> <th data-bbox="1211 927 1391 986">Very low</th> <th data-bbox="1391 927 1541 986">None at all</th> <th data-bbox="1541 927 1686 986">Do not know</th> </tr> </thead> <tbody> <tr> <td data-bbox="629 986 779 1031">( )</td> <td data-bbox="779 986 1003 1031">( )</td> <td data-bbox="1003 986 1211 1031">( )</td> <td data-bbox="1211 986 1391 1031">( )</td> <td data-bbox="1391 986 1541 1031">( )</td> <td data-bbox="1541 986 1686 1031">( )</td> </tr> </tbody> </table> <p data-bbox="629 1075 1928 1139"><b>If very high or high:</b> How important were the following reasons for you giving it this priority? (multiple reasons possible)</p> <table border="1"> <thead> <tr> <th data-bbox="629 1145 1189 1235"></th> <th colspan="5" data-bbox="1189 1145 1928 1177">Your assessment</th> </tr> <tr> <th data-bbox="629 1177 1189 1235"></th> <th data-bbox="1189 1177 1330 1235">Very important</th> <th data-bbox="1330 1177 1471 1235">Rather important</th> <th data-bbox="1471 1177 1650 1235">Rather not important</th> <th data-bbox="1650 1177 1785 1235">Not at all important</th> <th data-bbox="1785 1177 1928 1235">Do not know</th> </tr> </thead> <tbody> <tr> <td data-bbox="629 1235 1189 1267">Soundness of government framework for R&amp;I</td> <td data-bbox="1189 1235 1330 1267">( )</td> <td data-bbox="1330 1235 1471 1267">( )</td> <td data-bbox="1471 1235 1650 1267">( )</td> <td data-bbox="1650 1235 1785 1267">( )</td> <td data-bbox="1785 1235 1928 1267">( )</td> </tr> <tr> <td data-bbox="629 1267 1189 1299">Good in-country R&amp;I institutional capacity</td> <td data-bbox="1189 1267 1330 1299">( )</td> <td data-bbox="1330 1267 1471 1299">( )</td> <td data-bbox="1471 1267 1650 1299">( )</td> <td data-bbox="1650 1267 1785 1299">( )</td> <td data-bbox="1785 1267 1928 1299">( )</td> </tr> <tr> <td data-bbox="629 1299 1189 1362">Identified demand for R&amp;I inputs to development processes</td> <td data-bbox="1189 1299 1330 1362">( )</td> <td data-bbox="1330 1299 1471 1362">( )</td> <td data-bbox="1471 1299 1650 1362">( )</td> <td data-bbox="1650 1299 1785 1362">( )</td> <td data-bbox="1785 1299 1928 1362">( )</td> </tr> <tr> <td data-bbox="629 1362 1189 1394">Private sector demand for innovations</td> <td data-bbox="1189 1362 1330 1394">( )</td> <td data-bbox="1330 1362 1471 1394">( )</td> <td data-bbox="1471 1362 1650 1394">( )</td> <td data-bbox="1650 1362 1785 1394">( )</td> <td data-bbox="1785 1362 1928 1394">( )</td> </tr> </tbody> </table>						Your assessment						Very high	High	Low	Very low	None at all	Do not know	( )	( )	( )	( )	( )	( )		Your assessment						Very important	Rather important	Rather not important	Not at all important	Do not know	Soundness of government framework for R&I	( )	( )	( )	( )	( )	Good in-country R&I institutional capacity	( )	( )	( )	( )	( )	Identified demand for R&I inputs to development processes	( )	( )	( )	( )	( )	Private sector demand for innovations	( )	( )	( )	( )	( )		All EQs											
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		... in-country R&I institutional capacity	()	()	()	()	()																							
		... demand for R&I inputs to development processes	()	()	()	()	()																							
		... private sector demand for innovations	()	()	()	()	()																							
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		Other reason (please specify after ticking) _____	()	()	()	()	()																							
Importance of R&I	4) How adequate would you consider the strategic priority given?	<table border="1" data-bbox="878 868 1688 963"> <thead> <tr> <th colspan="4" data-bbox="878 868 1688 904"><b>Your assessment</b></th> </tr> <tr> <th data-bbox="878 904 1081 932"><b>Too high</b></th> <th data-bbox="1081 904 1285 932"><b>Adequate</b></th> <th data-bbox="1285 904 1489 932"><b>Too low</b></th> <th data-bbox="1489 904 1688 932"><b>Do not know</b></th> </tr> </thead> <tbody> <tr> <td data-bbox="878 932 1081 963">()</td> <td data-bbox="1081 932 1285 963">()</td> <td data-bbox="1285 932 1489 963">()</td> <td data-bbox="1489 932 1688 963">()</td> </tr> </tbody> </table> <p data-bbox="629 1002 1187 1034">On what basis do you make this assessment?</p> <table border="1" data-bbox="629 1038 1906 1206"> <thead> <tr> <th colspan="2" data-bbox="629 1038 1906 1075"><b>Basis for your assessment</b></th> </tr> </thead> <tbody> <tr> <td data-bbox="629 1075 696 1102">1</td> <td data-bbox="696 1075 1906 1102">_____</td> </tr> <tr> <td data-bbox="629 1102 696 1129">2</td> <td data-bbox="696 1102 1906 1129">_____</td> </tr> <tr> <td data-bbox="629 1129 696 1157">3</td> <td data-bbox="696 1129 1906 1157">_____</td> </tr> <tr> <td data-bbox="629 1157 696 1206">4</td> <td data-bbox="696 1157 1906 1206">_____</td> </tr> </tbody> </table>						<b>Your assessment</b>				<b>Too high</b>	<b>Adequate</b>	<b>Too low</b>	<b>Do not know</b>	()	()	()	()	<b>Basis for your assessment</b>		1	_____	2	_____	3	_____	4	_____	All EQs I-421
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#### 4.C.3 Dissemination of information about opportunities

This section focuses on how information about EU funding, both from DG DEVCO and from DG RTD has been made available to possibly interested stakeholders, how successful the action was, and what type of support the EUD provided.



Dimension	Question	Type of answers (and scale)	Ind																																																																	
Disseminating information: on opportunities	5) Between 2007 and 2013, did your EUD implement any information actions which aimed at raising interest and awareness of researchers and institutions on accessing R&I funded by the EU (DEVCO and/or FP7)?	<table border="1" data-bbox="1070 260 1621 328"> <thead> <tr> <th>Yes</th> <th>No</th> <th>Do not know</th> </tr> </thead> <tbody> <tr> <td>( )</td> <td>( )</td> <td>( )</td> </tr> </tbody> </table> <p data-bbox="763 368 1529 400"><b>If “yes”, what type of action was it? (Several ticks possible)*</b></p> <table border="1" data-bbox="934 405 1758 499"> <thead> <tr> <th>Information action for DG DEVCO financed support</th> <th>Information action for FP7 financed support</th> </tr> </thead> <tbody> <tr> <td>( )</td> <td>( )</td> </tr> </tbody> </table> <p data-bbox="763 533 1912 592"><b>If “Information action for DG DEVCO financed support” is ticked:</b> Please list the 3 major awareness raising actions related to DG DEVCO financed support (not FP7 support) and their objectives.</p> <table border="1" data-bbox="824 592 1868 726"> <thead> <tr> <th>Action</th> <th>Description of Action</th> <th>Objective</th> </tr> </thead> <tbody> <tr> <td>Action 1</td> <td>___</td> <td>___</td> </tr> <tr> <td>Action 2</td> <td>___</td> <td>___</td> </tr> <tr> <td>Action 3</td> <td>___</td> <td>___</td> </tr> </tbody> </table> <p data-bbox="763 762 1888 821"><b>If “Information action for DG DEVCO financed support” is ticked:</b> How successful were these actions related to DG DEVCO financed support (not to FP7 support)?</p> <table border="1" data-bbox="763 821 1767 1155"> <thead> <tr> <th rowspan="2"></th> <th colspan="7">Actions were successful ...</th> <th rowspan="2">Please indicate briefly why</th> </tr> <tr> <th>To a very high extent</th> <th>To a high extent</th> <th>To a low extent</th> <th>To a very low extent</th> <th>Not at all</th> <th>Not applicable</th> <th>Do not know</th> </tr> </thead> <tbody> <tr> <td>Action 1</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>Action 2</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>Action 3</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> </tbody> </table> <p data-bbox="763 1190 1917 1305"><b>If “Information action for DG DEVCO financed support” is ticked:</b> What type of practical support (including advice) did your Delegation provide to R&amp;I stakeholders during the application process for DG DEVCO financed support? What challenges did you face in providing this support? Please assess the usefulness of these types of support.</p>	Yes	No	Do not know	( )	( )	( )	Information action for DG DEVCO financed support	Information action for FP7 financed support	( )	( )	Action	Description of Action	Objective	Action 1	___	___	Action 2	___	___	Action 3	___	___		Actions were successful ...							Please indicate briefly why	To a very high extent	To a high extent	To a low extent	To a very low extent	Not at all	Not applicable	Do not know	Action 1	( )	( )	( )	( )	( )	( )	( )	___	Action 2	( )	( )	( )	( )	( )	( )	( )	___	Action 3	( )	( )	( )	( )	( )	( )	( )	___	I-231 I-631 I-633
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		Help with completing application forms	( )	( )	( )	( )	( )	( )	—																														
		Help with establishing contacts with EU researchers	( )	( )	( )	( )	( )	( )	—																														
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		Study tours to the EU	( )	( )	( )	( )	( )	( )	—																														
		Other (please specify in the text box on the right)	( )	( )	( )	( )	( )	( )	—																														
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#### 4.C.4 Policy dialogue

Policy dialogue is an important tool to generate awareness and to discuss issues with a view to instigating or supporting policy change. This section is about the type of fora that exist at national but also, where relevant, at regional level, the role of the EUD and other stakeholders in them, and how successful these policy dialogues were.

Dimension	Question	Type of answers (and scale)									Ind	
Policy Dialogue	6) Between 2007 and 2013, and in the sectors where R&I support was provided via DG DEVCO funding, did the EU (Delegation) participate in any policy dialogue at national level with national stakeholders?	<b>Sector</b>		<b>Policy dialogue at national level</b>							I-122 I-242 I-533 I-621 I-622	
				Yes	No	Do not know						
		FSNA		()	()	()						
		Health		()	()	()						
		EnvCC		()	()	()						
		SISS		()	()	()						
		<b>Other Sector</b>		()	()	()						
		<b>If no</b> , what would you see as the major reasons for the EUD not participating in policy dialogue?										
		_____										
		_____										
<b>If yes</b> , please briefly describe the focus of a few of your most important dialogues (maximum 4), and indicate the organiser.												
	<b>Focus of dialogue</b>	<b>Policy dialogue organized by</b>							<b>If "Other", please specify:</b>			
		<b>EUD</b>	<b>Government</b>	<b>Academic / Research organisation</b>	<b>International Organisation</b>	<b>Private Sector</b>	<b>Civil Society Organisation</b>	<b>Other</b>				
Policy dialogue 1	—	[]	[]	[]	[]	[]	[]	[]	—			
Policy dialogue 2	—	[]	[]	[]	[]	[]	[]	[]	—			
Policy dialogue 3	—	[]	[]	[]	[]	[]	[]	[]	—			
Policy dialogue 4	—	[]	[]	[]	[]	[]	[]	[]	—			

