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# **Sector Network Rural Development (SNRD)**

## **Report of a training workshop on Sector (Investment) Programs in Agriculture**

28 September – 1 October  
OTD Training Center, Harare

## List of abbreviations

ACF	ASIP Consultative Forum
AGRITEX	Agricultural Extension Services
AGSIP	Agricultural Sector Investment Program (Ghana)
ALDSA	Agriculture Livestock Development Strategy / Action Plan (Ghana)
AMTR	ASIP Mid Term Review
ASC	Agricultural Steering Committees
ASICs	Other Subprogram Implementation Committees
ASICs	Sub-program Implementation Committees
ASIP	Agricultural Sector Investment Program
ASMP	Agricultural Services and Management Project
ASP	Agriculture Sector Program
ASR	Agricultural Sector Review
BA	Beneficiary Assessment
BMZ	German Ministry for Economic Cooperation and Development
CBPP	Contagious Bovine Pleuro Penumonia
CIA	Common Implementation Agreement
CSO	Central Statistical Office
DACOs	District Agricultural Coordinators
DACs	District Agricultural Committees
DAC-SP	District Agricultural Committee - Southern Province (Zambia)
DDCC	District Development Coordination Committee
DEMD	Department of Economics and Marketing Development (Zambia)
DEMD	Department of Economics and Marketing Development
DPU	District Planning Unit
DVS	Department of Veterinary Services
EIA	Environmental Impact Assessment
EMDD	Economics and Market Development Division
EU	European Union
FMU	Financial Management Unit
FMU	Financial Management Unit
GHA	Ghana
GPEA	Gender Oriented Participatory Extension Approach
GTZ	Gesellschaft für Technische Zusammenarbeit
GTZ-ASMP	Agricultural Services Management Project)
GTZ-ASSP-SP	GTZ Agricultural Support Project Southern Province (Zambia)
GTZ-IFSP-E	Integrated Food Security Project – Eastern
GTZ-MDP	Mafeteng Development Programme
GTZ-MGPPP	Malawi-German Plant Protection Project
MOFA	Ministry of Food and Agriculture (Ghana)
GTZ-SP	GTZ Southern Province (Zambia)
HRD	Human Resource Development
IDA	International Development Authority
IFSP	Integrated Food Security Project
INESOR	Institute of Economic and Social Research
KEN	Kenya
KPI	Key Performance Indicators
LDP	Livestock Development Program
LDP/TAG	Livestock Development Program/Technical Advisory Group
LES	Lesotho
LIVMIS	Livestock Management Information System
M + E	Monitoring and Evaluation
MAFF	Ministry of Agriculture, Food and Fisheries
MAL	Malawi

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MASIP	Malawi Agricultural Sector Investment Program
MIPP	Management and Institutional Performance Programme
MIS	Management Information System
MOA	Ministry of Agriculture
MOF	Ministry of Finance
MOLA	Ministry of Lands and Agriculture
MOLA	Ministry of Lands and Agriculture
MOZ	Mozambique
MTEP	Medium Term Expenditure Plan
MTR	Mid Term Review
NGO	Non Governmental Organisation
OD	Organizational Development
PACO	Provincial Agricultural Coordinator
PER	Public Expenditure Review
PROAGRI	Mozambique Agricultural Sector Investment Program
PS	Permanent Secretary
PSC	Public Service Commission
PSR	Public Sector Reform
PSU	Privatization Support Unit
RDC	Rural District Councils
RIF	Rural Investment Fund
RIF	Rural Investment Fund
SADC	Southern Africa Development Community
SCC	Systematic Client Consultation
SIPs	Sector Investment Programs
SMART	Specific Measurable Realistic Time-bound
SNRD	Sector Network Rural Development
SPA	Sector Performance Analysis
SPF	Sector Policy Framework
TA	Technical Assistance
TAG	Technical Advisory Group
TOR	Terms of Reference
WB	World Bank
WP	Workplan
ZAM	Zambia
ZASIP	Zambia Agricultural Sector Investment Program
ZIM	Zimbabwe



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1. Overview of Sector Programs in Africa
2. Workshop outline
3. Workshop program
4. List of participants
5. Country experiences
6. Course evaluation

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## 1. Introduction

Sector Investment Programs (SIPs) are increasingly adopted as an instrument for change and development in Africa. Almost thirty SIPs are at various stages of preparation and implementation while more than a further twenty are planned (see annex 1). The sectors most often targeted are agriculture, health, infrastructure and education.

SIPs aim to achieve a more focussed approach to development and as such represent a response to the disappointing results of decades of (national and international) development efforts. Although SIPs differ from sector to sector and from country to country, they commonly share the following key features:

- *Harmonization of efforts:* from a fragmentation of efforts to a coordination of efforts. A national policy for the sector is formulated which forms the framework for all activities in the sector. Coordination of activities between the recipient government and donors as well as among donors should take place to achieve the objectives set out in the sector policy.
- *Greater ownership:* this mostly refers to the increased responsibility and control of the recipient government, but should also include stakeholders outside the public sector and below the national level.
- *Privatization:* is more pronounced in the productive (e.g. agriculture, infrastructure) than in the service (e.g. health and education) sectors. But a central element of all SIPs is to rationalize government spending and to withdraw government involvement from areas that are best handled by the private sector.
- *Decentralization:* of planning, decision making and financial management. Mostly to district level and in order to increase accountability to beneficiaries and to promote a more demand driven development.
- *Stakeholder participation:* to ensure that views and needs of stakeholders are taken into account, but also as a move towards the handing over of government roles to actors outside the public sector who are better placed to handle these, e.g. private traders and NGOs.

Consensus is growing regarding the need for coherent, sector-wide approaches, which incorporate the above key-features. However, as implementation gains momentum, the obstacles and pitfalls on the way are becoming evident and we are beginning to realize just how complicated a SIP-process can be. However, rather than withdrawing from the process, we can capitalize on experiences gained so far and use them to facilitate the planning and implementation of SIP activities elsewhere.

The above consideration formed the main motivation for holding the present workshop on SIPs (annex 2). In order to facilitate the comparison of experiences, it was decided to focus on the agricultural sector only. The agricultural sector harbors a range of SIP and SIP related activities at various stages of implementation, and across a number of different countries. Participants were invited from countries with an ASIP in progress, but also from countries where ASIPs are only at the planning stage. In this way, it was hoped that we could make optimum use of lessons learned to inform planning processes elsewhere.

In addition, and equally important, an effort was made to not only include policy makers, but to also get people with grassroots experience around the table. It is all very well to discuss what should be achieved and how it should be done, but in the absence of practical experience, this would remain largely an academic exercise.

