



Partnerships Strategy & Guidelines 2008



World Agroforestry Centre
TRANSFORMING LIVES AND LANDSCAPES

Partnerships
Strategy & Guidelines
2008

Front Cover:

Dr Dennis P Garrity, Director General, World Agroforestry Centre (left)
and Prof. Silas Lwakabamba, Rector, National University of Rwanda after signing an MoU

Back Cover:

Dr Kenji Iiyama, President, Japan International Research Centre for Agricultural Sciences
(second left) during a visit to World Agroforestry Centre

Section A

PARTNERSHIP STRATEGY

1. Background	1
2. Why we need partnerships: an historical perspective.....	2
3. Goal and Strategic Objectives.....	5
4. Partnership categories	7
5. Operationalizing the Partnership Strategy	8
6. Enduring Partnership.....	9

Section B

PARTNERSHIP GUIDELINES

Acronyms	11
1. Objective	11
2. Scope	12
3.Types and Duration of Partnerships	13
4. Guiding Principles	15
5. Management of Partnerships	17

Annexes

Annex 1. Important elements to be included into agreements	22
Annex 2. Memorandum of Understanding template.....	23
Annex 3. Form for assessing the state of a partnership.....	33
Annex 4. Partner assessment criteria.....	34

Tables

Table 1	Strategic partnership examples	14
Table 2	Roles and responsibilities of the Partnerships Directorate vis-à-vis those of scientists, GRPLs and Regional Coordinators, and Country representatives and Senior Leadership Team (SLT)	18

Section A

PARTNERSHIP STRATEGY

1. Background

The World Agroforestry Centre's mission is to generate science-based knowledge about the diverse roles trees play in agricultural landscapes and to use its research to advance policies and practices to benefit the poor and the environment.

The Centre's niche lies in conducting research on key questions related to agroforestry and how it can contribute to poverty alleviation and environmental sustainability. Its other roles include

- Facilitating conceptual frameworks and research principles for agroforestry as a viable land use system;
- Collating, systematizing and sharing agroforestry knowledge for development;
- Strengthening the capacity for agroforestry research and education for development; and
- Facilitating in the formation of communities of practice in agroforestry.

As an emergent inter- and multi-disciplinary area of science and technology, agroforestry cuts across traditional institutional structures and policies on sectors such as agriculture, forestry, energy, water, environment (including climate change) and land management. The contribution of agroforestry to productive and ecologically sustainable landscapes is envisioned, but the pathways to achieve this vision cannot be over simplified.

The breadth of agroforestry research and development is beyond the capacity of a single institution to manage. A constellation of institutions including public, private and international and national organizations continue to contribute to a body of science and practice in agroforestry. It is imperative to improve collaboration and synergy among the different players and stakeholders. For

this reason, the Centre engages with a wide range of institutions and individuals in a variety of partnership arrangements. For the World Agroforestry Centre (ICRAF) Partnering is a cornerstone of the overall institutional planning and operation; from development and implementation of programmes to capacity strengthening. Throughout its history, ICRAF has pursued all of its research and development work with partners.

In order to leverage requisite expertise to deepen and extend agroforestry science for development, partnership management at the Centre has been given a new prominence that seeks to learn from lessons of the past 30 years. Our partnerships are based on a clear recognition of the value-added in sharing strengths with other institutions to achieve specific outcomes that will benefit agroforestry development. The selection of partners is based on inter alia, the convergence of missions, interests and agenda in specific programme areas and geographic regions.

2. Why we need partnerships: an historical perspective

At its inception in 1978, ICRAF was visualized as a “Council” on agroforestry research. Using that mandate, it brought together a wide range of players, mostly research institutes and universities, to conceptualize and conduct research in agroforestry and to share their experiences. In 1986, ICRAF helped establish the AgroForestry Research Networks for Africa (AFRENAs) which served as platforms for inter-institutional debates, agreement and implementation of research on tree-crop-livestock interactions and their effects on productivity, livelihoods and agricultural sustainability. Four networks were established, covering Eastern and Central Africa, Southern Africa, Humid lowland of West Africa and the Sahel sub-regions. They represented an intensive integration of research agenda of NARS and that of ICRAF to form one continuum of research commitment that applied common research methods and tools to generate agroforestry science and innovations.

By 1991, agroforestry was growing into a larger body of knowledge that required greater global attention. ICRAF joined the Consultative Group on International

Agricultural Research centres (CGIAR) as a member. The rising knowledge products triggered the establishment of agroforestry education networks in 1993 (The African Network for Agriculture, Agroforestry and Natural Resources Education (ANAFE), and its Southeast Asian counterpart – Southeast Asian Network for Agroforestry Education (SEANAFE) in 1998. These two networks have helped to spearhead the development of agroforestry as part of or separate education programmes at colleges and universities. This has resulted in better integration and collaboration among academic programmes, and helped to expand the overall vision, purpose and approaches to agriculture and natural resources education.

By 2000, the cumulative research results in Africa, Asia and Latin America pointed to the huge potential of agroforestry as an alternative land use system. Simultaneously, agroforestry was gaining ground as many institutions either incorporated it in their agenda or established new programmes in research, education or development.

Global realization of the potential of agroforestry has attracted more institutions to link and work with ICRAF. This has ushered in a wide diversity of partners in areas such as water, tree product processing, marketing, climate change (adaptation and mitigation), environment, biodiversity and bio-energy. These add to partners that work with us on capacity building, training and dissemination. The number of partners has grown exponentially, and with it, the complex challenges of managing relationships, agreements and synthesis of joint work.