Dimension	Question	Type of answers (and scale)	Ind																																																																																																						
		<p>Over the period from 2007 to 2013, to what extent have the policy dialogues indicated been successful in including the main R&amp;I stakeholders at country level? Note: Please use the same numbering of policy dialogues as above.</p> <table border="1" data-bbox="517 379 1619 580"> <thead> <tr> <th rowspan="2"></th> <th colspan="4">Degree of success (please tick cells as appropriate)</th> <th rowspan="2">Reasons</th> </tr> <tr> <th>Very high</th> <th>High</th> <th>Low</th> <th>Very low</th> </tr> </thead> <tbody> <tr> <td>Policy dialogue 1</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>Policy dialogue 2</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>Policy dialogue 3</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>Policy dialogue 4</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> </tbody> </table> <p>Which main R&amp;I stakeholder groups participated in the policy dialogues? Note: Please use the same numbering of policy dialogues as above.</p> <table border="1" data-bbox="517 676 1926 1098"> <thead> <tr> <th rowspan="2"></th> <th colspan="7">Which main R&amp;I stakeholders participated? (please tick cells as appropriate)</th> <th rowspan="2">If "Other", please specify:</th> </tr> <tr> <th>EUD</th> <th>Government</th> <th>Academic / Research or- ganisation</th> <th>International Organisation</th> <th>Private Sector</th> <th>Civil Society Organisation</th> <th>Other</th> </tr> </thead> <tbody> <tr> <td>Policy dialogue 1</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>___</td> </tr> <tr> <td>Policy dialogue 2</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>___</td> </tr> <tr> <td>Policy dialogue 3</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>___</td> </tr> <tr> <td>Policy dialogue 4</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>[ ]</td> <td>___</td> </tr> </tbody> </table> <p>What were the major changes/ trends in terms of participation between 2007 and 2013, and what would you consider as reasons for such trends? Kindly summarise your observations in the relevant text boxes. Note: Please use the same numbering of policy dialogues as above.</p> <table border="1" data-bbox="517 1222 1895 1367"> <thead> <tr> <th></th> <th>EUD</th> <th>Government</th> <th>Academic / Research or- ganisation</th> <th>International organisation</th> <th>Private sector</th> <th>Civil Society Organisation</th> <th>For other groups indicated above</th> </tr> </thead> <tbody> <tr> <td>Policy dialogue 1</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> </tr> </tbody> </table>		Degree of success (please tick cells as appropriate)				Reasons	Very high	High	Low	Very low	Policy dialogue 1	( )	( )	( )	( )	___	Policy dialogue 2	( )	( )	( )	( )	___	Policy dialogue 3	( )	( )	( )	( )	___	Policy dialogue 4	( )	( )	( )	( )	___		Which main R&I stakeholders participated? (please tick cells as appropriate)							If "Other", please specify:	EUD	Government	Academic / Research or- ganisation	International Organisation	Private Sector	Civil Society Organisation	Other	Policy dialogue 1	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	___	Policy dialogue 2	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	___	Policy dialogue 3	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	___	Policy dialogue 4	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	___		EUD	Government	Academic / Research or- ganisation	International organisation	Private sector	Civil Society Organisation	For other groups indicated above	Policy dialogue 1	___	___	___	___	___	___	___	
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Policy dialogue 2	___	___	___	___	___	___	___																				
Policy dialogue 3	___	___	___	___	___	___	___																				
Policy dialogue 4	___	___	___	___	___	___	___																				
Policy Dialogue	7) In your opinion, what were the major outcomes of your policy dialogue efforts in terms of strengthening R&I in the country?	Major outcome 1: _____ Major outcome 2: _____ Major outcome 3: _____	I-623 JC 62 JC 63 I-533 I-242																								
Policy Dialogue	8) Countries and/or regions have research needs that should be reflected in relevant EU support. Policy dialogue may be one instrument for achieving this match.  In which ways did your EUD's policy dialogue efforts contribute to research needs of your country and/or region being taken into account in DG DEVCO support to R&I? Please provide examples.	<table border="1"> <thead> <tr> <th data-bbox="517 624 707 655">Sector</th> <th data-bbox="707 624 1827 655">Please specify reasons for your assessment</th> </tr> </thead> <tbody> <tr> <td data-bbox="517 655 707 687">FSNA</td> <td data-bbox="707 655 1827 687">_____</td> </tr> <tr> <td data-bbox="517 687 707 719">Health</td> <td data-bbox="707 687 1827 719">_____</td> </tr> <tr> <td data-bbox="517 719 707 751">ENV/CC</td> <td data-bbox="707 719 1827 751">_____</td> </tr> <tr> <td data-bbox="517 751 707 783">SISS</td> <td data-bbox="707 751 1827 783">_____</td> </tr> <tr> <td data-bbox="517 783 707 815">Other sector</td> <td data-bbox="707 783 1827 815">_____</td> </tr> </tbody> </table>	Sector	Please specify reasons for your assessment	FSNA	_____	Health	_____	ENV/CC	_____	SISS	_____	Other sector	_____	I-623												
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SISS	_____																										
Other sector	_____																										

Dimension	Question	Type of answers (and scale)				Ind																					
Policy Dialogue	<p>9) At the regional level, has your Delegation been involved in any type of policy dialogue related to DG DEVCO funded support to R&amp;I?</p> <p>Note: Regional level support aims at a geographic region, e. g. Central Asia or West Africa, but part of the support may be implemented in your country.</p>	<b>Degree of success (please tick cells as appropriate)</b>				I-623 JC 62 JC 63 I-533 I-242																					
			Yes	No	There is no regional level R&I support.		Do not know																				
		()	()	()	()		()																				
		<p><b>If no:</b> Given your knowledge of the geographic region where your Delegation is located, and your knowledge of regional programmes related to R&amp;I, what type of involvement in dialogues would have been useful for R&amp;I in your country?</p> <p>_____</p> <p>_____</p> <p>_____</p>																									
		<p><b>If yes,</b> kindly describe the types and/or sectors of dialogue, the main stakeholders that participated, the main outcomes and the role of your Delegation.</p>																									
		<table border="1"> <thead> <tr> <th></th> <th>Type and/or sector of dialogue</th> <th>Main stakeholders</th> <th>Main outcomes</th> <th>Role of your Delegation</th> </tr> </thead> <tbody> <tr> <td>Dialogue 1</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Dialogue 2</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Dialogue 3</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table>		Type and/or sector of dialogue	Main stakeholders		Main outcomes	Role of your Delegation	Dialogue 1	_____	_____	_____	_____	Dialogue 2	_____	_____	_____	_____	Dialogue 3	_____	_____	_____	_____				
			Type and/or sector of dialogue	Main stakeholders	Main outcomes		Role of your Delegation																				
		Dialogue 1	_____	_____	_____		_____																				
		Dialogue 2	_____	_____	_____		_____																				
		Dialogue 3	_____	_____	_____		_____																				
<p>At a more operational level, have parts or components of regional R&amp;I support been implemented in your country?</p>																											
<table border="1"> <thead> <tr> <th>Yes</th> <th>No</th> <th>Do not know</th> </tr> </thead> <tbody> <tr> <td>()</td> <td>()</td> <td>()</td> </tr> </tbody> </table>	Yes	No	Do not know	()	()	()																					
Yes	No	Do not know																									
()	()	()																									
<p>If yes, kindly describe which components were implemented. In addition, please highlight their major research findings relevant for your country, and your involvement in implementation.</p>																											
<table border="1"> <thead> <tr> <th></th> <th>Component 1</th> <th>Component 2</th> <th>Component 3</th> </tr> </thead> <tbody> <tr> <td>Sector</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Short description of component</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Major research findings relevant for your country</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>How have these findings been made accessible to you?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Type and level of involvement of Delegation in implementation</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table>		Component 1	Component 2	Component 3	Sector	_____	_____	_____	Short description of component	_____	_____	_____	Major research findings relevant for your country	_____	_____	_____	How have these findings been made accessible to you?	_____	_____	_____	Type and level of involvement of Delegation in implementation	_____	_____	_____			
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How have these findings been made accessible to you?	_____	_____	_____																								
Type and level of involvement of Delegation in implementation	_____	_____	_____																								

#### 4.C.5 Outcomes of support, dissemination, uptake and innovation

DG DEVCO support to R&I should yield sound research findings that are adequately presented, and disseminated to relevant stakeholders to support development. The ultimate goal is that they are taken up by society, translated and adapted into new knowledge (“innovation”) that is then proactively used in development processes. This part of the survey focuses on how this chain of results has materialized with the help of DG DEVCO-funded support.

<i>Dimension</i>	<i>Question</i>	<i>Type of answers (and scale)</i>				<i>Ind</i>
Outcomes of research	10) What would you consider as the main research findings obtained from DG DEVCO funded support to R&I in the country?	a) Description of main research findings				I-123 I-522
		<b>Sector</b>	<b>Research finding 1</b>	<b>Research finding 2</b>	<b>Research finding 3</b>	
		FSNA	___	___	___	
		Health	___	___	___	
		ENV/CC	___	___	___	
		SISS	___	___	___	
		Other sector	___	___	___	
		b) To whom were the findings disseminated? Kindly indicate the target audience/stakeholders (e.g. regional research community, private sector in the country, international research organisations, DG DEVCO, DG RTD).				
		<b>Sector</b>	<b>Research finding 1</b>	<b>Research finding 2</b>	<b>Research finding 3</b>	
		FSNA	___	___	___	
Health	___	___	___			
ENV/CC	___	___	___			
SISS	___	___	___			
Other sector	___	___	___			
c) Through which means were findings disseminated (e.g. leaflet, conference, publication, note, inter-service meeting)?						
<b>Sector</b>	<b>Research finding 1</b>	<b>Research finding 2</b>	<b>Research finding 3</b>			
FSNA	___	___	___			
Health	___	___	___			
ENV/CC	___	___	___			
SISS	___	___	___			
Other sector	___	___	___			
d) Uptake is important for research findings to be used in practice and for eventually being beneficial for improving development outcomes. Are you aware of any research findings from DG DEVCO supported R&I being taken up in your country?						



Dimension	Question	Type of answers (and scale)			Ind						
		Sector	Yes	No							
		FSNA	( )	( )							
		Health	( )	( )							
		ENV/CC	( )	( )							
		SISS	( )	( )							
		Other sector	( )	( )							
		If yes, please briefly provide details of the uptake of the research findings:									
		<b>Sector</b>	<b>(1) Who and/or what instigated the transfer of findings?</b>	<b>(2) How/for which purpose have the findings been used (e.g. follow-up research, product innovation, policy planning)?</b>	<b>(3) By which stakeholders have the findings been used (e.g. donors, private sector, government)?</b>						
		FSNA	---	---	---						
		Health	---	---	---						
		ENV/CC	---	---	---						
		SISS	---	---	---						
		Other sector	---	---	---						
Outcomes of research, dissemination	11) Did the EUD provide support to external stakeholders (e.g. universities, private sector) for the dissemination of research findings that have been generated with financing from DG DEVCO?	<table border="1"> <thead> <tr> <th>Yes</th> <th>No</th> <th>Do not know</th> </tr> </thead> <tbody> <tr> <td>( )</td> <td>( )</td> <td>( )</td> </tr> </tbody> </table>			Yes	No	Do not know	( )	( )	( )	I-634 Linked also with: I-542 I-543 I-544 I-546
Yes	No	Do not know									
( )	( )	( )									
		If yes, what type of support did you/the EU provide? And how successful would you rate the dissemination?									
		<b>For each sector</b>	<b>Very successful</b>	<b>Rather successful</b>	<b>Rather not successful</b>	<b>Not successful at all</b>	<b>No support provided</b>	<b>Do not know</b>	<b>Please provide reasons for your assessment</b>		
		a) Financing of dissemination action (e.g. of workshops, publications)	( )	( )	( )	( )	( )	( )			
		b) Logistic support (e.g. for conferences)	( )	( )	( )	( )	( )	( )			