As it was, the workshop provided a stimulating mix of perspectives. World Bank representatives and other policy makers were able to provide the policy context and historical backdrop to the SIP process, while provincial and district level implementers could highlight the difficulties faced in trying to implement the outlined strategies. Participation was active across the board and discussions were frank and lively, more than once ensuing in a heated debate.

For those participants who are 'head-under' in ASIP implementation, the workshop provided a welcome opportunity to share their achievements and, at times, also their frustration regarding the enormous hurdles encountered on the way. To the participants who are still in the hopeful and optimistic stages of planning this may, on occasion, have come as something of a cold shower. But a cold and invigorating shower is sometimes just what is needed to freshen up our outlook. Fortunately, the field experiences presented also included a lot of encouraging and quite impressive achievements. So let's hope that the workshop has not dashed the expectations of those at the start of the ASIP process, but instead has charged them with inspiration and courage to forge ahead.


The content of the chapters in this report closely follows the workshop program (annex 3). Chapters two to five follow the different stages in the ASIP process from its concept via preparation and implementation to impact monitoring. In as far as is possible, each chapter includes the material that was presented, either as text or in the form of printouts from overhead material (e.g. slides). This is then followed by a presentation of the discussion on the topic presented. For ease of analysis, the discussion notes have been re-arranged into sub-topics, such as privatization, the process-approach, financing, institutional reform et cetera. Chapters six to eight discuss the lessons learned, the open issues and the proposed action to deal with these open issues. Together they reflect the results of the last plenary sessions of the workshop. The bullet points listed in chapter six and seven are copied from the cards, which were pinned on the board by the participants themselves. Similarly, the 'action table' reproduced in chapter eight is the one which was compiled in the last session by participants themselves. Finally, a number of annexes provide background material as well as the country experiences as presented by the participants and the results of the course evaluation.

Harare, 12 October 1998

Désirée Dietvorst  
Albert Engel


## 2. Concept and rationale

### 2.1 Presentation




### Sector Investment Program An Overview

By Nwanze Okidegbe



### Sector Investment Program An Overview


- What is a SIP?
- Why a SIP?
- What are the characteristics?
- What are the potential advantages?
- What are the Risks?
- What are the emerging lessons of experience?



### What is a Sector Investment Program?

- A country's medium-term development program in a particular sector<sup>1/</sup>
- It is based on:
  - coherent sector framework; and
  - appropriate institutional framework
- It funds priority sector activities consistent with medium-term expenditure plan (MTEP)
- Prepared and managed by the country while donors are invited to support the program


<sup>1/</sup> A sector may be defined narrowly (e.g., agriculture) or more broadly (e.g., rural). In practice a sector is defined as the area of responsibility of a Ministry, such as Ministry of Health or Ministry of Education.



### Why SIP?


- Dissatisfaction over the poor results of traditional investment projects
- Lack of local ownership of donor-driven investment projects
- Governments may pursue conflicting strategies because of pressures from different donor

cont'd.....



### Why SIP?

- Special Project Units often weaken government's capacity by luring away good staff
- ... and
- A desire of some donors to move away from balance of payment support to development focus



### What are the Characteristics of a SIP?

SIP:

- is sector-wide or subsector-wide in scope based on coherent sector framework
- uses local institutions to develop and manage the program
- encourages all donors to sign on
- seeks to achieve common implementation arrangements



### **What are the Advantages of SIP?**

- Eliminates fragmented project management units which are unsustainable beyond project span
- Empowers the country to determine its development priorities
- Ensures financial viability by putting programs within the country's MTEP

cont'd.....



### **What are the Advantages of SIP? (cont'd)**

- Builds implementation capacity, encourages early stakeholder commitment, and increases ownership of programs
- Enhances cost-effectiveness of development operations
- Increases the effectiveness of donor activities
- Enhances sustainable development impact by prioritizing activities under a coherent sector plan



### **What the Risks of a SIP?**

- Program may be beyond the borrower's capacity to plan and implement
- Borrower reluctant to sit in driver's seat or appoint inappropriate drivers
- Donors unwilling to assume "unintrusive role"
- Government and donors disagree on policy
- No donors "buy-in": Donors fail to collaborate or be coordinated
- Borrower unable to contribute its share of financing when needed



### **Lessons: Development on the Ground**

#### Evolution from ASIP to ASP

#### Implementation Progress:

##### Positive Elements

- policy and regulatory environment for private sector participation
- deconcentration of powers and responsibilities to the district; and
- government commitment and disbursement of counterpart funds

##### Negative Elements

- delays in institution reform e.g., restructuring of Government agencies
- weak financial management and procurement
- inadequate donor coordination and difficulty in channeling donor fund to ASP
- Poor program management; and
- weak interaction with key stakeholders



### **Development on the Ground Issues and Challenges**

Experience to date reveal some issues and challenges.

These include:

- Limited capacity to plan and execute the program
- Donor coordination could be quite difficult to achieve
- Involvement of stakeholders, especially in rural areas not widely practiced
- Effective common implementation arrangements are not in place
- Quality of data for program evaluation is weak

## 2.2 Discussion

### ***Preconditions***

- A coherent macro economic framework is seen to be a pre-requisite for the introduction of ASIP. This may call for economy-wide reforms; these cannot be restricted to one sector alone.
- Does ASIP really require a complete overhaul of the government before it can be introduced?
- Originally a set of conditions was conceived as pre-requisites for ASIP implementation. However the concept of 'pre-condition' may need to be revisited: When the original list would have to be adhered to, this would in practice prevent the introduction of SIPs almost everywhere. Instead, the original pre-conditions can be seen as a list of conditions that need to be worked on as the SIP approach progresses.

### ***Process approach***

- It is important to realize that ASIP is a process: the starting point may be different from country to country;
- Similarly the conditions that need to be fulfilled for successful ASIP implementation may differ from one country to the next;
- The re-organization of the ministry of agriculture is an enormous exercise. That in itself is a process and needs to be phased;
- Some of these processes (institutional reform, macro-economic reform) will enhance performance of a ministry or sector. But at some point it is possible that too many reform processes are underway at the same time (example Ghana). In such a situation the process or reform becomes an end in itself (no longer a means towards greater performance) and starts usurping disproportionate amounts of time, attention and resources;
- When a number of processes are intended, planned or required, the government has to decide which are most important, based on need but also on capacity. Sometimes capacity is a limiting factor in seeing a reform process through.