In 2006, ICRAF carried out an evaluation of the status of its partnerships. The results showed the need for better management of partnerships in general. Although the diversity of partners enabled greater access to a wide range of skills and outputs (including novel methods to integrated research, development and capacity building), the study unveiled some concerns regarding our capacity to manage partnerships for best results. These included

- a. Unclear structure (typology/nomenclature) and hierarchy of partnership agreements
- b. Varied and inconsistent structure and content of agreements made with partners
- c. Inadequate due diligence prior to signing of MoUs, e.g. a lack on legal scrutiny;

- d. Slack management and monitoring of agreements, for example
 - o Weak and incomplete records on partnerships
 - o Expiration of some partnerships went unnoticed
 - o Staff turn over at ICRAF or partner institutions without proper handing over of partnership responsibilities
 - o Organizational changes that switched roles of staff mid-course in implementation of MoUs
 - o Termination of partnerships without consulting the concerned parties despite set out procedures in MoUs;
- e. Programmatic fragmentation resulting in duplication of effort, application of different methodologies and independent publishing joint research results;
- f. Weak sharing of knowledge internally, resulting in same partners being approached by different scientists from ICRAF without proper coordination;
- g. Capacity of partner organizations often not fully mobilized to the best advantage;
- h. Inadequate attention to select partners who could add value (e.g. broadening or deepening of agroforestry science and practice); and
- i. Insufficient attention to legal aspects in partnership agreements, which could result in paid risks.

On the basis of these findings, ICRAF in 2008 established a 'Partnerships Directorate' to help systematize, streamline and improve effectiveness, efficiency and coordination. The office would also off-load from scientists and Senior Leadership some of the process-related tasks of forming and managing partnership agreements and implementation. Guided by the overall institutional strategy (see www.worldagroforestry.org/), the Partnerships Directorate has developed this approach to partnerships management in a participatory manner, in consultation with ICRAF staff, some current partners and by building on the lessons from the past experiences. This strategy makes partnering a part and parcel of ICRAF's structure and way of doing business. This is consistent with current CGIAR thinking which suggests that partnering is a necessity rather than 'an optional extra' engagement.

3. Goal and Strategic Objectives

Through partners, ICRAF intends to implement a substantial proportion of its research and development agenda, using mechanisms that will reinforce synergy, utilization of comparative advantages, complementarity and coordination. Partners will participate in setting the collaborative agroforestry agenda, planning, resource mobilization, implementation, publishing and disseminating research results. A fair sharing of resources, workload and attribution of credit will be observed at all stages. In such collaborative work, ICRAF and its partners will seek to achieve a good balance of international, regional and national public goods. The overall goal of strengthening partnerships is “An effective and expanded network of stakeholder institutions working synergistically to advance agroforestry science and practice”.

Effective implementation of this partnership strategy will enable us

- Achieve critical mass in relevant areas where the agroforestry agenda can contribute to food security, poverty alleviation and environmental sustainability;
- Improve the relevance of our research and development activities and strategies
- Complete the chain from analysis of research needs through technology development, testing, adoption and implementation of innovations; with effective links to scaling up systems and organizations that can help to leverage impact;
- Incorporate the active participation of local institutions in advancing natural resource management science and practice, thereby incorporating indigenous knowledge and expertise into our work;
- Contribute to policy and institutional transformations as appropriate to create conditions and practices that transform livelihoods and landscapes;
- Achieve mutually beneficial alignment of our research with partner research agenda; and
- Attain a meaningful division of labour among different players in the research-development continuum.

Our knowledge-to-action framework recognizes the complexity of pathways for agroforestry and takes into account various types of knowledge (local, public policy, academic) thereby enabling salience, credibility and legitimacy for both developers and users of science and innovations at different scales.

The genesis of agroforestry can be found in indigenous communities, so our capture of best practices begins with accumulation and systematization of such knowledge. For this, a broad based inter-institutional collaboration is imperative.

The objectives of partnering are therefore to

- 3.1 Bring together and organize a critical mass of relevant disciplines and resources to understand and design effective agroforestry strategies, programmes and activities;
- 3.2 Complete the adaptive cycle from analysis of research needs to technology development, testing, adoption, implementation and assessment of agroforestry innovations that can be globally applied;
- 3.3 Build synergy and tap into opportunities provided by institutions and organizations with knowledge, experience, mandates and resources that complement those of the Centre;
- 3.4 Promote local participation in advancing agroforestry science and practice, thereby incorporating indigenous knowledge and expertise into our work;
- 3.5 Assure the long-term sustainability of efforts to scale up/out agroforestry as a science and a practice in integrated natural resource management. This includes leveraging innovations in science (methodologies, tools for progressive understanding of global problems impacting the poor) for increased uptake by farmers, policy makers and the private sector through our knowledge-to-action framework;
- 3.6 Promote institutional and policy changes at different scales (global to local) as appropriate to embrace agroforestry; and
- 3.7 Apply due diligence so as to protect The World Agroforestry Centre from entering into risky agreements.

4. Partnership categories

Without trying to be exhaustive in developing a typology of partners, we will recognize the following five functional categories of partners (box 1):

Box 1. Partner categories by function

- i. Research partners who generate knowledge and innovations;
- ii. Out- and up-scaling partners who collate and translate knowledge-to-action; for impact;
- iii. Capacity development, information sharing and education partners;
- iv. Policy link and facilitative partners; and
- v. Investors - normally national governments and donors

A partner may belong to two or more functional categories. It is the Centre's policy to manage its relationships with all partners with transparency, efficiency, fairness, equality and respect. Our relationships with partners include activities such as agenda setting, proposal development, co-financing, capacity enhancement, joint project management, methods and tools development, quality management, data sharing, joint data analysis, joint IPG generation, local application of knowledge, policy negotiations and follow through and joint impact analysis. Details on principles and activities are captured into memoranda of understanding or letters of agreement, where the complementary responsibilities are clearly indicated.

ICRAF fully recognizes the value of enhancing scientist to scientist collaboration across CGIAR centres and with other organizations. This may not necessarily be formalized through memoranda of understanding, but where necessary, letters of agreement may be exchanged between scientists, with copies deposited with the Partnership Directorate.