Dimension	Question	Type of answers (and scale)								Ind
		c) Advice from your EUD	()	()	()	()	()	()		
		d) Advice from EU HQ	()	()	()	()	()	()		
		e) Other type of support, please specify: _____	()	()	()	()	()	()		
Dissemination and Uptake	<p>12) Improved dissemination and uptake could also be characterised by a number of indicators.</p> <p>How would you score the contribution of DG DEVCO funded support to R&amp;I between 2007 and 2013 in relation to the following outcome and impact indicators?</p>	DG DEVCO funded support at country and regional level has contributed to...								I-123 I-634 I-542 I-543 I-544
		<i>Your assessment</i>						<i>Please specify the reason for your assessment</i>	<i>Have there been any major changes in this between 2007 and 2013 and if so, why?</i>	
... increasing coverage of specific R&I activities and results in national/local media		()	()	()	()	()	()	—	—	
... creating new academic research projects or groups		()	()	()	()	()	()	—	—	
... stimulating national public sector financing new R&I initiatives		()	()	()	()	()	()	—	—	

Dimension	Question	Type of answers (and scale)										Ind	
		... stimulating private sector financing new R&I initiatives	()	()	()	()	()	()	()	()	—	—	
		... fostering the creation of new public-private cooperation agreements in R&I	()	()	()	()	()	()	()	()	—	—	
		... other (please specify in the text box on the right)	()	()	()	()	()	()	()	—	—		
Networking	<p>13) The objectives of DG DEVCO support to R&amp;I include, among other things, improved access for researchers and institutions to knowledge, data and funding, as well as increased networking and exchanges between them, within countries, regions, and with Europe.</p> <p>In your view, between 2007 and 2013, and across all R&amp;I activities implemented in your country or your region, in which areas has DG DEVCO support been most helpful for your country's research communities?</p>	<p><b>EU support at country and regional level has contributed to...</b></p>	<p><b>Your assessment</b></p>						<p><b>Please specify the reason for your assessment</b></p>	I-632 Partly I-432			
	<i>Entirely agree</i>	<i>Rather agree</i>	<i>Rather not agree</i>	<i>Not agree at all</i>	<i>Not an objective of support</i>	<i>Do not know</i>							
... substantially increased their access to EU based R&I data/ results/ methodologies/ tools.	()	()	()	()	()	()	—						
... substantially increased their access to EU based R&I communities.	()	()	()	()	()	()	—						
... substantially increased their funding share for networking activities.	()	()	()	()	()	()	—						
... strongly increased their active participation in R&I policy dialogues.	()	()	()	()	()	()	—						
... strongly helped them in successfully managing the	()	()	()	()	()	()	—						

Dimension	Question	Type of answers (and scale)							Ind																																		
		setting up of operational regional South-South networks.																																									
		... considerably increased their access to EU FP7 funding through RTD.	()	()	()	()	()	()	—																																		
		... substantially increased the number and/or size of joint R&I projects between partner country and European organisations.	()	()	()	()	()	()	—																																		
Overview	14) Contributing, through R&I, to innovation in a country's economy is part of the explicit aims of such support, but rarely captured in documentation.	<p>Are you aware of any specific innovation which could at least partly be an effect of DG DEVCO supported R&amp;I efforts in your country?</p> <table border="1" data-bbox="929 651 1653 715"> <thead> <tr> <th data-bbox="929 651 1198 683">Yes</th> <th data-bbox="1198 651 1411 683">No</th> <th data-bbox="1411 651 1653 683">Do not know</th> </tr> </thead> <tbody> <tr> <td data-bbox="929 683 1198 715">()</td> <td data-bbox="1198 683 1411 715">()</td> <td data-bbox="1411 683 1653 715">()</td> </tr> </tbody> </table> <p><b>If yes</b>, kindly share with us all specific innovations that you are aware of and which, in your opinion, could at least partly be attributed to DEVCO supported R&amp;I efforts in your country.</p> <p>Note: For the countries to be selected for field visits for this evaluation we will contact you before the visit to identify relevant interviewees for further study of the links that may have led to the transfer of innovation.</p> <p>* Type of actor: a) Academic institution, b) Research organisation, c) Private sector entity, d) Civil Society Organisation, e) Government department, f) Donor agency, g) International organisation</p> <p><b>(For each sector)</b></p> <table border="1" data-bbox="696 1015 1798 1367"> <thead> <tr> <th data-bbox="696 1015 741 1267"></th> <th data-bbox="741 1015 920 1267">Innovation</th> <th data-bbox="920 1015 1099 1267">From which DEVCO supported research project did this innovation emerge?</th> <th data-bbox="1099 1015 1272 1267">Innovation was made by what type of actor*? Please indicate letter from list above or specify</th> <th data-bbox="1272 1015 1451 1267">Innovation taken up by what type of actor*?</th> <th data-bbox="1451 1015 1630 1267">To which types of groups in society do the benefits accrue?</th> <th data-bbox="1630 1015 1798 1267">What are the benefits for poor people?</th> </tr> </thead> <tbody> <tr> <td data-bbox="696 1267 741 1299">1)</td> <td data-bbox="741 1267 920 1299">—</td> <td data-bbox="920 1267 1099 1299">—</td> <td data-bbox="1099 1267 1272 1299">—</td> <td data-bbox="1272 1267 1451 1299">—</td> <td data-bbox="1451 1267 1630 1299">—</td> <td data-bbox="1630 1267 1798 1299">—</td> </tr> <tr> <td data-bbox="696 1299 741 1331">2)</td> <td data-bbox="741 1299 920 1331">—</td> <td data-bbox="920 1299 1099 1331">—</td> <td data-bbox="1099 1299 1272 1331">—</td> <td data-bbox="1272 1299 1451 1331">—</td> <td data-bbox="1451 1299 1630 1331">—</td> <td data-bbox="1630 1299 1798 1331">—</td> </tr> <tr> <td data-bbox="696 1331 741 1367">3)</td> <td data-bbox="741 1331 920 1367">—</td> <td data-bbox="920 1331 1099 1367">—</td> <td data-bbox="1099 1331 1272 1367">—</td> <td data-bbox="1272 1331 1451 1367">—</td> <td data-bbox="1451 1331 1630 1367">—</td> <td data-bbox="1630 1331 1798 1367">—</td> </tr> </tbody> </table>							Yes	No	Do not know	()	()	()		Innovation	From which DEVCO supported research project did this innovation emerge?	Innovation was made by what type of actor*? Please indicate letter from list above or specify	Innovation taken up by what type of actor*?	To which types of groups in society do the benefits accrue?	What are the benefits for poor people?	1)	—	—	—	—	—	—	2)	—	—	—	—	—	—	3)	—	—	—	—	—	—	EQ 5, especially JC 54
Yes	No	Do not know																																									
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3)	—	—	—	—	—	—																																					

Dimension	Question	Type of answers (and scale)						Ind																								
		4)	___	___	___	___	___																									
		5)	___	___	___	___	___																									
		<p>If no, what would you see as major reasons why there are no such specific innovations which could at least partly be attributed to DEVCO supported R&amp;I efforts in your country?</p> <table border="1"> <thead> <tr> <th>Sector</th> <th>Major reason 1</th> <th>Major reason 2</th> <th>Major reason 3</th> </tr> </thead> <tbody> <tr> <td>FSNA</td> <td>___</td> <td>___</td> <td>___</td> </tr> <tr> <td>Health</td> <td>___</td> <td>___</td> <td>___</td> </tr> <tr> <td>ENV/CC</td> <td>___</td> <td>___</td> <td>___</td> </tr> <tr> <td>SISS</td> <td>___</td> <td>___</td> <td>___</td> </tr> <tr> <td>Other sector</td> <td>___</td> <td>___</td> <td>___</td> </tr> </tbody> </table>						Sector	Major reason 1	Major reason 2	Major reason 3	FSNA	___	___	___	Health	___	___	___	ENV/CC	___	___	___	SISS	___	___	___	Other sector	___	___	___	
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SISS	___	___	___																													
Other sector	___	___	___																													

#### 4.C.6 Aid delivery methods, funding instruments, implementing channels and approaches

This section deals with the way DG DEVCO funds and implements its support to R&I. We wish to understand your perception on what has been most useful in which situations.

For the purpose of this survey the following terms are used:

An **aid delivery method** is understood as the method used for transferring support to beneficiaries and it can relate to various types of approaches (project approach, sector approach and global approach) and various types of financing modalities (grants, budget support, etc.).

The **funding instruments** are the budget lines used by DG DEVCO to finance its external assistance in third regions and countries. For the purpose of this exercise, we differentiate between geographic and thematic budget lines (e.g. EDF, DCI, ENPI for geographic and DCI FOOD or HEALTH for thematic).

The **implementing channels** are understood as the type of organisation used to channel the aid to the beneficiary. The evaluation uses the following categories of channels: International Organisation, Private Sector (including consulting firms), University, Research Institute, Civil Society, Government Institution, Regional Organisation, Other (non classified).

Dimension	Question	Type of answers (and scale)			Ind												
Major changes	15) Were there any major changes in the way DG DEVCO delivered its aid for R&I in your country over the evaluation period (i.e. between 2007 and 2013)?	<table border="1"> <thead> <tr> <th>Yes</th> <th>No</th> <th>Do not know</th> </tr> </thead> <tbody> <tr> <td>( )</td> <td>( )</td> <td>( )</td> </tr> </tbody> </table>			Yes	No	Do not know	( )	( )	( )	EQ 3						
Yes	No	Do not know															
( )	( )	( )															
		<p>If yes, kindly indicate the type of changes, and if possible the reasons.</p> <table border="1"> <thead> <tr> <th></th> <th>Major change (describe change)</th> <th>Reasons for change</th> </tr> </thead> <tbody> <tr> <td>1)</td> <td>___</td> <td>___</td> </tr> <tr> <td>2)</td> <td>___</td> <td>___</td> </tr> <tr> <td>3)</td> <td>___</td> <td>___</td> </tr> </tbody> </table>				Major change (describe change)	Reasons for change	1)	___	___	2)	___	___	3)	___	___	
	Major change (describe change)	Reasons for change															
1)	___	___															
2)	___	___															
3)	___	___															