### ***Delineation of a sector***

- How to define a sector? Pragmatic approach: look into institutional responsibilities “What is covered by line ministry”?
- Not always right to restrict the ASIP focus to the activities of the line ministry. The institutional reform exercise in Kenya showed that more than half the current functions of the government should be carried out by the private sector. Therefore, there has to be some recognition of that fact and some emphasis on privatization and commercialization even within the ASIP outline.
- Also, the institutional reform (complete overhaul) that is needed of the line ministry or ministries involved can hardly be done in isolation of other ministries. Some of the changes required (e.g. incentives, salaries, government roles) need reform measures outside the scope of the ministry (e.g. public sector commission, legislation).

### ***Financing***

- When comparing donor and government contributions, how are government contributions assessed? One would need to take account of facilities that are provided through government, e.g. staff and in-kind facilities such as office space, equipment et cetera.
- Even when both government and donor contributions are secured, there is often the problem of lack of synchronization of funding at the activity level, e.g. extension may not take off


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because donor funds for the material are not yet disbursed whereas government funds for vehicles, fuel and daily subsistence rates are there (or the other way around);

- Government and donor funds need to be harmonized. One way is through basket funding at the national level;
- However there exist important accountability constraints and concerns which cannot be so easily overcome;
- Donors have often opted for the financing of specific issues. Sometimes you see a 'carving up' of program where single donors finance specific components;
- Maybe the 'pooling of funds at a sub-program level' is a solution. Donors would not need to put their contribution in the national basket, but can to some extent control what their funds would be used for while at the same time funds disbursement at the implementation level may be more easily harmonized;
- There is a clear need for Common Implementation Agreements (CIA).

### 3. Conditions and preparation


#### 3.1 Presentations




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**Enabling Framework for ASP**


*by Nwanze Okidegbe*



**Enabling Framework for ASP**

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- Sector Policy Framework (SPF)
- Public Expenditure Review (PER)
- Institutional Analysis



**Sector Policy Framework (SPF)**

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- A logically consistent framework for formulating and developing policies across an entire sector
- A result of a dialogue between a full set of key stakeholders
- A statement of priorities which reflect consensus within the whole sector




**What is a SPF?**

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SPF could include the following six components:


- Vision
- Guiding Principle
- Objectives
- Key Policy Issues
- Strategies
- Actions



**1. Vision**

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- Projects mental picture of the agricultural sector, at some time in the future, in relation to the people, the culture, and the economy
- Provides a strategic direction for all actors in the sector
- Example: Agriculture  
*Accessibility and affordability of food to all segments of the population*



**2. Guiding Principles**


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- The conscience of a sector policy framework
- Intended to inform or to shape all subsequent decision-making
- Example: Food Security
  - Appropriate technology
  - Access to sustainable agriculture finance
  - Improved agricultural Inputs




### 3. Objectives

- Specific targets for the sector to achieve
- Measures or qualitative indicators of progress toward the overall vision
- Criteria directing allocation and application of specific efforts
- Example: Food Security
  - Agriculture will achieve annual growth rate of 5% by year 2000. Non farm income of rural households increase by 5% in year 2010.




### Objectives should be S.M.A.R.T.

- S**pecific - no fuzzy edges
- M**easurable - quantify your targets
- A**ccountable - who is responsible to whom?
- R**ealistic - within available resources
- T**ime-bound - firm timetable for proposal




### 4. Key Policy Issues

- Categories that provide a practical and useful way of grouping strategies and actions, the next levels of detail in a SPF
- Example: Food Security
  - Decentralized delivery of agricultural services
  - Financing
  - Farmers education
  - Rural infrastructure



### 5. Strategies

- Plans for how you intend to get from where you are to where you want to go
- Describe both processes and outcomes in order to achieve the objectives
- Example: Food Security
  - Establish an effective partnership between research and extension establishment to ensure that improved seeds reach farmers and are effectively adopted.



### 6. Actions

- Actual resource decisions (staff and finances)
- Facilitate/operationalize the strategy statements
- Example: Government/Civil Society Partnership
  - Undertake an in-service training program, for central and local-level staff, on how to work effectively with NGOs
  - Establish an award program which recognizes and rewards the establishment of effective partnerships at the local level



### Summary

- Vision (ideal picture of the future)
- Guiding Principles (normative criteria)
- Objectives (specific goals)
- Policy Issues (categories)
- Strategies (ways to accomplish goals)
- Actions (precise resource commitments)



### **Public Expenditure Review (PER)**

- What is a PER?
- Why a PER?
- Principles
- How to conduct a PER?
- Red flags



### **What is a PER?**

- A mechanism for generating data and for assessing the rationale and patterns of public expenditures in an economy
- Helps in analyzing how public expenditures can be reallocated to enhance the efficiency and effectiveness of the public expenditure program
- Linked to the medium-term expenditure plan of a country



### **Why a PER?**

- PER is a necessary condition for an ASP
- Scope of PER can be the agricultural, preferably rural, sector in small countries but subsectoral (e.g., irrigation) in large countries
- Once a SIP is in place, annual programming review is similar to PER (and should be much less costly)



### **Principles**

- Filter all existing public sector functions through four "lenses":
  - Growth
  - Poverty reduction
  - Food security
  - Sustainable natural resource management
- And through the agreed-upon sector policy framework and its guiding principles

cont'd.....



### **Principles (cont'd.)**

- Elimination:
  - Functions to be transferred to the private sector or civil society
- Discernment:
  - Functions to be co-produced (shared) with the private sector or civil society
- Selection:
  - Core functions to be retained in the public sector



### **How to Conduct a PER?**

- Background
- Boundaries
- Analysis
- Process



### **Background**

- Get data on actual public expenditure regardless of source
- Make a functional classification of actual expenditure
- Track actual/budgeted expenditure ratios by function



### **Boundaries**

- With Ministry of Finance, establish likely budget from domestic resources
- With international development agencies, ascertain limits to sectoral fungibility, subsectoral preferences, and degree of freedom to maneuver
- With Ministry of Finance and development agencies, clarify cost-sharing arrangements including any minimum of local government/community participation



### **Analysis**

- Apply the elimination principle to:
  - Parastatal marketing agencies
  - Public agricultural banks
  - Public input delivery systems
- Apply the discernment principle to:
  - All subsidies, including for food consumption
  - Delivery of public goods and programs via contracting



### **Process**

- Work with existing agencies
- Local stakeholders to be involved
- Major donors to be involved
- First, examine the big expenditure items
  - Apply elimination and discernment principles
  - Use the four "lenses" to make selection
- Second, examine neglected areas