5. Operationalizing the Partnership Strategy

The Partnerships Directorate will guide and strengthen the establishment, management, monitoring and evaluation of partnerships at all scales. With a focus on improving expertise, effectiveness and efficiency. It will catalyse capacity building and mentoring for the Centre's as well as partner scientists and institutions. However, it is the duty and responsibility of all staff to articulate a partnering approach into their work and to nurture a partnership culture. Details on the responsibilities of staff and various organs are provided in section 2 of this document – Partnership Guidelines. The Partnerships Directorate will

- Refresh the strategy and guidelines on partnership as appropriate;
- Review and renew arrangements and memoranda of understanding with key partners;
- Establish Mechanisms for ICRAF's engagement with key regional and international organizations;
- Continuously monitor and evaluate partnerships management;
- Build capacity and mentor ICRAF staff on partnering;
- Develop and maintain a partnerships database at headquarters and in the regions;
- Synthesise and share as appropriate reports, lessons learnt, achievements, challenges and best practices; and
- Position ICRAF as a partner of choice in the areas of Agroforestry, natural resources management, land regeneration, climate change and environment.

The activities of the Partnerships Directorate are logically linked and coordinated to synergize with actions of the Senior Leadership Team, Regional Coordinators and Global Research Project Leaders as well the Proposals Development Team and the Contract and Grants Office. Collaboration and coordination within ICRAF is considered to be an imperative for better management of our external partnerships. Managing partnerships is also intimately linked to our communication strategy, and is a significant component of our knowledge-to-action framework.

ICRAF recognizes the transaction costs involved in the development and management of partnerships. These will be indicated in specific agreements/MoUs as appropriate. In principle, all costs will be shared except where it is indicated differently in a project, an agreement or an exchange of letters.

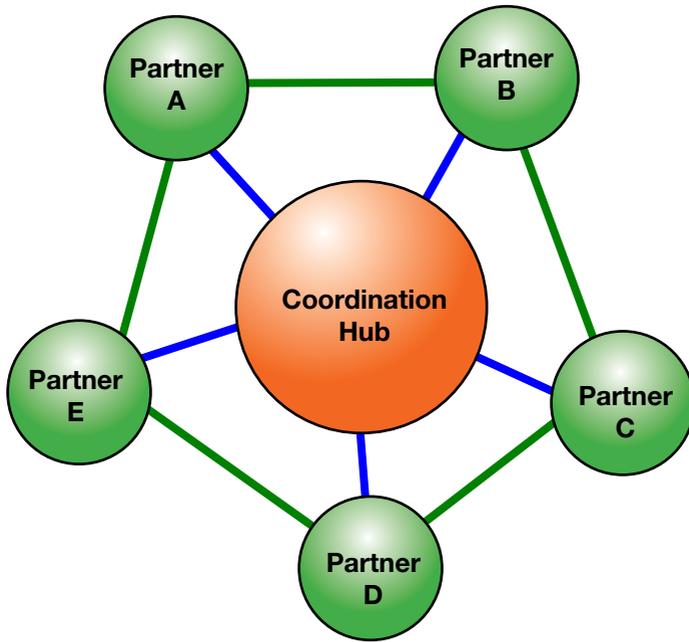
6. Enduring Partnership

Deliberate efforts must be made to ensure that partnerships are anchored in ICRAF's core values of professionalism, mutual respect and creativity. This way they are likely to be effective and sustainable. The following actions will ensure that partnerships are appreciated by all parties:

Twelve features of enduring partnerships

1. Make sure there is full participation of all parties in initiating and managing the partnership. Entry and exiting partnerships must be voluntary
2. Make sure that the articles of the partnership are easy to implement
3. Minimize the transaction costs – invest more in mutual trust. For example, emphasize functionality and pragmatism (flexibility) rather than process and structure
4. Respect the diversity of ideas, corporate culture, processes etc.
5. Focus on the big picture (the problem you are jointly solving) and do not be detracted by minor events
6. make sure that the agenda is realistic and achievable
7. Maintain regular communication
8. Utilize the best talents available among partners, while recognizing and cherishing interdependency
9. Pay special attention to the quality of relationships with partners, especially equity
10. Anchor the partnership on systems not individuals
11. Celebrate and share successes!
12. Make sure that partnering is great fun! Include social events in activities.

In multiple partnerships with a common agenda the operational mode is very much like a network. There is a need for a communication hub to coordinate actions and maintain momentum. Efforts are needed to also maintain links among the partners. The figure below shows the communication pathways in a working partnership.



Communication system in a multiple partner situation

Section B

PARTNERSHIP GUIDELINES

Acronyms

AF	Agroforestry
BoT	Board of Trustees
GRPs	Global Research Projects/Priorities
GRPLs	Global Research Project Leaders
IPR	Intellectual Property Rights
MoU	Memorandum of Understanding
M&E	Monitoring and Evaluation
PD	Partnerships Directorate
PoWB	Programme of Work and Budget
R&D	Research and Development
RCs	Regional Coordinators
SLT	Senior Leadership Team

1. Objective

These guidelines are intended to assist ICRAF staff and partners better define the bases for strategic engagement. They build on previous experiences and emphasize the need for a more proactive approach to partnership management. They encourage staff to embrace and institutionalize partnering in their plans, programmes and projects. Most importantly they are expected to instil a positive attitude towards partnering. The guidelines should be read together with the Centre's Strategy on Partnerships (Part 1 of this document).

2. Scope

We have a strong tradition of partnering with universities, advanced research institutions, national agricultural research organizations, government and non-government agencies in the fields of agriculture, forestry, environment, conservation and climate change. Private sector partnerships are also emerging. Investors who support our work in these areas are also considered as partners.

We distinguish five functional categories of partners:

1. Research partners are those organizations working with us to develop tree and agroforestry science and innovations;
2. Up- and out-scaling partners are institutions or organizations working with us to leverage the use and impact of agroforestry innovations for adoption by users such as other researchers, farmers, decision makers and shapers;
3. Capacity development, knowledge sharing and education partners are institutions, networks or organizations that are largely working with us to strengthen capacity for agroforestry science, innovations and practice;
4. Policy link and facilitative partners are organizations (global, regional or national) that influence or decide on policy and broad-based operational mechanisms and directions; and
5. Investors - normally national governments, private sector and donors providing resources for investment in agroforestry.

Some partners carry out more than one of the above functions. Partners may also be recognized by the specific scientific areas of interest. Thus we have partners that relate to all of our global research priorities on germplasm, domestication, on-farm productivity, land regeneration, climate change, environmental services, and policies and governance of natural resources.