Dimension	Question	Type of answers (and scale)	Ind																																																													
		<p>If no, what would you see as major reasons why there are no such major changes in the way DG DEVCO delivers its aid in the area of R&amp;I in your country over the evaluation period?</p> <table border="1" data-bbox="651 288 1263 424"> <thead> <tr> <th colspan="2">Reasons for no change</th> </tr> </thead> <tbody> <tr> <td>1)</td> <td>___</td> </tr> <tr> <td>2)</td> <td>___</td> </tr> <tr> <td>3)</td> <td>___</td> </tr> </tbody> </table>	Reasons for no change		1)	___	2)	___	3)	___																																																						
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2)	___																																																															
3)	___																																																															
Modalities and channels	16) To what extent have DG DEVCO supported interventions supporting R&I in your country been designed based on a thorough analysis of the partner country's specific context?	<p>Note: Design is understood to include the choice of aid delivery methods and channels.</p> <table border="1" data-bbox="651 504 1861 655"> <thead> <tr> <th colspan="7">Your assessment</th> <th rowspan="2">Challenges</th> <th rowspan="2">Success factors</th> </tr> <tr> <th>To a very high extent</th> <th>To a high extent</th> <th>To a low extent</th> <th>To a very low extent</th> <th>Not at all</th> <th>N/A</th> <th>Do not know</th> </tr> </thead> <tbody> <tr> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> <td>___</td> </tr> </tbody> </table>	Your assessment							Challenges	Success factors	To a very high extent	To a high extent	To a low extent	To a very low extent	Not at all	N/A	Do not know	( )	( )	( )	( )	( )	( )	( )	___	___	EQ 3, I-311																																				
Your assessment							Challenges	Success factors																																																								
To a very high extent	To a high extent	To a low extent	To a very low extent	Not at all	N/A	Do not know																																																										
( )	( )	( )	( )	( )	( )	( )	___	___																																																								
	17) In your view, to what extent did these DG DEVCO supported interventions in relation to R&I adequately take account of the implementing organisations' capacity?	<table border="1" data-bbox="651 719 1883 1038"> <thead> <tr> <th rowspan="2">Sector</th> <th colspan="7">Your assessment</th> <th rowspan="2">Please specify reasons for your assessment</th> </tr> <tr> <th>To a very high extent</th> <th>To a high extent</th> <th>To a low extent</th> <th>To a very low extent</th> <th>Not at all</th> <th>Not applicable</th> <th>Do not know</th> </tr> </thead> <tbody> <tr> <td>FSNA</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>Health</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>EnvCC</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>SISS</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>Other Sector</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> </tbody> </table>	Sector	Your assessment							Please specify reasons for your assessment	To a very high extent	To a high extent	To a low extent	To a very low extent	Not at all	Not applicable	Do not know	FSNA	( )	( )	( )	( )	( )	( )	( )	___	Health	( )	( )	( )	( )	( )	( )	( )	___	EnvCC	( )	( )	( )	( )	( )	( )	( )	___	SISS	( )	( )	( )	( )	( )	( )	( )	___	Other Sector	( )	( )	( )	( )	( )	( )	( )	___	JC 31
Sector	Your assessment							Please specify reasons for your assessment																																																								
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Modalities	18) Sector support through SPSP or SBS (possibly accompanied by technical assistance) may play a role in encouraging the development of research capacity. Against this backdrop:	<p>Kindly indicate if SPSP/SBS related to R&amp;I was used.</p> <table border="1" data-bbox="920 1078 1641 1142"> <thead> <tr> <th>Yes</th> <th>No</th> <th>Do not know</th> </tr> </thead> <tbody> <tr> <td>( )</td> <td>( )</td> <td>( )</td> </tr> </tbody> </table> <p>If no:</p> <table border="1" data-bbox="757 1203 1805 1294"> <thead> <tr> <th>Kindly indicate reasons, if any</th> <th>What role could SPSP/SBS potentially play given your country context? And why?</th> </tr> </thead> <tbody> <tr> <td>___</td> <td>___</td> </tr> </tbody> </table> <p>If yes, in which sectors was it used?</p> <table border="1" data-bbox="730 1358 1832 1385"> <thead> <tr> <th>EnvCC</th> <th>SISS</th> <th>Health</th> <th>FSNA</th> <th>Other Sector</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Yes	No	Do not know	( )	( )	( )	Kindly indicate reasons, if any	What role could SPSP/SBS potentially play given your country context? And why?	___	___	EnvCC	SISS	Health	FSNA	Other Sector						I-313																																									
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	<p>19) For the period 2007 to 2013, how would you assess the suitability of the following types of DG DEVCO support to R&amp;I for strengthening research and innovation capacities of the country?</p> <p>Note: Some types of support may not have been used in your country, but based on your experience you may consider that they might have been suitable. Please take account of this in your assessment.</p>	<p>For each sector:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2"></th> <th colspan="3">Was used</th> <th colspan="7">Your assessment</th> <th rowspan="2">Please specify reasons for your assessment</th> </tr> <tr> <th>Yes</th> <th>No</th> <th>Do not know</th> <th>Very high</th> <th>High</th> <th>Low</th> <th>Very low</th> <th>None at all</th> <th>Was not used</th> <th>Do not know</th> </tr> </thead> <tbody> <tr> <td>Individual capacity development (e.g. mobility, skills training or Masters &amp; PhD)</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>—</td> </tr> <tr> <td>Institutional capacity and infrastructure development (e.g. physical connectivity, knowledge management, networking, policy and regulatory framework)</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>—</td> </tr> <tr> <td>Promotion of innovation, societal uptake and use of research results</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>—</td> </tr> <tr> <td>Funding of research for development</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>—</td> </tr> <tr> <td>Other type of support (please specify in the text box on the right)</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>—</td> </tr> </tbody> </table>		Was used			Your assessment							Please specify reasons for your assessment	Yes	No	Do not know	Very high	High	Low	Very low	None at all	Was not used	Do not know	Individual capacity development (e.g. mobility, skills training or Masters & PhD)	( )	( )	( )	( )	( )	( )	( )	( )	( )	( )	—	Institutional capacity and infrastructure development (e.g. physical connectivity, knowledge management, networking, policy and regulatory framework)	( )	( )	( )	( )	( )	( )	( )	( )	( )	( )	—	Promotion of innovation, societal uptake and use of research results	( )	( )	( )	( )	( )	( )	( )	( )	( )	( )	—	Funding of research for development	( )	( )	( )	( )	( )	( )	( )	( )	( )	( )	—	Other type of support (please specify in the text box on the right)	( )	( )	( )	( )	( )	( )	( )	( )	( )	( )	—	JC 32 I-222 I-545
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	20) In principle, DG DEVCO has different	Note: Some approaches may not have been used in your country, but based on your experience you may consider that they might have been suitable. Please take account of this in your assessment.										I-311 I-324																																																																									

Dimension	Question	Type of answers (and scale)										Ind		
	<p>approaches to support R&amp;I.</p> <p>Based on your in-country experience, how would you assess the suitability of the following approaches used by DG DEVCO to tackle the specific challenges related to R&amp;I in your country?</p>				Was used		Suitability of approach in relation to country specificities				Please specify the reasons for your assessment	I-331		
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Modalities and channels / re-research capacities	<p>21) Based on your in-country experience, how would you assess, for the period 2007 to 2013, the suitability of the following implementing channels for DG DEVCO funded support to R&amp;I in your country?</p> <p>Note: Some channels may not have been used in your country, but based on your experience you may consider that they might have been suitable. Please take account of this in your assessment.</p>	<b>For each sector:</b>												JC 32 I-222 I-545
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#### 4.C.7 Coordination and complementarity

This section focuses on your experience related to coordination and complementarity with other major R&I stakeholders, including RTD, if relevant, and with other donors/EU Member States, and on your efforts to ensure effective coordination and complementarity.



Dimension	Question	Type of answers (and scale)						Ind																																																																																									
	22) In your country, and between 2007 and 2013, has DG RTD funded any R&I support in the same sectors as DG DEVCO?	<table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th data-bbox="945 260 1211 292">Yes</th> <th data-bbox="1216 260 1429 292">No</th> <th data-bbox="1433 260 1664 292">Do not know</th> </tr> </thead> <tbody> <tr> <td data-bbox="945 295 1211 327">()</td> <td data-bbox="1216 295 1429 327">()</td> <td data-bbox="1433 295 1664 327">()</td> </tr> </tbody> </table>						Yes	No	Do not know	()	()	()	EQ 4, esp. JCs 42 and 43																																																																																			
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	<b>If yes:</b> 22 a) How would you characterise this support?	<table border="1" style="width: 100%;"> <thead> <tr> <th data-bbox="656 406 857 438">Sector</th> <th colspan="6" data-bbox="862 406 1861 438">a) How would you characterise this support?</th> </tr> </thead> <tbody> <tr> <td data-bbox="656 442 857 474">EnvCC</td> <td colspan="6" data-bbox="862 442 1861 474">___</td> </tr> <tr> <td data-bbox="656 477 857 509">Health</td> <td colspan="6" data-bbox="862 477 1861 509">___</td> </tr> <tr> <td data-bbox="656 512 857 544">SISS</td> <td colspan="6" data-bbox="862 512 1861 544">___</td> </tr> <tr> <td data-bbox="656 547 857 579">FSNA</td> <td colspan="6" data-bbox="862 547 1861 579">___</td> </tr> <tr> <td data-bbox="656 582 857 614">Other Sector</td> <td colspan="6" data-bbox="862 582 1861 614">___</td> </tr> </tbody> </table>						Sector	a) How would you characterise this support?						EnvCC	___						Health	___						SISS	___						FSNA	___						Other Sector	___						EQ 4, esp. JCs 42 and 43																																															
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	<b>If yes:</b> 22 b) How would you rate complementarity between support financed through DG DEVCO and support financed via DG RTD?	<table border="1" style="width: 100%;"> <thead> <tr> <th data-bbox="656 643 857 834" rowspan="2">Sector</th> <th colspan="6" data-bbox="862 643 1933 691">Your assessment for the year 2007</th> </tr> <tr> <th data-bbox="866 722 1070 834">Not complementary at all</th> <th data-bbox="1075 722 1279 834">Rather not complementary</th> <th data-bbox="1283 722 1487 834">Rather complementary</th> <th data-bbox="1491 722 1695 834">Highly complementary</th> <th data-bbox="1700 722 1816 834">Not applicable</th> <th data-bbox="1821 722 1933 834">Do not know</th> </tr> </thead> <tbody> <tr> <td data-bbox="656 837 857 869">EnvCC</td> <td data-bbox="866 837 1070 869">()</td> <td data-bbox="1075 837 1279 869">()</td> <td data-bbox="1283 837 1487 869">()</td> <td data-bbox="1491 837 1695 869">()</td> <td data-bbox="1700 837 1816 869">()</td> <td data-bbox="1821 837 1933 869">()</td> </tr> <tr> <td data-bbox="656 873 857 904">Health</td> <td data-bbox="866 873 1070 904">()</td> <td data-bbox="1075 873 1279 904">()</td> <td data-bbox="1283 873 1487 904">()</td> <td data-bbox="1491 873 1695 904">()</td> <td data-bbox="1700 873 1816 904">()</td> <td data-bbox="1821 873 1933 904">()</td> </tr> <tr> <td data-bbox="656 908 857 940">SISS</td> <td data-bbox="866 908 1070 940">()</td> <td data-bbox="1075 908 1279 940">()</td> <td data-bbox="1283 908 1487 940">()</td> <td data-bbox="1491 908 1695 940">()</td> <td data-bbox="1700 908 1816 940">()</td> <td data-bbox="1821 908 1933 940">()</td> </tr> <tr> <td data-bbox="656 943 857 975">FSNA</td> <td data-bbox="866 943 1070 975">()</td> <td data-bbox="1075 943 1279 975">()</td> <td data-bbox="1283 943 1487 975">()</td> <td data-bbox="1491 943 1695 975">()</td> <td data-bbox="1700 943 1816 975">()</td> <td data-bbox="1821 943 1933 975">()</td> </tr> <tr> <td data-bbox="656 978 857 1010">Other Sector</td> <td data-bbox="866 978 1070 1010">()</td> <td data-bbox="1075 978 1279 1010">()</td> <td data-bbox="1283 978 1487 1010">()</td> <td data-bbox="1491 978 1695 1010">()</td> <td data-bbox="1700 978 1816 1010">()</td> <td data-bbox="1821 978 1933 1010">()</td> </tr> </tbody> </table> <table border="1" style="width: 100%;"> <thead> <tr> <th data-bbox="656 1042 857 1233" rowspan="2">Sector</th> <th colspan="6" data-bbox="862 1042 1933 1090">Your assessment for the year 2010</th> </tr> <tr> <th data-bbox="866 1121 1070 1233">Not complementary at all</th> <th data-bbox="1075 1121 1279 1233">Rather not complementary</th> <th data-bbox="1283 1121 1487 1233">Rather complementary</th> <th data-bbox="1491 1121 1695 1233">Highly complementary</th> <th data-bbox="1700 1121 1816 1233">Not applicable</th> <th data-bbox="1821 1121 1933 1233">Do not know</th> </tr> </thead> <tbody> <tr> <td data-bbox="656 1236 857 1268">EnvCC</td> <td data-bbox="866 1236 1070 1268">()</td> <td data-bbox="1075 1236 1279 1268">()</td> <td data-bbox="1283 1236 1487 1268">()</td> <td data-bbox="1491 1236 1695 1268">()</td> <td data-bbox="1700 1236 1816 1268">()</td> <td data-bbox="1821 1236 1933 1268">()</td> </tr> <tr> <td data-bbox="656 1272 857 1303">Health</td> <td data-bbox="866 1272 1070 1303">()</td> <td data-bbox="1075 1272 1279 1303">()</td> <td data-bbox="1283 1272 1487 1303">()</td> <td data-bbox="1491 1272 1695 1303">()</td> <td data-bbox="1700 1272 1816 1303">()</td> <td data-bbox="1821 1272 1933 1303">()</td> </tr> <tr> <td data-bbox="656 1307 857 1339">SISS</td> <td data-bbox="866 1307 1070 1339">()</td> <td data-bbox="1075 1307 1279 1339">()</td> <td data-bbox="1283 1307 1487 1339">()</td> <td data-bbox="1491 1307 1695 1339">()</td> <td data-bbox="1700 1307 1816 1339">()</td> <td data-bbox="1821 1307 1933 1339">()</td> </tr> <tr> <td data-bbox="656 1342 857 1374">FSNA</td> <td data-bbox="866 1342 1070 1374">()</td> <td data-bbox="1075 1342 1279 1374">()</td> <td data-bbox="1283 1342 1487 1374">()</td> <td data-bbox="1491 1342 1695 1374">()</td> <td data-bbox="1700 1342 1816 1374">()</td> <td data-bbox="1821 1342 1933 1374">()</td> </tr> </tbody> </table>						Sector	Your assessment for the year 2007						Not complementary at all	Rather not complementary	Rather complementary	Highly complementary	Not applicable	Do not know	EnvCC	()	()	()	()	()	()	Health	()	()	()	()	()	()	SISS	()	()	()	()	()	()	FSNA	()	()	()	()	()	()	Other Sector	()	()	()	()	()	()	Sector	Your assessment for the year 2010						Not complementary at all	Rather not complementary	Rather complementary	Highly complementary	Not applicable	Do not know	EnvCC	()	()	()	()	()	()	Health	()	()	()	()	()	()	SISS	()	()	()	()	()	()	FSNA	()	()	()	()	()	()	I-414 I-411
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#### 4.C.8 Lessons learnt from support