### **Red Flags for PERs (I)**

- Central bank overdrafts: a way of disguising parastatal losses and delaying budget provision
- Inadequate bad debt provisioning
  - Between parastatals
  - In credit operations
- Off-budget items
  - Fungibility argument
  - Multi-sectoral items shown in other sectors (hydro/irrigation)




### **Red Flags for PERs (II)**

- High suppliers' credits
  - Deferment of losses by parastatals
  - Cooperatives in trouble
- Poor accounting and auditing in any agency that might generate a claim on public resources



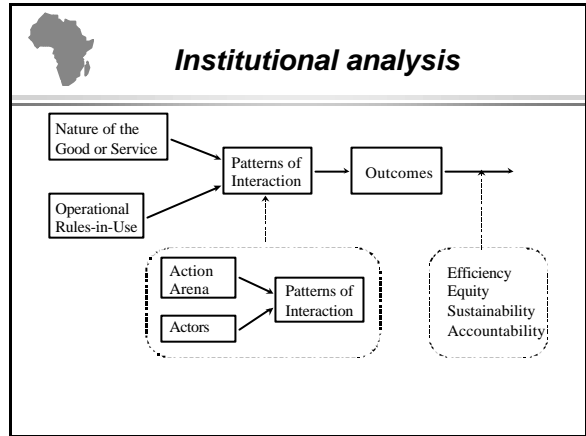
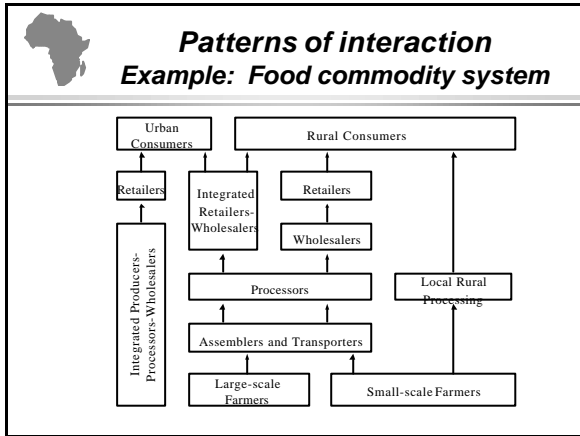

### **Institutional Analysis**

- What is an institutional analysis?
- Why are institutional analyses important in preparing an ASP?
- How does one conduct an institutional analysis?




### **What Is an Institutional Analysis?**

- An institutional analysis is a normative and prescriptive analysis of the patterns of interaction among a group of human beings in a given arena of human activity
- It attempts to explain the observable outcomes of these patterns of interaction in terms of:
  - The motivations of individual actors
  - The nature of the good or service in question, and
  - The rules of the game (including cultural norms) which constrain human activity in this particular action arena.

### **Nature of good or service**

- Is the commodity storable or perishable?
- Is it standardizable? Or is physical inspection required before purchase?
- Are there any hidden values? Moisture content, protein content?
- Processing
  - Economies of scale?
  - Close to point of production required?
- Transportation:
  - High value per unit weight?
  - Low value per unit weight (bulky)?



### **Operational rules**

- Concerning prices: Subsidies, taxes, duties
- Concerning transportation, processing
- Concerning exchange in markets
- Concerning the ownership of the commodity as it moves through the system
- Concerning standards, quality control
- Concerning dispute resolution



### **Why Are Institutional Analyses Important in Preparing ASP?**

- The sector policy framework provides a vision and a strategic direction for policy makers, managers, and other stakeholder groups in the sector.
- However, realizing this vision requires specific policy interventions, supported by institutional reforms, that actually affect the economic behavior of human beings in the arenas in which they operate.
- Institutional analysis can help identify the political, legal, and institutional changes that are necessary to achieve the vision.



### **Analyses that may be required in preparing ASP**

- Sector-wide policies and institutions
  - Agricultural output markets
  - Agricultural input markets
  - Rural finance
  - Rural infrastructure
- Intensifying agricultural production
  - Land markets and land reform
  - Agricultural research, extension, and rural information systems
  - Livestock and veterinary services
- Natural resource management
  - Water management, irrigation, and drainage
  - Rangeland, and pasture management
  - Forestry and agroforestry
  - Fisheries and aquaculture



### **How to Conduct an Institutional Analysis?**

- A series of questions:
- What are the patterns of interaction among the actors in the action arena?
  - What is the nature of the good or service?
  - What are the operational rules (incentives)?
  - How do the above factors affect the organization and the performance of the system in terms of selected normative criteria?
  - What are some recommended changes in the rules in order to improve the performance?



### **System Performance**

- Some widely used normative criteria:
- Efficiency
    - For example, the "pricing efficiency" of the food commodity system with respect to time, place, and form
  - Equity
  - Sustainability
  - Accountability (or transparency)




### **Recommended changes**

- Substance: What institutional changes (changes in the rules) would you recommend in order to improve the performance of the system?
- Process: If you were responsible for bringing about these changes, how would you proceed to do so?



### **Summary**


- Institutions are the "rules of the game" which govern the patterns of interaction among the different actors in a given action arena
- In order to improve the performance (or outcomes) of the system, it is necessary either:
  - To change human nature;
  - To change the nature of the good or service in question (e.g. by means of research and technology); or
  - To change the "rules of the game".
- While difficult, changing the rules of the game is the easiest of the three alternatives.



## Stakeholder involvement in Agricultural Sector Investment Programmes

*With special reference to ASIP Zambia*

*by Desiree Dietvorst*



## Agricultural Sector Investment Programmes

Key principles

- harmonisation of efforts
- greater ownership
  
- privatisation
- decentralisation
- beneficiary participation



## Scope for stakeholder involvement

- Political commitment

"Successful development *needs* the active participation of all stakeholders concerned"

- Task-oriented strategy

based on a redefinition of roles and responsibilities between the public, private and civil society sectors



## Redefinition of roles and responsibilities

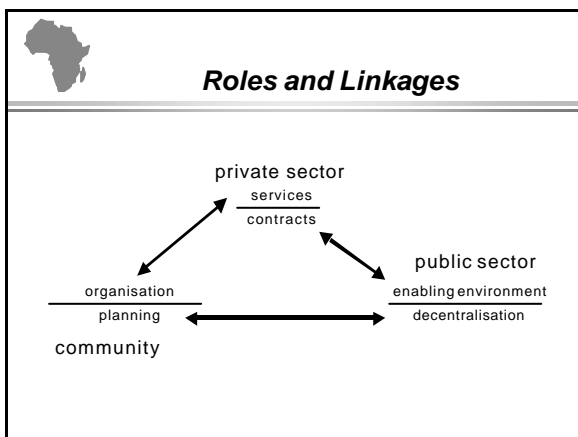

**Public Sector**  
policy, legislation, regulation, supervision, monitoring and control

**Private Sector**

- commercially viable service provision
- on contract basis


**Civil Society**

- local level (planning, organisation, implementation)
- communal resource management