3. Types and Duration of Partnerships

As characterized in Table 1, some partnerships are inevitably of a permanent nature, while others are of short duration, with time-bound outputs and outcomes.

Long-term/strategic partnerships – These are underpinned by common interest in the overall goals of poverty alleviation, food security, and environmental sustainability and other transformative processes and actions, and they bolster the contribution of agroforestry to these goals. The Partnership is formalized through a Memorandum of Understanding; signed by the ICRAF Director General or her/his designate.

A strategic partnership is based on clear recognition of the long term benefits and value-added in working jointly with a partner to achieve specific outcomes that benefit from our complementary and ancillary strengths. Such partnerships require adherence to fundamental principles of equality, single-mindedness of purpose and clear division of roles and responsibilities bearing in mind the comparative advantages of the partners involved.

Project-based partnership – Defined by a joint project where the roles of each partner are explicitly described. The partnership expires on completion of the project. Partnership is formalised through a MoU or a Letter of Agreement, signed by the DG or his/her designate. Financial responsibilities and intellectual property rights issues are usually clearly spelled out in the agreement document¹. In this form of partnership it is important to involve the projects and grants office as well as the Resource Mobilization unit. This is because it is necessary to map out responsibilities and timing of each project deliverable.

1 Important Notes:

- Details of the Centre's Intellectual Property Rights policy are available as a separate document and on the intranet.
- Project-based partnership will have to go through the Contracts and Grants office, Resource Mobilization, Finance and the Senior Leadership Team for approval of agreements.

Table 1 – Strategic partnership examples

Types of institution	Examples of organizations	Objectives (AF=agroforestry)
Global policy and trend setting bodies, and Secretariats of Agreements, Conventions and Protocols	UNEP, FAO, UNFF, UNESCO, GEF, WFP, UNFCCC, UNCCD, ITTO, WB, CI	<ul style="list-style-type: none"> To interpret global policies in relation to AF developments and our mission To incorporate AF in global agenda as appropriate To spot opportunities for support to AF and our mission and objectives
Regional and sub-regional political and economic bodies	AU Commission, NEPAD, ASEAN, AfDB, ADB, SADC, ECOWAS, FARA, ASARECA, CORAF, SADC/FARN	<ul style="list-style-type: none"> To incorporate AF in the regional agenda as appropriate To ensure political support for AF and R&D To secure links to specific collaborators
Research institutions, universities and their networks	All NARIs in countries where ICRAF has presence, ANAFE, SAAN, SEANAFE, RU-FORUM, AFORNET, AFF	<ul style="list-style-type: none"> To collaborate and expand the AF research, education and development agenda To provide access to scientists To build capacity for AF R&D and Education
Investing partners	All donors supporting AF Research and Development	<ul style="list-style-type: none"> To provide funds for agroforestry activities
Government and non-government development agencies including private sector	WVI, IFAD, UNDP, VI, Millenium Villages	<ul style="list-style-type: none"> To secure links with farmers To capture AF development challenges and needs To enable the integration of indigenous knowledge in research To drive AF adoption and adaptation

In such partnerships it is necessary to plan for and implement a monitoring and evaluation mechanism. Regular partner meetings to review progress are imperative.

Scientist-to-Scientist partnership – This usually takes the form of communities

of practice where scientists identify and work with their peers. The Centre encourages individual working relationships among scientists, which can serve as a good antecedent for strengthening institutional level partnerships. The purpose is largely mutual scientific reinforcement and tapping comparative advantages. IPR issues are usually not considered. The involved persons may formalize their collaboration through exchange of letters of agreement (LoA), with copies to their institutions. A copy should be deposited with the Partnerships Directorate.

There is a wide range of relationships including student supervision, mentorship, networking, consortia and dissemination/public awareness groups. These shall not be deemed to be binding partnerships; even if they can last beyond a specific activity.

Internal collaboration among ICRAF staff members, irrespective of the regions or GRP they are linked to shall not be considered as partnerships. Such arrangements are essential and are encouraged to improve internal synergy and coherence.

There are different ways of looking at partnerships, but their typology is not the focus of these guidelines. Rather, the focus is on practical arrangements to engage in, manage and sustain productive partnerships.

4. Guiding Principles

Formalising partnership arrangements is an important step towards functioning and enduring relationships. The following guiding principles apply to partnerships from the institutional to project and individual scientist levels.

Strategic partnerships at the project or institutional level are guided by the following characteristics;

- 4.1. Context: a full understanding of the social and political environments (especially policies) that determine the mandate of and influence how the partners work;

- 4.2. Common vision and planning: desired outcomes need to align with strategic priorities set by the Centre as well as those of the partner to ensure mutual benefits. The range of joint activities includes joint planning and implementation, sharing and/or exchange of staff (including secondments), raising and sharing of resources (finance, infrastructure, equipment), and learning together;
- 4.3. Sustainability of the outcomes: Mechanisms for monitoring the outputs and follow through to outcomes and impact; clarity on what mechanisms are in place so that outcomes will be sustained once the partnership comes to an end;
- 4.4. Niche/complementarity: Efficiency through the allocation of tasks so that each partner's comparative advantage is utilized;
- 4.5. Shared responsibility: each partner's roles and responsibilities should be clearly delineated over time. This includes agreement on the timeframe during which the partnership is operational and a clear exit strategy, especially for project-based partnerships;
- 4.6. Intellectual Property Rights (IPR) A clear understanding of ownership of knowledge and data: partners must ensure IPR arising from joint work are discussed and agreed in advance;
- 4.7. Transparency of financial arrangements: a true partnership calls for openness and negotiation with regard to how financial resources are allocated and used, Efforts should be made to minimize transaction costs;
- 4.8. Monitoring and evaluation of partnership: this needs to be conducted a various stages: for example, M&E could be conducted through focus group discussions with key members present;
- 4.9. Core Values: Irrespective of the partners' institutional size, history or division of labour within the collaborative project, the Centre emphasizes its staff values of professionalism, creativity and mutual respect in all dealings with partners. This includes genuine respect for all those with whom we work, irrespective of nationality, gender, religion, age, profession or seniority. It also includes the acknowledgement and attribution of credit for work done and the achievements of our partners.