For the following questions, please consider all programmes or projects with R&I components funded by DG DEVCO and that ended between 2007 and 2013. By the end of individual R&I interventions, one might expect some lessons could be drawn on what has and has not worked and what lessons might be generalizable in a way that they might be usable again, in your country or elsewhere.

Dimension	Question	Type of answers (and scale)				Ind																																			
Lessons	24) Please think of any lessons learnt from R&I support to your country (financed through either DG DEVCO country or regional funds), and try to answer the following questions.  Try to indicate the most important lessons first, if feasible.	<table border="1"> <thead> <tr> <th data-bbox="763 408 808 440"></th> <th data-bbox="808 408 1245 440">Sector and/or project</th> <th data-bbox="1245 408 1514 440">What was the lesson?</th> <th colspan="2" data-bbox="1514 408 1872 440">Was it communicated? And if yes: to whom and how?</th> </tr> </thead> <tbody> <tr> <td data-bbox="763 464 808 496">1</td> <td data-bbox="808 464 1245 496">___</td> <td data-bbox="1245 464 1514 496">___</td> <td colspan="2" data-bbox="1514 464 1872 496">___</td> </tr> <tr> <td data-bbox="763 504 808 536">2</td> <td data-bbox="808 504 1245 536">___</td> <td data-bbox="1245 504 1514 536">___</td> <td colspan="2" data-bbox="1514 504 1872 536">___</td> </tr> <tr> <td data-bbox="763 544 808 576">3</td> <td data-bbox="808 544 1245 576">___</td> <td data-bbox="1245 544 1514 576">___</td> <td colspan="2" data-bbox="1514 544 1872 576">___</td> </tr> <tr> <td data-bbox="763 584 808 616">4</td> <td data-bbox="808 584 1245 616">___</td> <td data-bbox="1245 584 1514 616">___</td> <td colspan="2" data-bbox="1514 584 1872 616">___</td> </tr> <tr> <td data-bbox="763 624 808 655">5</td> <td data-bbox="808 624 1245 655">___</td> <td data-bbox="1245 624 1514 655">___</td> <td colspan="2" data-bbox="1514 624 1872 655">___</td> </tr> <tr> <td data-bbox="763 663 808 695">6</td> <td data-bbox="808 663 1245 695">___</td> <td data-bbox="1245 663 1514 695">___</td> <td colspan="2" data-bbox="1514 663 1872 695">___</td> </tr> </tbody> </table>					Sector and/or project	What was the lesson?	Was it communicated? And if yes: to whom and how?		1	___	___	___		2	___	___	___		3	___	___	___		4	___	___	___		5	___	___	___		6	___	___	___		I-521 I-522
	Sector and/or project	What was the lesson?	Was it communicated? And if yes: to whom and how?																																						
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Lessons learnt	25) When designing new DG DEVCO funded support to R&I in the country, did you consider any lessons learnt from past experience on support to R&I?	<table border="1"> <thead> <tr> <th data-bbox="842 711 1111 743">I do not know.</th> <th data-bbox="1111 711 1323 743">There were no lessons to consider.</th> <th data-bbox="1323 711 1559 743">We did not consider any lessons.</th> <th colspan="2" data-bbox="1559 711 1794 743">We considered the following lessons.</th> </tr> </thead> <tbody> <tr> <td data-bbox="842 791 1111 823">()</td> <td data-bbox="1111 791 1323 823">()</td> <td data-bbox="1323 791 1559 823">()</td> <td colspan="2" data-bbox="1559 791 1794 823"></td> </tr> </tbody> </table> <p data-bbox="763 863 1178 887">If “There were no lessons to consider”:</p> <div data-bbox="1178 887 1458 951" style="border: 1px solid black; padding: 2px; margin-left: 100px;"> <p style="text-align: center; margin: 0;"><b>Why?</b></p> <p style="margin: 0;">___</p> </div> <p data-bbox="763 991 1155 1015">If “We did not consider any lessons”:</p> <div data-bbox="1178 1015 1458 1078" style="border: 1px solid black; padding: 2px; margin-left: 100px;"> <p style="text-align: center; margin: 0;"><b>Why?</b></p> <p style="margin: 0;">___</p> </div> <p data-bbox="763 1118 1200 1142">If “We considered the following lessons”:</p> <p data-bbox="763 1150 1323 1174">Kindly indicate which lessons learnt you considered.</p> <table border="1" data-bbox="831 1174 1805 1308"> <thead> <tr> <th data-bbox="831 1174 1167 1206"></th> <th data-bbox="1167 1174 1491 1206">Type of lesson</th> <th data-bbox="1491 1174 1805 1206">How?</th> </tr> </thead> <tbody> <tr> <td data-bbox="831 1206 1167 1238">1)</td> <td data-bbox="1167 1206 1491 1238">___</td> <td data-bbox="1491 1206 1805 1238">___</td> </tr> <tr> <td data-bbox="831 1238 1167 1270">2)</td> <td data-bbox="1167 1238 1491 1270">___</td> <td data-bbox="1491 1238 1805 1270">___</td> </tr> <tr> <td data-bbox="831 1270 1167 1308">3)</td> <td data-bbox="1167 1270 1491 1308">___</td> <td data-bbox="1491 1270 1805 1308">___</td> </tr> </tbody> </table>				I do not know.	There were no lessons to consider.	We did not consider any lessons.	We considered the following lessons.		()	()	()				Type of lesson	How?	1)	___	___	2)	___	___	3)	___	___	I-121 & I-123													
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#### 4.C.9 EU institutional capacities

The following questions focus on resources allocated to R&I within EU Delegations.

Dimension	Question	Type of answers (and scale)	Ind																																																																																										
EU institutional capacities	<p>26) Within your Delegation:</p> <p>a) How many persons are managing cooperation programmes (in all areas of support)?</p> <p>b) How many have been specifically working on issues related to R&amp;I?</p> <p>c) For the persons dealing with these topics within the Delegation, how much time was approximately spent specifically on them, in 2007, 2010 and in 2013?</p> <p>Note: We are aware that the answer is not easy, e.g. due to staff rotation, and that you might have to make rough estimates.</p>	<table border="1"> <thead> <tr> <th colspan="6"><i>a) How many persons are managing cooperation programmes (in all areas of support)?</i></th> </tr> <tr> <th></th> <th><i>Less than 5</i></th> <th><i>Between 5 and 10</i></th> <th><i>Between 11 and 15</i></th> <th><i>16 or more</i></th> <th><i>Do not know</i></th> </tr> </thead> <tbody> <tr> <td>2007</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> </tr> <tr> <td>2010</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> </tr> <tr> <td>2013</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th colspan="6"><i>b) How many have been specifically working on issues related to R&amp;I?</i></th> </tr> <tr> <th></th> <th><i>No staff dedicated</i></th> <th><i>1</i></th> <th><i>2</i></th> <th><i>3 or more</i></th> <th><i>Do not know</i></th> </tr> </thead> <tbody> <tr> <td>2007</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> </tr> <tr> <td>2010</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> </tr> <tr> <td>2013</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th colspan="6"><i>c) For the persons dealing with these topics within the Delegation, how much time was approximately spent specifically on them, in 2007, 2010 and in 2013?</i></th> </tr> <tr> <th></th> <th><i>0-24%</i></th> <th><i>25-49%</i></th> <th><i>50-74%</i></th> <th><i>75-100%</i></th> <th><i>Do not know</i></th> </tr> </thead> <tbody> <tr> <td>2007</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> </tr> <tr> <td>2010</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> </tr> <tr> <td>2013</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> <td>___</td> </tr> </tbody> </table>	<i>a) How many persons are managing cooperation programmes (in all areas of support)?</i>							<i>Less than 5</i>	<i>Between 5 and 10</i>	<i>Between 11 and 15</i>	<i>16 or more</i>	<i>Do not know</i>	2007	___	___	___	___	___	2010	___	___	___	___	___	2013	___	___	___	___	___	<i>b) How many have been specifically working on issues related to R&amp;I?</i>							<i>No staff dedicated</i>	<i>1</i>	<i>2</i>	<i>3 or more</i>	<i>Do not know</i>	2007	___	___	___	___	___	2010	___	___	___	___	___	2013	___	___	___	___	___	<i>c) For the persons dealing with these topics within the Delegation, how much time was approximately spent specifically on them, in 2007, 2010 and in 2013?</i>							<i>0-24%</i>	<i>25-49%</i>	<i>50-74%</i>	<i>75-100%</i>	<i>Do not know</i>	2007	___	___	___	___	___	2010	___	___	___	___	___	2013	___	___	___	___	___	I-611
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EU institutional capacities	<p>27) For the period 2007 to 2013, how would you assess the Delegation's capacity to effectively cope with all tasks relating to DG DEVCO funded support to R&amp;I to the country (e.g. programming and identification of needs, monitoring, dialoguing, networking)?</p>	<table border="1"> <thead> <tr> <th rowspan="2">Sector</th> <th colspan="6"><i>Your assessment for the year 2007</i></th> <th rowspan="2"><i>Please specify reasons for your assessment (year 2007)</i></th> </tr> <tr> <th><i>Highly in-appropriate</i></th> <th><i>Rather in-appropriate</i></th> <th><i>Rather appropriate</i></th> <th><i>Highly appropriate</i></th> <th><i>Not applicable</i></th> <th><i>Do not know</i></th> </tr> </thead> <tbody> <tr> <td>EnvCC</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>Health</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>SISS</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>FSNA</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> <tr> <td>Other Sector</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>___</td> </tr> </tbody> </table>	Sector	<i>Your assessment for the year 2007</i>						<i>Please specify reasons for your assessment (year 2007)</i>	<i>Highly in-appropriate</i>	<i>Rather in-appropriate</i>	<i>Rather appropriate</i>	<i>Highly appropriate</i>	<i>Not applicable</i>	<i>Do not know</i>	EnvCC	( )	( )	( )	( )	( )	( )	___	Health	( )	( )	( )	( )	( )	( )	___	SISS	( )	( )	( )	( )	( )	( )	___	FSNA	( )	( )	( )	( )	( )	( )	___	Other Sector	( )	( )	( )	( )	( )	( )	___	I-421																																				
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EU institutional capacities	28) More specifically, and for the same period, how would you characterise the Delegation's capacity to lead effective policy dialogue related to R&I, overall, and in the sectors where DG DEVCO financed support was provided?	<table border="1"> <thead> <tr> <th colspan="2"></th> </tr> </thead> <tbody> <tr> <td>Overall (characteristics and trends):</td> <td>___</td> </tr> <tr> <td>EnvCC</td> <td>___</td> </tr> <tr> <td>Health</td> <td>___</td> </tr> <tr> <td>SISS</td> <td>___</td> </tr> <tr> <td>FSNA</td> <td>___</td> </tr> <tr> <td>Other Sector</td> <td>___</td> </tr> </tbody> </table>								Overall (characteristics and trends):	___	EnvCC	___	Health	___	SISS	___	FSNA	___	Other Sector	___	I-612
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FSNA	___																					
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#### 4.C.10 Value added

The EU should provide support where it can generate substantial value added. This section focuses on your perception in that regard, related to past support as well as to possibly upcoming support.