## Decentralisation

OF:	TO:
• Planning	increase ownership of and responsibility for the development process
• Decision making	make development efforts more demand driven
• Financial management	increase accountability to beneficiaries



### **Privatisation**

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- Functional analysis of public sector activities
- Enabling environment  
legislation, infrastructure, taxes, levies.....
- Private sector strengthening  
loans / contracts
- Public sector reform  
retrenchment  
support to enter the private sector




### **Privatisation and Public Sector Reform (PSR)**

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Constraints caused by unsuccessful PSR

- lack of resources
- unfair competition
- lack of incentive
- conflict of interests




### **Decentralisation and Public Sector Reform (PSR)**

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Constraints caused by unsuccessful PSR


- lack of continuity
- lack of commitment
- parallel structures
- lack of resources



### **Stakeholder representation**

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- creation of awareness
- information dissemination
- participatory planning and monitoring
- institutionalisation
- capacity building



### **from Policy to Practice**

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- Beyond the national level and the public sector
- Avoid 'planning-evaluation-reformulation trap'
- Deal with practical constraints to participation
- *Unite efforts around common concerns*
- *Create a demand for participation*
- Network between stakeholders



### **Role of TA**

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- projects / programmes as field laboratories
- link between beneficiaries and decision makers
- from implementation to facilitation
- interpretation of ASIP related to concerns
- 'buying into' ASIP at work-programme level
- long to term to short term
- dissociate technical from financial TA



**Conclusions**

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- SIP opens opportunities for stakeholder participation
- Reform of the Public Sector is an essential prerequisite to stakeholder participation
- Public Sector reform can be linked to Private Sector strengthening (esp. through contracts)
- Capacity building especially important below the national level and beyond the public sector
- Use the ASIP opportunities to address particular concerns and constraints



**Nutshell**

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“It is not so much a matter of getting stakeholders *on board* of the programme than it is to realise that stakeholder *are* the programme”

### 3.2 Discussion

#### **Ministry of Agriculture versus other ministries**

- To what extent can or should these conditions be achieved for the one ministry alone?
- The scope of a PER should preferably be national, but at least sector-wide;
- Once a PER has been accomplished for agriculture, the exercise should be replicated to include other sectors to;
- This process should be coordinated by one ministry, e.g. Ministry of Finance (and Planning);
- The coordination of various institutions within the agricultural sector is important;
- Intra-sectoral versus Inter-sectoral; Key ministries within the agricultural sector should be identified, e.g. Finance, Roads, Lands, and their cooperation should be ensured.

#### **Institutional reform**

- Requires a major change of attitude;
- Requires political commitment;
- Leadership is often more important than institutional arrangements;
- Does ASP revive a trend towards central planning? Efforts are aimed at a limited role for government, not an increased one;
- The core issue is the effective provision of public goods;
- Corruption is a major problem and a disincentive to change or (institutional) reform;
- The key is 'Changing the rules of the game'; corruptive practices need to have repercussions for them to be weeded out;
- The problem is the rules of the game are there to be broken or bend;
- And those who are supposed to change them are the ones who break and bend them.

#### **ASP: Public Sector Program or beyond?**

- ASP is based on the PER and is essentially a public sector program; The government cannot coordinate the private sector;
- No 'coordination' of the private sector by government, but they need to be supported and helped to facilitate their growth;
- When government withdraws from areas of service provision, nature does not allow vacuums and private sector will fill the gap;

- Private sector may fill gaps but does not happen automatically; especially in the case of remote areas or in countries/areas with an underdeveloped private sector;
- In Kenya use is made of 'Exit Plans' for government and 'Entry Plans' for the private sector (see annex 4).

### ***Stakeholder participation***

- World Bank refers to 'key stakeholders', but who decides who they are?
- How is a consensus reached between these 'key stakeholders' and who moderates the process?
- Use can be made of a task force and consultative meetings to reach consensus;
- There seems to be a 'planning overkill', stakeholders need to be involved in implementation;
- The question: "Who loses, who gains?" determines stakeholders incentive to participate;
- More emphasis should be placed on resource mobilization (contribution) by stakeholders outside the public sector, to clarify that they really have a 'stake' in the whole process;
- Stakeholder participation in planning exercises may create expectations that cannot be realized in the implementation phases;
- Contracting out of government responsibilities (e.g. to the private or NGO sectors) can also raise problems: Kenya has experienced poor service delivery by private contractors;
- Transparency in budgeting is crucial, e.g. proportion of the budget to be available for community projects;
- Transparency is promoted by 'changing the rules of the game';
- Stakeholder involvement requires a major political commitment and a change of attitude;
- It is comparatively easy to create a demand for involvement on the side of stakeholders, but who drives that process, changes attitudes? What are the incentives for that?
- Attaining and maintaining a consensus and continued cooperation between stakeholders, needs tangible results,
- From policy to practice: Translating new policies into (community) action is crucial.

## 4. Implementation and facilitation

### 4.1 Presentations Zambia

#### **ASIP in progress: the Zambian experience** *by Anthony Mwanaumo*

ASIP Zambia is now in its third year of implementation. A Mid-Term Review was recently conducted on the Agricultural Sector Investment Program (ASIP) from 25th - 26th June, 1998 to assess progress and propose corrective measures to revitalize ASIP. In this regard, the Ministry of Agriculture, Food and Fisheries (MAFF) engaged the Institute of Economic and Social Research (INESOR) to undertake the ASIP Mid Term Review (AMTR). The review involved a comprehensive consultative process of key ASIP stakeholders at national, provincial, district and grassroots level. The process focussed on the following questions: (i) what was it that was done which should have not been done?. (ii) what was it which was not done which should have been done? and (iii) what are the key lessons and above all the way forward based on these findings?