5. Management of Partnerships

5.1 Roles and Responsibilities

This section includes roles and responsibilities of staff, global research projects, regions, units and the Partnerships Directorate. Table 2 provides an example of the roles and responsibilities of ICRAF staff at different levels. It is not an exhaustive list.

The idea to form a partnership can be initiated by any staff member, Region, GRP, Board or the potential partner. The Partnerships Directorate will assist in managing the process. The final decision to formalize an agreement will be made by the Senior Leadership Team. The functions of the Partnerships Directorate are elaborated in the Partnerships strategy and further elaborated here.

5.2 Formalization of Agreements

(Elaborated in Annexes 1 and 2)

Formalize strategic partnerships through documents such as Memoranda of Understanding (MoU) or Letters of Agreement (LoA). MoUs and LoAs can only be signed by the Director General or her/his designate. The Director General's office will maintain a copy of each MoU or LoA signed for and on behalf of The World Agroforestry Centre. The agreements can be in two main categories:

- Umbrella or general agreements: They describe general areas of collaboration. There are usually no funds connected to such agreements. (template and aspects of MoU enclosed as Annex 2); and
- A specific agreement with regard to implementation of a programme or project: In such agreements all financial aspects are included, usually as an annex or by reference to a specific document which exists. In such agreement must include the time allocation for the partnership, the transactions costs, roles and responsibilities, compatibility or compliance with the guidelines, research ethics, local or traditional knowledge and observance of international and local laws especially regarding experimental materials and legal limits.

Table 2 Roles and responsibilities of the Partnerships Directorate vis-à-vis those of scientists, GRPLs and Regional Coordinators, and Country representatives and Senior Leadership Team (SLT)

WHO	WHAT	Establishment and formalization	Information support and communication
Scientists		<ul style="list-style-type: none"> ▪ Spot opportunities for partnerships within their specializations and make proposals to RCs, GRP leaders and the PO ▪ Prepare/negotiate activities and division of responsibilities with partners ▪ Advise RCs, GRP leaders and PO on strategic choices 	<ul style="list-style-type: none"> ▪ Share relevant ICRAF information with partners and vice versa ▪ Identify niches for Centre's participation in partnerships ▪ Inform RCs, GRPs and the PO of any challenges in partnership arrangements
Partnership Directorate for global + Regional		<ul style="list-style-type: none"> ▪ Guide agreements and MOU/LoA ▪ Maintain records and database of partnerships agreements ▪ Monitor contact with institutional partners ▪ Convene strategic partnership meetings ▪ Secure legal advice (where applicable) ▪ Backstop and facilitate synchrony and synergy among partnerships with GRPLs, RCs ▪ Advise SLT on global-level partnerships 	<ul style="list-style-type: none"> ▪ Rationalize the collection of information for reporting purposes. ▪ Design a database system global ▪ Maintain an ICRAF-wide partnerships database with copies of documents ▪ Share information regularly with GRPLs, RCs and CRs ▪ Select stories for partnership for the transformations and other publications
Senior Leadership Team		<ul style="list-style-type: none"> ▪ Sign MoUs and LoAs ▪ Spot opportunities for partnering 	<ul style="list-style-type: none"> ▪ Strategic guidance to PO ▪ Advise staff on specific partnerships as necessary

Management (including Monitoring and Evaluation)	Reporting responsibility
<ul style="list-style-type: none"> ▪ Include partnerships in MTP and PoWB ▪ Ensure participatory M&E in research ▪ Implement tasks identified in partnership arrangements ▪ Build good rapport with partner scientists ▪ Observe IPR issues in joint work ▪ Maintain transparent records 	<ul style="list-style-type: none"> ▪ Progress report as per MoU ▪ Capture and share best partnering practices ▪ Pay attention to joint publication and sharing of credit
<ul style="list-style-type: none"> ▪ Provide support to manage institutional partnerships in conjunction with the principal collaborators ▪ Design a tool and undertake periodic partnerships auditing as necessary ▪ Support mobilization of resources for partnering ▪ Periodically refresh partnership guidelines ▪ Directly manage global-level partnerships ▪ Monitor and evaluate the impact of partnerships on ICRAF's productivity 	<ul style="list-style-type: none"> ▪ Coordinate reporting to Centre management, BoT and CGIAR ▪ Coordinate report back to the regions, GRPs and RCs ▪ Select showcases for annual report
<ul style="list-style-type: none"> ▪ Monitoring and evaluation ▪ Decision on agreements ▪ Resolution of conflicts (internal and external to ICRAF) ▪ Promote partnering 	<ul style="list-style-type: none"> ▪ Guide reports to BOT and others (CGIAR, World Bank etc) ▪ Identify awards for good partnerships

5.3 Implementation

It is imperative that we maintain a system on managing partnerships so that in addition to achieving our common goals, we do so efficiently and in a measurable way. The Partnerships Directorate is there to assist staff to achieve this. Thus, the following partnership management elements will be implemented by the Centre's staff at all levels:

- a) Collect as much relevant information as possible about the partner/s, and share with the Partnerships Directorate if additional assistance is required.
- b) Agreements should be scrutinized and submitted for legal advice from ICRAF lawyers where appropriate.
- c) Identify the individuals and administrative units directly working with us, and where necessary, collect and share with Partnerships Directorate the curricula vitae of the scientists involved.
- d) For joint research, joint publishing should be the preferred way of sharing credit. This applies to all types of publication, including proceedings of workshops, manuals, policy briefs, etc. Joint work with national partners is encouraged and is part of ICRAF's performance indicators.
- e) Regular communication is a very effective way of ensuring that partnerships remain alive. The Centre's staff is expected to share information with partners regularly. There will be a column in the Transformations bulletin dedicated for information on partners. Let the Partnerships Directorate know if you would like to highlight a given partnership
- f) Where the partnership includes capacity building activities it is very crucial that the process of selecting beneficiaries is transparent and competitive.
- g) Agree on frequency of meeting among the persons involved to establish the partnership. The recommended period is every six months. Large partnerships (especially those involving several institutions) may meet once a year. Such meetings can be linked to other planned technical or scientific meetings to reduce costs. The Partnerships Directorate will develop and

update a brief instrument to assess the state of partnerships. This can be filled in jointly, signed and sent back to the PD. (see Annex 3)