Dimension	Question	Type of answers (and scale)	Ind
Value added	29) Overall, and across all sectors supported, how would you judge the value added of the EU support through DG DEVCO funding to R&I in your country in relation to R&I support provided by individual EU Member States?	<p>Explanation: Value added is closely related to the principle of subsidiarity and relates to the extra-benefit the activity/operation generates due to the fact that it was financed/implemented through the EU. It can be judged on the basis of the extent to which a project/programme (its objectives, targeted beneficiaries, timing, etc.) is:</p> <p>1) complementary to the intervention of EU Member States in the region/country/area,  2) co-ordinated with the intervention of EU Member States in the region/country/area,</p>	As per TOR the conclusions should consider this aspect

<i>Dimension</i>	<i>Question</i>	<i>Type of answers (and scale)</i>							<i>Ind</i>																																												
		3) creating actual synergy with the intervention of EU Member States, 4) involves concerted efforts by EU Member States and the Commission to optimise synergies and avoid duplication.																																																			
		<table border="1"> <thead> <tr> <th></th> <th colspan="7"><i>Your assessment</i></th> <th rowspan="2"><i>Please specify reasons for your assessment and specify the type of added value</i></th> </tr> <tr> <th></th> <th><i>Very high</i></th> <th><i>High</i></th> <th><i>Low</i></th> <th><i>Very low</i></th> <th><i>Do not know</i></th> <th><i>No DG DEVCO support</i></th> <th><i>No Member States support</i></th> </tr> </thead> <tbody> <tr> <td>Around 2007</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>—</td> </tr> <tr> <td>Around 2010</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>—</td> </tr> <tr> <td>In 2013</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>( )</td> <td>—</td> </tr> </tbody> </table>								<i>Your assessment</i>							<i>Please specify reasons for your assessment and specify the type of added value</i>		<i>Very high</i>	<i>High</i>	<i>Low</i>	<i>Very low</i>	<i>Do not know</i>	<i>No DG DEVCO support</i>	<i>No Member States support</i>	Around 2007	( )	( )	( )	( )	( )	( )	( )	—	Around 2010	( )	( )	( )	( )	( )	( )	( )	—	In 2013	( )	( )	( )	( )	( )	( )	( )	—	
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	30) In upcoming DG DEVCO support to your country, is there a need for more emphasis to be put on R&I? Why or why not? If so, how? What concrete suggestions could you make?	<table border="1"> <tr> <td style="background-color: #800040; height: 15px;"></td> </tr> <tr> <td>_____</td> </tr> </table>								_____																																											
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	31) Please indicate any other remarks or questions in the following space.	<table border="1"> <tr> <td style="background-color: #800040; height: 15px;"></td> </tr> <tr> <td>_____</td> </tr> </table>								_____																																											
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#### 4.C.11 Thank You!

Thank you for taking our survey. Your response is very important to us.

P.S.: To complement the information provided by you, we would very much appreciate if you could mail us documents that are likely to be relevant for the purpose of the evaluation and could help enriching our evidence base, such as:

- Evaluations of any support to R&I issues - these are only partially available in the Brussels database
- Reports on policy dialogue and co-ordination: e.g. Minutes of donor co-ordination and consultative meetings, minutes/reports of R&I related sector consultative or working group meetings in the focal sectors of this evaluation, joint donor statements

Any documents you might want to share can be sent to:

Michael Lieckefett, Survey Manager: michael.lieckefett@particip.de

Action: Review: Click on the link at the bottom of this page to download a PDF version of your answers:

## 5 Annex 5 – Final evaluation matrix

### EQ 1

<b><i>To what extent has EU support to R&amp;I through DEVCO been successful in promoting the overall development policy objectives of the EU?</i></b>
<b>JC 11: Link between R&amp;I activities and EU development objectives (as per European Consensus and Agenda for Change – MDGs, etc.)</b>
I-111: DEVCO-supported R&I activities explicitly linked to relevant MDGs
I-112: R&I needs feature in EU high-level development policy documents and sector policy Communications
I-113: EU participates effectively in global fora identifying R&I needs for MDGs and post-MDG era
<b>JC 12: Extent to which R&amp;I has informed sector policy dialogue and sector support at national and regional levels</b>
I-121: Design of support to the sector incorporates results and lessons learnt from R&I (same sector)
I-122: R&I results used in dialogue at national and regional levels
I-123: Results identified by R&I in a given sector used in other sectors and in support to other sectors

### EQ 2

<b><i>To what extent has DEVCO funding of R&amp;I enabled research communities in partner countries to build up and develop their own R&amp;I capacity, including the ability to actively engage in research networks (regional and international)?</i></b>
<b>JC 21: Degree of alignment and coherence of EU DEVCO support to R&amp;I with relevant policies and strategies</b>
I-211: EU DEVCO support aligned with national research priorities in partner countries
I-212: Regional and global EU DEVCO support for R&I reflects and builds on the relevant R&I strategies
I-213: EU DEVCO support for R&I in line with policy priorities set in regional and global consultative platforms.
<b>JC 22: Increased focus of EU support on ‘capacity building’ and enhancing institutional sustainability</b>
I-221: Strategic and country cooperation related documents recognise importance of adequate R&I capacity for development
I-222: Relative share in financial allocations to R&I related to capacity development
I-223: Adequate consideration of sustainability aspects (e. g. provision, maintenance and replacement of equipment) in planning and implementation of EU support
I-224: Increased capacity of research administration staff including senior scientists in administrative posts to identify and manage R&I opportunities
I-225: Existence and quality of capacity building related indicators in sector support programmes, and their achievement (e. g. related to incentives to keep and attract qualified scientific, maintenance and engineering staff)
<b>JC 23: Improved access of developing countries’ research communities to EU FP7 funding through RTD</b>
I-231: Evidence for information actions targeted to research communities in developing countries regarding FP7 proposals
I-232: Trends in number, size, geographic and thematic diversity of FP7 proposals submitted and accepted
I-233: EU R&I programmes acknowledged by partner country research institutions
<b>JC 24: Enhanced networking of developing countries’ researchers at regional and international level</b>
I-241: Share of funding for national, regional and global R&I networking activities
I-242: Increased participation of partner country R&I professionals in national, regional and global R&I policy dialogues
I-243: Evidence for South-South networks at regional level due to EU support
I-244: Number and size of joint R&I projects between partner country and European organisations
I-245: Number of jointly authored scientific papers / presentations / research papers (North-South, South-South, North-South-South) resulting from FP7 projects



**EQ 3**

***To what extent has DG DEVCO in its support to R&I used its available instruments in a way that maximizes their value?***

**JC 31: Appropriateness of the financing modalities and types of funding under different EU instruments and the way they have been applied for enhancing R&I**

I-311: Evidence for reasonable choice of financial modalities and types of funding to support R&I

I-312: Relevant research institutions (national, regional, international) apply for and benefit from opportunities for funding of R&I

I-313: Programmes supported by Sector and GBS encourage development of research capacity in tertiary and post-graduate education

**JC 32: Strategic approach adopted to choosing different possible actors / channels with whom the EU can work to support R&I and how best to support them with the instruments and modalities available**

I-321: Evidence for reasonable choice of actors and channels used to support R&I

I-322: Opportunities for supporting NGO-implemented R&I adequately exploited

I-323: Appropriateness of use of EU universities in the design and implementation of DEVCO-funded R&I projects in developing countries

I-324: Evidence that channelling funds through global institutions development research programmes (e. g. WHO, WB, IFAD, CGIAR) adequately complements other approaches to pursue DEVCO R&I priorities

**JC 33: Level of efforts taken to choose between and to combine different modalities and channels**

I-331: Appropriate rationale used in combining the use of different instruments and financing modalities and channels

I-332: Evidence for liaison with other relevant DGs and Member States to coordinate use of financial modalities and channels

I-333: Evidence of external consultation on choice of modalities and channels and of EC responsiveness to feedback received

**EQ 4**

***To what extent has EU support to R&I by DG DEVCO and by DG RTD been complementary and their collaboration promoted PCD?***

**JC 41: Extent to which DGs DEVCO and RTD have formulated clear strategies on how they should cooperate in a complementary way and how the work of other relevant EU institutions (such as the EIB) is also complementary with their own.**

I-411: DEVCO and RTD have a good understanding of their respective roles and complementarities and in relation to other EU institutional actors in this field and this is generally understood at all levels

I-412: DEVCO and RTD aware of R&I needs identified relative to achieving MDGs

I-413: DEVCO and RTD strategy documents recognise and stress needs particular to pro-poor R&I

I-414: DEVCO and RTD have a clear idea of potential areas of danger of duplication and necessary redundancy between their respective roles and of those of other relevant EU institutions

**JC 42: Degree to which DEVCO support addresses issues that could/would not have been better, or equally well, addressed through RTD and vice versa**

I-421: DEVCO and RTD have internal capacity to identify R&I needs for development

I-422: Co-ordination meetings and information sharing between DEVCO and RTD

I-423: Level of duplication identified in evaluations, etc.

**JC 43: Level at which DEVCO support has benefited from complementary action financed through RTD and vice versa**

I-431: Applied research financed by DEVCO benefits from inputs from FP7 research

I-432: Researchers in DEVCO projects and programmes participate in FP7 international networks

I-433: Researchers in FP7 research programmes collaborate with developing country research and innovation practitioners to enhance the social impact of their results

I-434: Increase in HEIs and Research Organisations participating in FPs and other international networks

**JC 44: Extent to which different mechanisms to promote PCD (ex-ante impact assessments, inter-service consultation, etc.) have been deployed and acted-upon**

I-441: Ex-ante impact assessments for R&I look at PCD and possible synergies / trade-offs between DEVCO and RTD R&I interventions

I-442: Inter-service consultations and quality support measures regularly include consideration of PCD issues

I-443: R&I results, such as pro-poor innovations, IPRs, etc. are taken into account for programming and implementation of development, agricultural, climate and trade-related co-operation
I-444: R&I counsellors in EUDs regularly interact with development co-operation staff and proactively seek opportunities for alignment and synergy between their programmes
I-445: Lessons from development co-operation inform DEVCO and RTD R&I priority-setting
I-446: Instances of incoherence identified by external stakeholders are followed up internally

## EQ 5

### *To what extent has DEVCO support led to the transfer of R&I results into processes likely to impact on the achievement of EU development objectives?*

#### **JC 51: Clear and logical thinking at sector level on how DEVCO support could ultimately lead through to research results being used in development processes**

I-511: Evidence that sector strategies are forward-looking in taking current R&I developments into account in areas where knowledge is rapidly accumulating
I-512: Existence of clear sector strategies on how national, regional and global opportunities for, and barriers to sustainable innovation (diffusion) for development will be addressed
I-513: Evidence at the sector level that the role of the private sector in the production and uptake of R&I results is adequately taken into account in R&I support

#### **JC 52: Extent of internal lessons learning, sharing and uptake in the EU Institutions within the sectors supported in partner countries, and at international level**

I-521: R&I lessons learnt in co-operation communicated between DEVCO and RTD
I-522: Evidence that major R&I results (from EU funded programmes) are communicated to DEVCO sectoral officials