#### *Key lessons from the Zambian ASIP*

From the findings of the AMTR, ASIP has not performed according to expectation. In spite of this less than expected performance, there is room for revitalizing the program in order to meet beneficiary needs. This optimistic view is driven by the fact that the macroeconomic environment is improving and becoming more supportive to agriculture. MAFF restructuring is almost complete and this would facilitate the de-concentration of staff and management responsibilities to districts and the required establishing of common procedures for budgeting and financial management. The private sector continues to play a dynamic role in contributing towards the agricultural sector. The stimulus provided by the private sector may have led to improvements in sector performance. Farm incomes for small and medium scale farmers have risen in 1995 and 1996 by 7.5% and 8.5% respectively. Agricultural processing now accounts for one half of the contribution of food processing and textiles rose from 66.4% in 1990 to 73.8% in 1997 and is likely to continue rising. The share of agricultural exports in total non-traditional exports increased to 33% in 1997 compared to 23% in 1995 and 1996. This reflects a rising trend in agriculture's contribution to export and balance of payments. Prevalence of stunting, under-weights and wasting among children 6 -59 months old has declined, though is still very high.

At program level, some progress has also been made and impact achieved in the core agricultural services. Several new crop varieties have been released, more effective integrated pest management techniques, better crop management technology and more efficient implements have been developed. On-farm seed production for subsistence crops has been improved, viable research on several commercial crops and conservation tillage is being developed and the extension system is also strengthening the technical capacity at district level. In outgrower schemes, field extension staff have been seconded to agri-businesses. This is a promising mode of cooperation between MAFF and private sector, for the future. In addition, the Rural Investment Fund and Seeds Multiplication and Distribution sub-programs have begun to show positive results. These are important attributes of the ongoing ASIP upon which the revitalization and refocusing can be performed.

The optimism on the future of ASIP stems also from the fact that constraints to ASIP implementation have been identified and corrective measures designed to refocus the program are being developed in a responsive manner. Below are some of the identified constraints to

ASIP implementation and suggested corrective measures as part of the way forward. These are in the areas of sector policy framework, public expenditure refocusing, institutional and management framework, private sector promotion and financial management.

### *Sector Policy Framework*

Coherent policy framework is a critical implementation principle of ASIP. Government has during ASIP implementation remained committed to the policy of liberalization of agricultural markets and the increasing role of the private sector. In accordance with this commitment, government has not ordinarily intervened in fertilizer or maize marketing in a way that undermines the participation or development if or when the private sector has the will or indeed the capacity to effectively service even the remotest parts of Zambia. As part of the overall strategy to reduce rural poverty through agriculture, Government has in some cases participated in the fertilizer market as a deliberate way of meeting the needs of rural farmers, small and medium, in outlying areas who may not have benefited from ASIP or liberalization. This participation is due to the duality nature of Zambia's Agricultural Sector. Some areas of Zambia are attractive to commercial traders given their relatively better infra-structural facilities and thus accessibility. Other areas of Zambia are unattractive due to high transaction costs of operating in these remote areas. More detailed thought and innovation are necessary in order to effectively deal with the unique issues of these remote areas within the policy framework of agricultural market liberalization and increasing private sector participation.

### *Public Expenditure*

Reduced aggregated expenditure on ASIP is threatening the sustainability of the program, see table 1. Funds disbursed are inadequate for the range of complementary services that need to be provided under ASIP. Thus, there is need for an expenditure review to develop a sustainable, effective and efficient expenditures to a level fiscally sustainable.

Table 1 Disbursement of Funds to ASIP by source 1996/1997 (million US\$)

Source	1996			1997		
	Expected Disbursement	Actual Disbursement	Percentage Disbursement	Expected Disbursement	Actual Disbursement	Percentage Disbursement
GRZ	29.6	19.9	67.2	84.4	14.9	17.9
Donor	69.2	11.8	17.1	16.5	4.5	27.3
Total	98.8	31.5	31.8	99.9	18.3	18.3

The focus of the MAFF budget should be on those activities that can be effectively and efficiently implemented by Government. This inevitably means restricting MAFF operations to its core activities and leaving out of MAFF budget, those subprograms best managed by other agencies. In addition, the review entails a detailed analysis of each subprogram and the options for commercializing some MAFF activities. In particular, some activities of Research, Extension, Animal Production and Health and Seed Standards and Multiplication can be carried out by the private sector. Other core activities in which MAFF does not have a comparative advantage should be contracted out to other agencies such as private sector and NGOs.

### *Institutional and Management Framework*

The ASIP institutional framework has been inadequate to promote the participation of other critical players in the implementation of ASIP. As a result private sector and NGO participation has been minimal and ASIP became more or less synonymous with MAFF. There is therefore need to establish an institutional framework that appreciates the respective roles of stakeholders of the program. Clear consensus on how the program is to be conceived and the implication for the roles and responsibilities of different stakeholders is critical to the future of ASIP. The sub-program concept of ASIP has been at variance with the implementation principles of decentralization. The concept seems to have inherently centralized budget control, and thus reduced effective inter-sub-program coordination, created parallel reporting channels especially at district levels, and these have inevitably undermined the authority of District Agricultural Coordinators (DACOs). Whilst the completion of restructuring was a welcome phenomenon, its effectiveness may be limited if no incentives are developed for MAFF staff.

### *Private Sector Promotion*

The role of the private sector in implementing ASIP has been minimal. New Products Development and Rural Finance sub-programs, which should have been implemented by the private sector, have not taken off. Furthermore, private sector participation in Research, Extension, Animal Production and Health and Marketing and Trade has been limited. Private sector participation has also been constrained by weak enforcement of legislation. For instance, agricultural charges under the Agricultural Credit Act are not effectively enforced. In addition, the procedures for contracting out some of its services to the private sector through tendering mechanisms needs strengthening.

### *Financial Management*

Weak financial management has been one of the main constraints to successful ASIP implementation. The financial management and reporting system have not only been inadequately designed, but also too complicated vis-à-vis the capacity of the Financial Management Unit (FMU). Actions by FMU tended to be more reactive than proactive. The concept of basket financing seems difficult to realize. This principle seems to have constrained some donors from actively channeling funds through the FMU. Thus, the concept of pooled funding needs to be re-examined.

### *The way forward*

Pro-active leadership by MAFF is paramount to effective ASIP implementation. Thus, MAFF should play a leading role in bringing together stakeholders to come up with a common vision to move the sector forward.

*Agricultural Policy Framework:* Government will reaffirm its policy and clarify the principles that will determine its actions in the agriculture sector. This reaffirmation will state the roles of different stakeholders and how the issues of duality will be dealt with, consistent with the policy framework of liberalization. As a result, some agricultural policy strategies are being revisited and a detailed study on duality is ongoing to come up with specific policy strategies to address the duality problem.