- h) MoUs and LoAs should be observed strictly. At least three months before they expire, we a decision is needed on whether or not they should be amended, extended or allowed to terminate. Early communication with the PD will enable timely initiation of the appropriate processes to ensure smooth transition or termination.
- i) A stitch in time saves nine! Any signs of conflict or disagreement should be shared early so resolutions can be found, using the appropriate measures and offices.
- j) As a general rule, the World Agroforestry Centre staff must maintain high standards of integrity; avoid inflammatory communication (verbal or written) with partners.
- k) The greatest challenge in partnerships is the high transaction costs especially associated with consensus building meetings (on methods, tools, finances etc.). We can minimize such costs by investing in the right partners from the start. The partner assessment forms attached (Annex 4) may be used with appropriate improvements and contextualization.

5.4 Monitoring

The CGIAR system recognises the need for and multiple roles played by partners to enhance research and knowledge management for development. Thus the CGIAR evaluates centre performance on partnerships using three criteria:

- Staff responsiveness to the needs of partners and clients;
- Involvement of partners in important decision making; and
- Sharing credit for project success with the parties involved

ICRAF takes these as fundamental principles to be applied in forming and managing partnerships. In addition, we recognise specific partnering objectives as illustrated in Table 1.

Annex 1: Important elements to be included into agreements

Title	Explanatory notes
1. Introduction or Background	A brief narrative of the conditions which may have made partnering and the agreement necessary (100 words)
2. Institutional profiles	Very brief statement of the mandates of the partners and relevance to the agreement being made (maximum 150 words for each institution)
3. Preamble	Articulates the convergence of interest and therefore the need for the partnership. Policy support for the partnership may be referred to here. Add the Addresses of the partners involved - usually headquarter addresses
4. Definition of terms	Defines any unusual words (usually legal terms or phrases) included in the agreement
5. Objectives	State what the partners intend to achieve together
6. Key activities	List all key activities. Usually this can be covered under several 'Articles'. If the list is long it may be annexed
7. Roles and responsibilities	Clear identification of the roles of each partner and the attendant responsibilities
8. Confidentiality	A statement on how partners have to manage confidential information on each other and build trust
9. Intellectual property rights	A statement clearly indicating the ownership (if joint or otherwise) of IPR emanating from joint work. This includes publications and attributions of credit.
10. Settlement of disputes	A clause that addresses dispute resolution and if required a mechanism to resolve crises, usually by arbitration. (see options in MoU template)
11. Monitoring and evaluation	A commitment to monitor the performance of the partnership on a regular basis. It is best if this is linked to key milestones in project implementation.
12. Commencement amendments and termination	Indicate dates or conditions under which the agreement will become operational, require amendment, extension or termination
13. Authorised representatives	The persons or positions to whom/which any issues regarding the agreement shall be referred to
14. Non Binding relationship of the parties and Signatures, titles and dates	Statement to the effect that the MoU is not a binding relationship with respect to funding The persons signing must be indicated by names and titles. Dates of signing must also be indicated

Annex 2– Memorandum of Understanding Template



World Agroforestry Centre
TRANSFORMING LIVES AND LANDSCAPES

Insert logo of other party

Memorandum of Understanding

Between

THE WORLD AGROFORESTRY CENTRE²

And

NAME OF PARTNER

For

Purpose of collaboration

(E.g. 1. Understanding the genetic diversity of *Khaya nyasica* and suitability for on-farm cultivation)

(E.g. 2. Strengthening agroforestry policy and research capacity of NARS)

DATE

² The World Agroforestry Centre is the brand name for The International Centre for Research in Agroforestry(ICRAF) which is the legal name.

Memorandum of Understanding

For a

Insert title (same as cover page)

Between

International Centre for Research on Agroforestry hereafter referred to as “The World Agroforestry Centre” or “ICRAF”, and located at United Nations Avenue, Gigiri, P.O. Box 30677-00100, Nairobi, KENYA

And

Names of Partners
(With full address after each name)

ARTICLE 1: INTRODUCTION/BACKGROUND

A brief narrative of the conditions which may have made partnering - and the agreement necessary (100 words) or describe the background to the MoU

ARTICLE 2: INSTITUTIONAL PROFILES

Description of the partners or parties or cooperating entities especially if this is an umbrella MoU, but in the case of a specific project limits the descriptions to substantive experiences and what knowledge/experience each partner brings to the partnership).

2.1 NAME OF PARTNER

Description

2.2 THE WORLD AGROFORESTRY CENTRE (for a general MoU, but can be extracted for a specific project)

The World Agroforestry Centre – brand name for The International Centre for Research in Agroforestry (ICRAF) is a leading, international science-based research and development institution in the tropics, and a member of the Consultative Group on International Agricultural Research (CGIAR). For 30 years, the World Agroforestry Centre and its partners have worked with poor rural farmers throughout the tropics to develop innovative agroforestry-based practices that help them manage their limited resources. The Centre's vision is the transformation of lives and landscapes across the developing world through massive use of trees and agroforestry innovations. Its mission is to generate science-based knowledge about the diverse role trees play in agricultural landscapes and use its research to advance policies and practices to benefit the poor and the environment.

The Centre responds to livelihood and environmental challenges through tree-based systems in agricultural landscapes. These challenges include poverty and hunger, food insecurity, ill health, energy scarcity, biodiversity and habitat loss, climate change and resource degradation.