#### **JC 53: Extent of external lessons learning, sharing and uptake within the sectors supported in partner countries, and at international level**

I-531: Evidence of DEVCO external networking activities aiming at promoting the uptake of results for development
I-532: Evidence of active, DEVCO supported, partner country stakeholder involvement in international research networks
I-533: Sector policy dialogues include national researchers, innovation practitioners and entrepreneurs

#### **JC 54: Development processes and outcomes have been built on or used the results of research funded by DEVCO or shared through DEVCO supported research networks**

I-541: Evidence that DEVCO supported knowledge management and communication facilitates the diffusion and uptake of research results for development in partner countries
I-542: Evidence of public sector uptake of results of R&I supported by DEVCO being reflected / taken up in sectors relevant to achieving EU development objectives
I-543: Evidence of private sector uptake of results of R&I supported by DEVCO
I-544: Evidence that EU supported R&I led to innovation of locally-owned and sustainable solutions for the poorest and most vulnerable in the society
I-545: Evidence that EU supported R&I has contributed to enhancing the research capacity of HEIs and research organisations at regional and national level
I-546: Contribution of EU supported R&I on research output of HEIs and research organisations
I-547: Evidence that EU supported R&I has contributed to relevant programme objectives and MDGs

## EQ 6

### *To what extent have the EU external relations services ensured adequate capacities to conduct policy dialogue related to R&I and to support research and innovation in partner countries?*

#### **JC 61: Extent to which EU internal capacity to manage R&I support and conduct policy dialogue is in place at the levels required**

I-611: Evidence of suitably qualified staff formally designated and actually deployed as R&I support at country, regional and HQ level
I-612: Staffing (both designated and deployed) adequate for effective policy dialogue

#### **JC 62: Extent to which R&I policy dialogue is operational at all levels**

I-621: Sector policy dialogues feature R&I at country and regional level
I-622: Sector policy dialogues include R&I stakeholders at country and regional level
I-623: Evidence that sector policy dialogues help matching country and regional needs with appropriate EU pro-

grammes for R&I support
<b>JC 63: Extent to which the EU facilitates R&amp;I activities at all levels</b>
I-631: Informing about available opportunities at country and regional level
I-632: Network activities of R&I stakeholders are operational at country and regional level
I-633: Practical support (including advice) for R&I stakeholders during the application process for and with the administration of EU R&I programmes
I-634: Practical support for R&I stakeholders in the dissemination of research results

## 6 Annex 6 – List of persons interviewed

### 6.A List of persons met and/or interviewed during the Inception and Desk Phase

Sorted by institution and last name.

<i>First name</i>	<i>Last name</i>	<i>Institution</i>	<i>Unit / Position</i>	<i>Where</i>
John	Kakule	ACP	Secretariat	Brussels
Gerard	Den Ouden	ACP S&T	Programme Management Unit/GOPA-Cartermill	Brussels
Martin	Kropff	CGIAR	Board Member	Phone/Skype
Frank	Rijsberman	CGIAR Consortium	Chief Executive Officer	Phone/Skype
Wadsworth	Jonathan	CGIAR Council Fund	Executive Secretary	Phone/Skype
Sirkka	Immonen	CGIAR IEA	Senior Evaluation Officer	Phone/Skype
Maggie	Gill	CGIAR ISPC	ISPC Chair	Phone/Skype
Peter	Gardiner	CGIAR ISPC Secretariat	Executive Director	Phone/Skype
Erwin	Bulte	CGIAR ISPC/SPIA	Research Coordinator	Phone/Skype
Collins	Doug	CGIAR ISPC/SPIA	Chair	Phone/Skype
Graham	Thiele	CGIAR/CIP	Director CG Roots, Tubers and Bananas Research Programme	Phone/Skype
Francesco	Affinito	DG DEVCO	S&T Coordinator, Economic Development Unit	Brussels
Giuseppe	Balducci	DG DEVCO	Programme Manager – Higher Education and Science & Technology, Regional Programmes Sub-Saharan Africa and ACP wide	Brussels
Etienne	Coyette	DG DEVCO	Thematic Officer - Climate Change Adaptation focal point	Phone/Skype
Bernard	Crabbe	DG DEVCO	Team Leader of the Forestry sector	Brussels
Stathis	Dalamangas	DG DEVCO	Team Leader - Water	Brussels
Nicolette	Hutter	DG DEVCO	Health sector expert	Brussels
Jennifer	Keegan-Buckley	DG DEVCO	Thematic Officer - Horizontal matters and contract management focal point	Brussels
Oscar	Mascagni	DG DEVCO	Thematic Officer - Forests conservation and biodiversity focal point	Brussels
Kevin	McCarthy	DG DEVCO	Health sector expert	Brussels
Cornelius	Oepen	DG DEVCO	Health sector expert	Brussels
Enrico	Pironio	DG DEVCO	Biodiversity	Brussels
Bernhard	Rey	DG DEVCO	Deputy Head Unit C1	Phone/Skype
David	Sanmiguel-Esteban	DG DEVCO	Thematic Officer - FLEGT - Latin America	Brussels
Aude	Sauvaget	DG DEVCO	International Relations Officer	Brussels
Walter	Seidel	DG DEVCO	Health Unit	Brussels
Sonia	Tato-Seranno	DG DEVCO	Thematic Officer - Biodiversity and Ecosystem Services	Brussels
David	Radcliffe	DG DEVCO/EFARD	Executive Secretary and Senior Policy Advisor	Brussels

<i>First name</i>	<i>Last name</i>	<i>Institution</i>	<i>Unit / Position</i>	<i>Where</i>
Angela	Liberatore	DG Research & Innovation International Cooperation	Deputy Head of Unit – EU Neighbourhood, Africa and the Gulf	Brussels
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Rosanna	D'Amario	DG RTD	Health Strategy	Brussels
Pierrick	Fillon	DG RTD	Policy Officer on science, technology and innovation cooperation with SEA	Brussels
Hans-Goert	Lutzeyer	DG RTD	Sustainable agriculture, scientific support to CAP and trade	Brussels
Luis	Samaniego Mofre	DG RTD	Policy Officer on Mexico, Central America and the Caribbean	Brussels
Marialuisa	Tamborra	DG RTD	Deputy Head of Unit - Strategy towards climate action and resource efficiency	Brussels
Ann	Uustalu	DG RTD	Public Health	Brussels
Pierre	Deusy	EEAS	Science Diplomacy, Multilateral Relations & Global Issues	Brussels
Jürgen	Anthofer	EIARD	Executive Secretary	Phone/Skype
Lourdes	Chamorro	EUD Geneva	Programme Manager - Health/WHO	Geneva
Stéphane	Hogan	EUD to the AU	R&I Counsellor	Phone/Skype
Jonas	Mugabe	FARA	PAEPARD Coordinator	Phone/Skype
Mark	Holderness	GFAR	Executive Secretary	Phone/Skype
Amine	Belhamissi	IFAD	Contract Manager EC CGIAR	Phone/Skype
Donald	Cooper	UNFCCC	Mitigation, Data and Analysis Programme	Bonn
William	Kojo Agyemang-Bonso	UNFCCC	Mitigation, Data and Analysis Programme	Bonn
Sergey	Kononov	UNFCCC	Mitigation, Data and Analysis Programme	Bonn
Xianfu	Lu	UNFCCC	Adaptation Programme	Bonn
Motsomi	Maletjane	UNFCCC	Adaptation Programme	Bonn
Katia	Simeonova	UNFCCC	Mitigation, Data and Analysis Programme	Bonn
Dechen	Tesring	UNFCCC	Finance Technology and Capacity-Building Programme	Bonn
Zafar	Mirza	WHO	Public Health, Innovation, Intellectual Property and Trade Team	Geneva
Johannes	Sommerfeld	WHO	Special Programme for Research into Tropical Diseases	Geneva
Cees	Leuwis	WUR/CGIAR	Professor of Knowledge, Technology and Innovation	Phone/Skype

## 6.B List of persons met and/or interviewed during the field phase

Every country note has its own list of persons that were met/ interviewed during the field visit to the respective countries. For these lists, please refer to the Country Notes in Volume 4.

## 7 Annex 7 – Bibliography

Additional sources used to produce Country Notes are given in Volume 4 of this report.

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- c-202550: Sustainable Product Innovation in Vietnam.Cambodia and Lao. 2009.
- c-234273: Implementation of an "Air pollution and health" observation network in Central China. 2010.
- c-263120: GetGreen VN Sustainable Living and Working in Vietnam. 2011.
- c-291241: ASAL- Agricultural Productivity Research Project (ASAL-APRP). 2012.
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- D-22456: Ethiopia Global Climate Change Alliance (GCCA-E): Building the national capacity and knowledge on climate change resilient adaptation actions. 2010.
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D-22456: Ethiopia Global Climate Change Alliance (GCCA-E): Building the national capacity and knowledge on climate change resilient adaptation actions. 2010.

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## **Evaluation Matrix – Science, Information Society and Space**

### **Evaluation Question 1**

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 c-147018: Trans-Eurasia Information Network -TEIN3. 2007.  
 c-170251: Joint Support Office for Enhancing Ukraine's Integration in EU Research Area. 2009.  
 D-21576: ACP Connect for Research and Education Networks. 2009.  
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 c-165314: SWITCH Network Facility. 2008.

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- c-202550: Sustainable Product Innovation in Vietnam.Cambodia and Lao. 2009.
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- c-217079: Recherche appliquée pour la valorisation et la transformation des ressources naturelles dans un processus de lutte contre la pauvreté au chad et Cameroun. 2009.
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- c-243963: Developing a Cluster for Clean Coal Technologies and Carbon Capture and Storage Technologies for the Indian Thermal Power Sector. 2010.
- c-254782: CELA - Network of Climate Change Technology Transfer Centres in Europe and Latin America. 2010.
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- D-21846: Innovative Approaches Towards Rehabilitating the Mau Ecosystem. 2010.
- D-22008: SWITCH-Asia, Promoting Sustainable Consumption and Production. 2010.
- D-22456: Ethiopia Global Climate Change Alliance (GCCA-E): Building the national capacity and knowledge on climate change resilient adaptation actions. 2010.
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 D-21689: Europe China Research and Advice Network. 2009.  
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- c-330204: International Fine Cocoa Innovation Centre (IFCIC). 2013.
- c-330215: One Health, One Caribbean, One Love. 2013.
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- c-330246: Strengthening capacity for participatory management of indigenous livestock to foster agricultural innovation in Eastern, Southern and Western Africa. 2013.
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**EU-Asia Link Phase III**

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- c-129036: Tackling BIOSECURITY between Europe and Asia: innovative detection, containment and control tools of Invasive Alien Species potentially affecting food production and trade. 2007.
- c-141055: Managing the Health and Reproduction of Elephant Populations in ASIA. 2007.
- c-141176: The Conversion of Local feeds into Human Food by the Ruminant. 2007.
- c-141236: Efficient Lighting Management Curricula for ASEAN (ELMCA). 2007.
- c-142966: CALIBRE: Cambodia and Laos Initiative for Building Human Resources for the Environment. 2007.
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- c-315947: Technical Assistance Service Contract for MESA project. 2013.
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- c-105100: Technology transfer and local production of high quality and affordable fixed dose anti-retroviral drugs. 2006.
- c-105398: THEME II/Support to the Malaria Control Programme in Chókwè Region. 2007.
- c-147790: Drug Resistance Surveillance and Treatment Monitoring Network for the Public Sector HIV Antiretroviral Treatment Programme in the Free State. 2007.
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**Promoting research for improved community access to health interventions in Africa**

- European Commission (2010): The EU's Role in Global Health. COM(2010) 128.
- c-253959: Promoting research for improved community access to health interventions in Africa. 2010.
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c-152738: Electric Motor Systems Energy-Saving Challenge – Improving the Operating Efficiency of Chinese Electric Motor Systems. 2008.

c-171201: Mainstreaming Energy Efficiency Through Business Innovation Support Vietnam (MEET-BIS Vietnam). 2008.

c-202550: Sustainable Product Innovation in Vietnam, Cambodia and Lao. 2009.

c-223441: Creating Green Philippines Islands of Sustainability. 2009.

c-262965: Low Energy Housing in Sichuan and Shenzhen, China - Enable and enforce energy efficient building construction. 2011.

c-263160: Sustainable production through market penetration of closed loop technologies in the metal finishing industry (ACIDLOOP). 2011.

c-291458: Promotion and deployment of energy efficient air conditioners in ASEAN. 2012.

c-334148: Increasing the Uptake of High Efficiency Motors (HEMs) and Drive Systems in Philippine Industries. 2013.