*An Expenditure Review* is being undertaken to feed directly into the formulation of the 1999 budget. This review will refocus resources allocations in a way, which would raise the significance of district level expenditures and give district authorities more discretion over the use of resources. A new formula for the calculation of district allocations has been designed. New guidelines will be developed to ensure that Government obligations to staff are properly followed by district and provincial authorities and that national objectives such as disease

monitoring and control are accorded the required attention. Through these adjustments ASIP can move to a more sustainable, effective and efficient pattern of public expenditures.

*Refocused funding by IDA* In response to the recommendations of the AMTR, and to ensure immediate results on the ground, IDA (World Bank) is to re-focus its support including that for the remaining part of 1998 on the following core functions.

*Agricultural Services* - Agricultural Research and Extension research linkages. The district will be the focal point for extension and technology dissemination and the strategy will be to achieve a location-specific, demand-driven service. Where appropriate the private sector will complement the public sector in providing such services, through contractual arrangements. The research strategy will involve the development of a demand driven services with the private sector providing the private good/non public good dimensions of research and will be based on demand-driven work plans, a function of the comparative advantage in line with resource endowments per region.

*Rural Investment Fund:* The program will be expanded to cover more groups and the processing of sub-projects for funding will be accelerated. The DACOs will be more involved in ensuring sound appraisal practices, availability of funds for operation and maintenance and timely and efficient utilization of the infrastructure.

*Capacity Building:* This will focus on sector performance analysis, market and price information, agricultural production surveys and skills oriented training especially for the district.

*Pilot Rural Finance* schemes to be piloted among smallholder farmers through the private sector.

*Modifying ASIP Components:* The division of the program into four components, policy, public, private and pilot schemes such as Rural Investment Fund(RIF), be modified into two components the agricultural sector public expenditure program and one that defines other activities that are not core functions of MAFF but in which it has an interest. The first component is to support the agreed core functions and work plans of MAFF. The second component includes RIF and Rural Finance, New Product Development and other private sector development activities to be separated from MAFF and not fall under MAFF management or be integrated within MAFF work planning or budgeting process and be managed by other agencies where appropriate.

*The ASIP Consultative Forum(ACF):* The MTR agreed that part of the difficulties experienced in the past arrangements, was the attempt to locate coordination within MAFF and thus, the subsequent perception that MAFF has tended to control the program rather than being one among many other implementing organs. Thus,, the ASIP Consultative Forum (ACF) consisting of sector stakeholders has been established. The ACF provides a forum under which all key stakeholder representatives are consulted in the design and implementation of activities managed by the other agencies. Other consultative fora, Subprogram Implementation Committees (ASICs) and District Agricultural Committees will continue to play an important role. The ACF will focus mainly on cross cutting issues and will ensure that resources are directed to agreed priorities. The ACF comprises of 21 members drawn from MAFF (4), other relevant ministries, finance, lands, local government, and works and supply (4), donors (3), farmers and farmers' representatives (4) NGOs (3) and private sector (3).

To be effective, the ACF is backed by a small full time secretariat, the ACFS, comprising of an ASIP Coordinator, Program Officer and Finance and Budget Analyst. The secretariat's key role is

to backstop the ACF and follow up on the implementation of actions agreed by the ACF. The ACFS is more of a coordinating organ and supportive role to the ACF. It can subcontract out some functions when its internal capacity does not permit. The ACFS is thus the focal point for ASIP coordination and a one-stop center for ACF.

Coordination at the provincial level is by the Provincial Agricultural Coordinator (PACO) and consultations at district level continue to be through the District Agricultural Committees (DACs) with the assistance of the District Agricultural Coordinators (DACOs). The role of the DACs has however been slightly changed from work program and budget appraisal to problem identification and prioritization.

*Structural Changes:* The position of Director and that of Sub-program Manager to be unified and the districts will be given a single budget ceiling according to a pre-determined formula and will be allowed to budget according to their identified problems and priorities. In addition, the role of Sub-program Managers at National level will be re-defined to policy formulation, monitoring and technical backstopping so that management aspects become the responsibility of district sub-program managers.

*Incentives:* MAFF will negotiate for an improved incentives structure to match the restructured MAFF. On promoting private sector participation, MAFF will strengthen procedures to contract some of its services to the private sector (incl. NGOs) using tender mechanisms. The efficiency analysis from the Agriculture Expenditure Review will be the basis for contracting out. Experience from the Animal Production and Health Sub-program provides a good model for actual management of contracts and tenders for service delivery.

*Private Sector Promotion:* The new organizational and management framework for ASIP discussed above will also include a Private Sector Consultative Forum to work closely with MAFF through the ACF, on legal, infrastructural, institutional and policy constraints. Agribusiness, agricultural traders, farmers, NGOs and donors rise to this challenge of partnership with MAFF to address farmer needs.


*Financial Management:* MAFF is pursuing an immediate financial management program. This entails strengthened management of MAFF/FMU through recruiting senior staff to fill vacancies, appointment of a Management Accountant and back-stopping team to develop financial management capacity and support re-organization of budgeting, accounting and computing systems, ensuring accountability of FMU to ASIP budget holders through regulation reviews and computerization of MAFF accounts simplified and new system installed.

Other steps involve the strengthening of provincial and district accounting teams and the transferring of responsibilities for financial supervision and management of grant/loan reimbursements to PACO. The changes will also involve the re-establishing of cash flow of donor funds through ASIP via resolution of delays in replenishments by revising the 1998 budgets and disbursement schedules in line with the IDA agreement as discussed above and the appointment of external auditors to undertake regular quarterly audits to enhance transparency and accountability.

### *Conclusion*

The Zambian experience shows that implementation of a SIP requires innovation, responsiveness and some level of flexibility to keep up with the dynamics of the agricultural sector. In Zambia the re-focussed and revitalized ASIP arising from the changes from the Mid Term Review provides hope for revitalizing the agricultural sector. The consensus on the


constraints to ASIP implementation and on corrective measures to refocus the program provide the basis for this optimism. But for this to be realized there is need for proactive leadership and continuous consultation among the stakeholders of ASIP. This would enhance public/private sector partnership that is critical to addressing the needs of the program potential beneficiaries.