Agroforestry is uniquely suited to contribute to food security and on-farm biomass resources, and the need to sustainably manage agricultural landscapes for the critical ecosystem services they provide. Agroforestry provides livelihood and environmental benefits through the following pathways:

- Increasing the asset base of poor households through farm-grown trees;
- Increasing the productivity of agroforestry systems, and the complementarities trees provide to the productivity of crops and livestock;
- Improving the income of poor households by better linking them to markets;
- Improving the multi-functionality of agricultural landscapes by balancing increased productivity with the sustainable management of the natural resource base; and

- Maintaining or enhancing the supply of ecosystem services in agricultural landscapes, particularly water, soil health, carbon sequestration, and biodiversity

ICRAF helps the achievement of these through cutting edge research and building human and institutional capacity to generate and apply agroforestry science and innovations

ARTICLE 3: PREAMBLE

Articulates the convergence of interest and therefore the need for the partnership. Policy support for the partnership may be referred to here.

Add here the Addresses of the partners involved - usually headquarter addresses

ARTICLE 4: DEFINITION OF TERMS

Defines any unusual words (usually legal terms or phrases) included in the agreement

ARTICLE 5: OBJECTIVES

State what the partners wish to achieve together

ARTICLE 6: KEY ACTIVITIES

(If this is an umbrella MoU, the statement is generalized as follows (or equivalent) – otherwise describe the project activities and use as many articles as required.)

To implement this MoU, the two partners in this MOU will develop individual proposals for collaborative research, referring to specific responsibilities of each partner. The projects will contain a multi-year budget that is conditional to continued funding availability from donors and partners. Subject to an annual review based on research reports, the projects will be redesigned or adjusted accordingly to meet available funding or resources required or availability to perform agreed upon tasks. Any funding by ICRAF and Name of partner contemplated hereunder shall be formalized under separate legally binding agreements.

ARTICLE 7: ROLES AND RESPONSIBILITIES

Clear identification of the roles of each partner and the attendant responsibilities

ARTICLE 8: CONFIDENTIALITY

During the course of this MoU, either party may acquire confidential information or trade secrets of the other ('Confidential Information'). Confidential Information of a party means all information of whatever description, whether in permanently recorded form or not and whether or not belonging to a third party, which is by its nature confidential or which the party identifies as confidential to itself. It **does not** include information to the extent that information is: (i) independently created or rightfully known by, or in the possession or control of, the other party and not subject to an obligation of confidentiality on the other party; (ii) in the public domain (otherwise than as a result of a breach of this Agreement); or (iii) required to be disclosed by law.

Each party agrees to keep all such Confidential Information in a secure place, and further agrees not to publish, communicate, divulge, use or disclose, directly or indirectly, for its own benefit or for the benefit of another, either during or after performance of this MoU. This obligation of confidence shall not apply with respect to information that is (a) available to the receiving party from third parties on an unrestricted basis; (b) independently developed by the receiving party; or (c) disclosed by the other party to others on an unrestricted basis

ARTICLE 9: INTELLECTUAL PROPERTY (use relevant paragraphs)

All intellectual property created under this MOU is considered jointly owned by the parties to this MoU. Each party will execute its ownership **rights in accordance with its policy on intellectual property.**

(Ensure that you fully understand the intellectual property rules of the partner to avoid conflicts in the future)

Under the framework of this MoU, 'Intellectual Property Rights or IPR' means all intellectual property rights, including: (a) ideas, information, literary text, plant breeder's right, patents, copyright, registered designs, artwork, trade marks and any right to have confidential information kept confidential; and (b) any application or right to apply for registration of any of the rights referred to in (a).

The parties agree that any information developed under this MoU will be made publicly available.

The names and logos of the Parties are registered marks and may not be used without permission.

The above statement is appropriate for most MoUs, however if further clarification is required for **creative works** and **joint work**, the following clauses can be used.

Any creative work developed by the parties under the framework of this MoU, including but not limited to all written, graphic, audio, visual and any other materials, contributions, applicable work product and production elements contained therein, whether on paper, disk, tape, digital file or any other media (the 'Joint Work'), shall remain the joint intellectual property of the parties provided however that the parties agree and acknowledge that the Joint Work shall be used exclusively for non-commercial purposes.

Parties to this MoU actively encourage the wide dissemination of creative works. Permission to make digital or hard copies of the joint creative work for personal use, education, research, training or other non-commercial use is hereby granted without fee and without formal request. Where any material is reproduced for training or other outreach activity the user is requested to supply a copy (electronic or other format) along with the details of use to the Centre). Proper citation is requested and modification is purely on a prior consent basis.

If a joint work is formed, all joint authors are joint owners of the entire work (as opposed to each author only owning their own contribution.) As a co-owner of the entire work, any joint author can:

- Modify, reproduce, and distribute copies of the entire work without consent of the other owners.

- Grant a nonexclusive license to others to use the work without obtaining the consent of the other co-authors
- Transfer her or his interest to a third party (by written assignment) with the permission of the other owners.

The ownership of intellectual property that exists prior to the commencement of this MoU ('Pre-existing Intellectual Property') shall not be altered or transferred merely by virtue of its use for the projects contemplated hereunder.

Similarly, if the following clauses on data use and access are deemed useful, they may be added.

Data use and access

Raw data generated through activities covered by this MOU and the protocols that describe it are intellectual property and hence the previous paragraphs are relevant.

In addition:

- A. All such raw data and protocols will be accessible by both parties
- B. Parties will agree the specific objectives in collecting any data, and the timeframe for meeting those objectives
- C. During that time, named scientists or students from either party may have exclusive use of the data in order to meet the agreed objectives
- D. After the agreed time limit, either party may use the data to meet those objectives
- E. Before the time limit has been reached, either party may use the data for other purposes

Authorship

The authorship of all reports, articles books or other outputs resulting from activities under this MOU will be determined by usual scientific norms.

Specifically:

1. All scientists involved in conceiving, planning, implementing or analysing any activities will be invited to be authors of outputs resulting from the activity.

2. Scientists become authors if they then make a substantial intellectual contribution to drafting, reviewing and revising the output and they approve the final version.
3. Members of either party cannot claim authorship on the basis solely of their position in the organisation, or on other roles in activities which do not meet conditions 1 and 2.

ARTICLE 10: SETTLEMENT OF DISPUTES

Any disputes about the interpretation or application of this MoU will be resolved by consultations between the Parties and will not be referred to any national or international tribunal or third party for settlement.