D-19266: SWITCH-Asia, Promoting Sustainable Consumption and Production. 2007.

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c-261086: "Network for Knowledge Transfer on Sustainable Agricultural Technologies and Improved Market Linkages in South and South East Asia" (SATNET ASIA). 2011.

c-261122: Agriculture and Nutrition Extension Project (ANE). 2011.

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Global Forum on Agriculture Research (2013): Medium Term Plan 2013.

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Annual Action Programme GFAR 2013.

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c-287315: Smallholder Innovation for Resilience: strengthening Innovation Systems for Food security in the face of climate change. 2012.

c-290635: Improving the livelihoods of small holder cassava farmers through better access to growth markets (CassavaGmarkets). 2012.

c-304690: Increasing yields of Millet and Sorghum by a new and sustainable seed technology developed in Sahel. 2012.

c-304801: Sustaining and Enhancing the Momentum for Innovation and Learning around the System of Rice Intensification (SRI) in the Lower Mekong River Basin. 2012.

c-304807: Supporting smallholder farmers in Southern Africa to better manage climate related risks to crop production and post-harvesting handling. 2012.

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c-147018: Trans-Eurasia Information Network -TEIN3. 2007.

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D-21576: ACP Connect for Research and Education Networks. 2009.

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D-23958: Improving access to medicines in developing countries through pharmaceutical-related technology transfer and local production. 2008.

D-24004: Promoting research for improved community access to health interventions in Africa. 2010.

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## 8 Methodology

This annex presents additional details – in the form of summary tables - on the methodology outlined in Section 2 of Volume 1.

### 8.A Selection of country, regions and interventions

The portfolio of R&I interventions was first sampled along geographic levels (national, regional and global). Within each level, specific interventions were then chosen to represent a sufficient variety of types of support, contractors and programmatic approaches.

#### 8.A.1 Country selection

The country selection took place in three steps. First, a list of criteria was developed to pre-select a 'broad' sample of 38 countries (see details in Box 4 below), for which a 'light' (preliminary) analysis conducted at the beginning of the Desk Phase along the following lines:

- Identification of R&I-specific evidence in Country Strategy or Regional Strategy Papers (CSPs and RSPs) and Country Strategy Evaluations (CSEs);
- Light screening of contracts in the inventory (including their financial volume);
- Collecting information about countries' participation in regional EU support to R&I;
- Assessment of the availability of relevant documents.

These 38 countries also represent the set of countries contacted for participation in the online survey to EU Delegations (see details on the survey approach in Annex 4).

*Box 4: Selection of the broad country sample*

The choice of selection criteria for the 'broad' sample of 38 countries was driven by the Evaluation Questions, the availability of data and the objective of reducing the complexity of the selection procedure to a reasonable extent. The selection took place in three steps. First, a set of 'hard' (measurable) criteria was proposed to obtain a preliminary sample of countries. Subsequently, the representativeness of the resulting sample additional key dimensions was assessed. Finally, 'soft' factors were taken into account to discuss and adjust the final country selection together with the Reference Group.

'Hard' criteria for the selection of individual countries:

1. *Total commitments:* Country share in total DEVCO commitments for R&I (by sector);
2. *Per-capita commitments:* DEVCO commitments for R&I *per capita* for the country (by sector);
3. *S&T Agreements:* Country has signed a bilateral (S&T) Agreement with the EU;
4. *Sector Budget Support:* Country has received Sector Budget Support in any of the thematic sectors;
5. *Regional HQ/programmes:* Country hosts HQs of major regional R&I organisations/programmes (by sector)

Verification of overall sample 'balance' in additional key dimensions:

1. *Contractor channels:* The relative shares of the contractor types for the selected country sample should be broadly similar to those in the set of all 82 countries;
2. *Regional coverage:* The selected country sample should adequately cover all regions (ACP, Asia, ENP, Latin America);
3. *National income levels:* The selected country sample should adequately cover different national income levels.

'Soft' country factors and discussion with Reference Group:

Additional factors such as existing DEVCO strategies, forward-looking components and particularities of specific countries were considered and discussed with the RG.

Subsequently, out of these 38 countries, a 'small' sample of 19 countries was selected for in-depth desk analysis based on the previous criteria (that is, by prioritising countries that mention R&I in their CSPs/CSEs, received high amounts of country-level funding, serve as hubs for regional support and/or for which good documentation was available) and in discussion with the Reference Group. The evaluation team developed preliminary country profiles (not included in this report) as a basis for the final selection of field mission countries.

Finally, the ten countries to be visited in the Field Phase were chosen at the end of the Desk Phase in consultation with the Reference Group: Burkina Faso, Ethiopia, India, Kenya, Mauritius, Peru, South Africa, Tunisia, Ukraine and Vietnam. After the field missions, the preliminary profiles of these ten countries were elaborated as detailed Country Notes presented in Volume 4, each including at the end a collection of evidence structured by judgement criteria.

The following table shows how the country selection was gradually narrowed down from initially 38 to the ten countries visited in the Field Phase.

Table 44: Country selection in three stages

<i>Broad sample of 38 countries for 'light' desk analysis (and EUD survey)</i>	<i>Small sample of 19 countries for in-depth desk analysis</i>	<i>10 countries selected for field missions (country case studies)</i>
Afghanistan		
Algeria		
Bangladesh		
Benin		
Bhutan		
<b>Burkina Faso</b>	•	•
Cambodia		
Chile	•	
China	•	
Congo, DR	•	
Egypt	•	
<b>Ethiopia</b>	•	•
Fiji		
Ghana		
<b>India</b>	•	•
Jamaica	•	
Jordan		
<b>Kenya</b>	•	•
<b>Mauritius</b>	•	•
Mexico		
Morocco		
Mozambique	•	
Namibia		
Papua New Guinea		
<b>Peru</b>	•	•
Philippines	•	
Senegal		
Sierra Leone		
<b>South Africa</b>	•	•
Tanzania	•	
Thailand		
Trinidad and Tobago		
<b>Tunisia</b>	•	•
Uganda		
<b>Ukraine</b>	•	•
Uruguay	•	
<b>Vietnam</b>	•	•
Zimbabwe		

### 8.A.2 Case Studies at regional and global level

The regional and global level of R&I support has been mainly covered through the selection of Case Studies in Annex 3. They provided a useful way of looking at the material evaluated in a more 'programmatic' way that examines cross-sections of activities according to their implementation channels, the different ways they are 'packaged' by the EU to follow a certain strategic logic or for external communication purposes. These studies cover specific major programmes or dialogue processes.

At the regional level, the numbers of programmes contractors was relatively large. A first list of 'candidate' interventions was prepared in the Inception Phase, aiming to achieve balance across regions (relative to their different weights in the inventory), implementation channels and to include programmes of large size. The list was then reduced to 13 regional case studies and was validated by the Reference Group. At the global level, the number of programmes and contractors was more limited. Seven of the major global programmes and contractors were selected as Case Studies, chosen by

simply looking at all the global programmes individually and considering their specific nature and role. The following table shows the sector and geographic coverage of all Case Studies.

Table 45: Sector and geographic coverage of Case Studies

Subject of Case Study	Sector Coverage					Regional coverage			
	FSNA	Health	EnvCC	SISS	HE	ACP	Asia	ENP	LatAm
<b>Regional Case Studies</b>									
@lis2 (Alliance for the Information Society Phase II) & ALICE2 (Latin America Interconnected with Europe 2)				•					•
ACP Science and Technology Programme	•	•	•	•		•			
ACP Sugar Research Programme	•					•			
Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA)	•					•			
EU-Asia Link Phase III	•	•	•	•	•		•		
Intra-ACP Energy Facility			•			•			
Joint Africa-EU Strategy (JAES) 8th Partnership	•		•	•		•		•	
Monitoring for the Environment and Security in Africa (MESA)			•	•		•			
(Annual Work Plan for) Poverty-related Diseases 2006		•				•			
Promoting Research for Improved Community Access to Health Interventions in Africa		•				•			
Strengthening Pro-poor Agricultural Innovation for Food Security in the Andean Region (IssAndes)	•								•
SWITCH-Asia			•				•		
Technology Transfer for Food Security in Asia	•						•		
<b>Global Case Studies</b>									
CGIAR	•					•	•	•	•
Clean Coal Technologies (CCT) and Carbon Capture & Storage (CCS)			•			•	•	•	•
Global Climate Change Alliance (GCCA)			•			•	•	•	•
Global Forum on Agricultural Research (GFAR)	•					•	•	•	•
Global Programme on Agricultural Research for Development (GPARD)	•					•	•	•	•
Higher Education					•	•	•	•	•
World Health Organisation (WHO)		•				•	•	•	•

## 8.B Analytical tools used in the evaluation

The analysis tools used for the evaluation are summarised in the following table.

Table 46: Overview of analytical tools

Tool	Description/specific activities
Interviews (both semi-structured and unstructured; individual or in group/as focus group discussion)	A round of interviews was held with relevant EC staff and a number of beneficiary international organisations based in Europe, in many cases face-to-face (e.g. in Brussels, Bonn, Geneva), but also by phone/Skype. In addition, numerous interviews were held during the field visits. Besides a large number of individual interviews, some group interviews/focus group discussions were carried out in the Desk and Field Phase. The complete list of persons interviewed can be found in Annex 6 and the Country Notes are included in Volume 4.
Analysis of strategy and programming documents	Analysis of documents in relation to a number of indicators as defined in the EQs, e.g.: <ul style="list-style-type: none"> <li>• EU Communications and Strategic Papers;</li> <li>• Regional and Country Strategy Papers (RSPs, CSPs);</li> <li>• National and Multi-annual Indicative Programmes (NIPs, MIPs).</li> </ul>
Analysis of management documents and evalua-	Analysis of documents in relation to a number of indicators as defined in the EQs, e.g.: <ul style="list-style-type: none"> <li>• External Assistance Management Reports (EAMRs);</li> </ul>

<i>Tool</i>	<i>Description/specific activities</i>
tions	<ul style="list-style-type: none"> <li>• FP7 Science and Technology (S&amp;T) country reviews;</li> <li>• Regional, Country Strategy and Budget Support Evaluations (RSEs, CSEs, BSEs);</li> <li>• Thematic evaluations.</li> </ul>
Analysis of intervention-level documents obtained from CRIS	<p>Download of documents from CRIS for selected contracts and decisions and analysis in relation to a number of Indicators as defined in the EQs. Documents include:</p> <ul style="list-style-type: none"> <li>• Result-oriented Monitoring (ROM) reports;</li> <li>• Progress, Interim and Final Reports;</li> <li>• Mid-Term Reviews and Evaluations, etc.;</li> <li>• Project descriptions;</li> <li>• Action Fiches;</li> <li>• Financing Agreements, etc.</li> </ul>
Analysis of statistical data	<p>Analysis of quantitative data include, for example:</p> <ul style="list-style-type: none"> <li>• Quantitative analysis of the inventory (see Annex 2);</li> <li>• Statistics produced by DG RTD and international organisations;</li> <li>• Beneficiary statistics from the EACEA.</li> </ul>
Websites	Screening of websites of DEVCO-supported organisations, programmes and projects-
Online survey to EU Delegations	See Annex 4 for details.
Country visits	As explained in the previous section, the evaluation team conducted field visits to ten selected were conducted.