Other clauses on DISPUTE SETTLEMENT – including involvement of a third party and escalation procedures are sometimes required by some of our partners. These procedures can be invaluable if parties end up in a dispute. The provision sets out key issues, which include, the identities of decision makers, time lines for resolution, requirements that work and payment continue during the resolution of the dispute. Such a procedure way of averting litigation as it allows the parties to complete the agreement.)

Another optional article can include ARBITRATION- ; these clauses include language specifying that all disputes under the contract will be resolved by arbitration. It is important to bear in mind that the party which seeks to impose such an arbitration clause obviously anticipates a significant benefit from the inclusion of the clause. This could therefore include making any action, in the event of a contractual breach unaffordable for the other party, who will typically have to foot half of the cost of engaging a private arbitration.

Another optional articles includes INDEMNIFICATION which means that we can be asked to bear the economic responsibility for any and all costs, claims, loss, damages, expenses and liabilities that a third party may bring against the provider as a result of use of the material generated by the parties. As a publicly funded research institute, the Centre does not normally agree to give indemnities.

INDEMNIFICATION

Nothing in this MOU shall be construed to create a relationship between the parties, nor to render any party liable for the debts or obligations incurred by any other. No Participant is authorized to make representations on behalf of the others, or to bind the others in any manner whatsoever.

ARTICLE 11: MONITORING AND EVALUATION

A commitment to monitor the performance of the partnership on a regular basis. It is best if this is linked to key milestones in project implementation.

Article 12: COMMENCEMENT, AMENDMENTS AND TERMINATION

This agreement will enter into effect on the date of the last signature and supersedes all prior understandings regarding collaboration between the parties.

The terms of this agreement can be amended, with the approval of both parties, by means of exchange of letters through the authorized officials at each institution. Either party may initiate the exchange of letters.

This Memorandum of Understanding may be terminated by either party by giving written notice of intent to terminate the understanding. Such termination shall not affect the execution and conclusion of specific activities in effect under the terms of this MoU nor publication and dissemination of results of research in progress. Such notice will be given six months in advance of the desired termination date.

ARTICLE 13: AUTHORIZED REPRESENTATIVES

Notices to the respective parties shall be addressed to:
Provide the persons or positions to whom/which any issues regarding the agreement shall be referred to

Official designate World Agroforestry Centre P.O. Box 30677, United Nations Avenue, Gigiri Nairobi, Kenya Tel: +254 20 7224000 Fax: +254 20 7224001 Email: CHANGE AS APPROPRIATE	Full name, address and contact information of the partner organization
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ARTICLE 14: NON BINDING RELATIONSHIP OF THE PARTIES

This MoU is a consummation of the understanding of the parties (make reference to the title of the MoU **commitment of funding contemplated by the partners shall be formalized under separate legally binding agreements.**

IN WITNESS THEREOF, in the interest of implementing a program of technical cooperation of mutual benefit to the contracting parties, three (3) original copies of this Memorandum of Understanding are signed by the respective officers on the day, month and year indicated below:

SIGNED

Partner

Date: _____

Name

Director General

World Agroforestry Centre

Date: _____

Some organizations include witnesses in the signature section. This is acceptable.

ATTACHMENT

SUPPLEMENTARY INFORMATION etc.

Annex 3. Form for assessing the state of a partnership

1. Date of meeting			
2. Venue			
3. Objective of partnership			
4. Duration of partnership	Started on (date):	Expires on (date):	
5. Institutions involved (attach list if more than four)	i.	ii.	
	iii.	iv.	
6. Contact persons (respectively for 3 above)	i.	ii.	
	iii.	iv.	
7. Performance assessment (in brief) attaché any details as deemed necessary.	Planned work	Implemented work	Comments/Challenges relating to quality, completion, delays and their implications
8. Suggested work amendments	Work item	Old deadlines	New deadlines
9. General comments			
10. Recommendations	Targeted office or organization	Requested action/s	
11. Signature of institutional representatives at the meeting	i.	ii.	
	iii.	iv.	
12. Actions taken by targeted offices or institutions – show dates and actions			

Annex 4: partner assessment criteria

Important: The contents of this section are to be used as a guide and are not intended to form a bureaucratic barrier to the formation of partnerships.

The overall objective is to rationalize ICRAF's selection of partners and engagement mechanisms.

Studying institutions is quite complex. As a baseline, we need a good understanding of the policies, organization and modus operandi of institutions in order to assess their potential role as partners. The following institutional elements could be analyzed:

- Institutional nature and positioning - comparative/competitive advantage with respect to agriculture, natural resources and environment, and with respect to research, education or development propensity. How relevant, effective, efficient and sustainable. The ability and reach to generate and apply knowledge to address issues of poverty and economic development.
- Institutional dynamics - internal structure, policies, processes and programmes including resources and activities
- Institutional capacity - multiplier and feedback mechanisms, links (at micro-, meso- and macro scales), culture and other assets as well as institutional innovation capacity.
- Effectiveness and efficiency in research and dissemination of the science and practice of agroforestry, a study of collaborative mechanisms through social network analysis.

The Centre's staff may wish to apply our standard criteria for assessing projects to also assess and compare potential partnerships, as illustrated below:

Saliency: Is partnership the best option for achieving results in the area?

Fundability: Will the partnership attract resources (in cash and/or in kind) from investors?

Credibility: Do all partners involved have the appropriate scientific standing to make a meaningful contribution?

Legitimacy: What evidence is there to establish the authenticity of each partner to engage in agroforestry?

Historical information will provide useful decision guidance. The box below gives an example of questions to be asked.

Does the institution have:

1. A good scientific track record?
2. Reasonable standing/respect within their sector and from key players?
3. Access to relevant and updated information, resources and experiences?
4. The demonstrated ability to conduct research?
5. Skills and competencies that complement the World Agroforestry Centre?
6. Sound management and governance structures?
7. A Good financial track record (at least three consecutive years of audited finances)

Are staff:

1. Experienced and reliable, able to manage resources, able to monitor and review?
2. Good communicators and team players?

Adapted from The Partner assessment Form – The Partnering toolbox



For more information contact:
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