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**Supporting livestock development  
under ASIP Zambia**

by Desiree Dietvorst



**Pre-ASIP period**

- since 1986
- implemented through the department
- supported the dep's activities
- novel approaches and ideas
- six specialist teams
- donor and department staff in each team



**Animal Production and Health  
Sub-Programme**

privatisation


- services (commercially viable)
- contracts (GRZ or donor funded)

decentralisation

- planning / financial management
- beneficiary involvement

beneficiary participation

- planning / implementation
- organisation / mobilisation



**Change of approach**

The question is

NOT: *What should be done?*

BUT: *Who does what?*



### From Project to Programme

**Steps:**

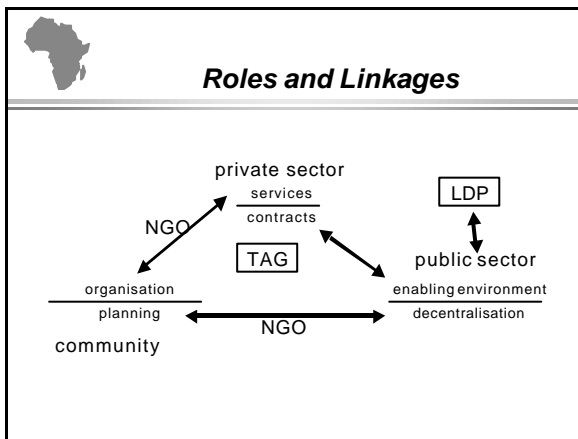

- ⇒ dissociate from the government (DAPH)
- ⇒ divide resources: project and DAPH
- ⇒ divide activities: public and private sector
- ⇒ allocate budget to public and private sector



### From Project to Programme


**More steps:**

- ⇒ identify NGO activities
- ⇒ relocate staff
- ⇒ support establishment of NGO
- ⇒ implementational → facilitatory role


### The Technical Advisory Group (TAG)

- limited operational funds
- accessible
- neutral
- flexible
- outgoing / networking
- value local initiatives and capacity
- 'link and lobby'
- 'halfway-house'



### Facilitating

- Cattle marketing
- Tsetse control
- CBPP (Contagious Bovine Pleuro Pneumonia)




### Cattle marketing (community, private, public)

- privatisation of veterinary services
- community organised markets
- mobilisation of traders
- mobilisation of veterinary input retailers
- pilot LIVMIS by DEMD
- support from BRE




***Tsetse control***  
*(public, private, NGO, community)*

- local manufacturing of targets
- training of contractors
- building NGO training skills
- leasing of vehicles & equipment
- *assisting in preparation of contracts*
- *assisting in developing tender procedures*
- supporting extension by NGO




***CBPP control***  
*(public, NGO, private, community)*

- NGO to conduct extension programme
- DAPH vaccination & slaughter
- traders to support stock movement controls
- BRE to support slaughter
- NGO to set up income generating activities
- *traders proposed L'stock Disease Control Fund*
- *consultant to assess feasibility*
- *contributions traders, council, transporters*
- *DAPH in advisory role*



***Conditions***

- political readiness to accept and promote
- national programme (rather than strategy)
- decentralisation of planning and implementation
- readiness among stakeholders
- effective TA
- not an alternative project management unit



***Recent developments***


TAG National level is established

*Enabling environment*

- legislation
- tender procedures

*Government - donor coordination*

- chair of AP&H Implementational Committee
- sub-programme WP & Budgets



***Future prospects***

- TAG multidonor
- exportation of TAG concept
- pooling funds on Sub-Programme level
- carry out pilot phases (Sanitary Mandate)

## **Field experience Zambia**

### **GTZ ASIP Support Southern Province**

(By Reimund Hoffmann)

#### **Stakeholder participation**

The gender oriented participatory extension approach (GPEA) among MAFF and NGO field staff as well as senior officers through training and follow up sessions, thus improving the farmer – extension worker communication.

At the same time it attempts to empower farmers in identifying their own problems and needs and to undertake actions to overcome those problems.

#### **Strengthening of District Agricultural Committees (DAC's)**

through training and supervision is also an important project activity to ensure stakeholder participation.

#### **TERM OF REFERENCE FOR DACS (JULY 1997)**

#### **BROAD ASIP IMPLEMENTATION**

##### **a) Promote agricultural development and coordinate planning and implementation at camp and district levels:**

- *act as a forum for dissemination and promotion of district agricultural information;*
- *play an advisory role to District Development Coordination Committee (DDCC) and District Planning Unit (DPU) on agricultural development;*
- *ensure that no duplication of project activities take place;*
- *coordinate with other institutions such as DDCC and DPU;*
- *identify agricultural priorities under workplans according to the various sub-programs and also identify priority sub-programs at any given period as a basis for funding;*
- *source funds in collaboration with ASC for identified projects;*
- *report on a quarterly basis to the secretariat of the ASC;*
- *ensure funds are disbursed according to work plans; and*
- *ensure that integrated and collaborative approach between sub-programs and institutions is pursued to solve problems;*

##### **b) Assess viability and social acceptability of projects and programs through review and Approval of workplans and budgets;**

##### **c) Monitor and supervise overall ASIP implementation and impact at district level including reviewing progress and resolving problems that may arise:**

- *conduct on the spot check of the sub-programs activities;*
- *spearhead the development of a reporting system specific to the districts;*
- *monitor impact of programs as part of Monitoring and Evaluations system under MAFF;*
- *receive quarterly reports on issues constraints and prospects for implementing district ASIP activities; and*
- *based on evaluation progress reports etc. the DACs should provide guidelines and direction for ASIP implementation at district levels*

d) **Make policy proposals and/or advice to the National ASIP Steering Committee for consideration in order to ensure that there is local participation in ASIP programs at district level.**

e) **Act as a forum to promote long-term maintenance of infrastructure by involving Local communities in project identification and implementation.**

#### **RIF IMPLEMENTATION**

- a) Coordinate and monitor the implementation of the Rural Investment Fund (RIF) projects under ASIP.
- b) Make recommendations to the National RIF Co-ordinator for funding of approved project proposals.
- c) Assess and approve viable projects submitted to the DAC by small-scale producer groups/farmer groups.
- d) Ensure consistent linkages between RIF funded activities with other ASIP sub-programs and multi-sectoral activities.
- e) Identify and make necessary recommendations on policy issues related to RIF supported activities.
- f) Prepare Quarterly Progress Reports on RIF activities.

#### ***Recommendation ASIP Mid Term Review June 1998***

- *Transforming DACs into consultative, rather than appraising, bodies and let their main role become problem identification*

#### **Achievements**

- Links between government and farmers established
- Awareness creation among farmers
- DAC members committed
- Formation of farmers' groups and associations supported

#### **Problems**

- ToRs too ambitious
- Level of knowledge, organizational, management and leadership capacities differ among DAC members and in many cases below required standards
- Lack of funds for DAC functioning
- Allocation of budget ceilings according to sub programs from national to district level leaves hardly any room for decisions based on district needs and priorities

#### **Project support**

- Trainings in communication, group dynamics, leadership, understanding of workplans and budget, project cycle, business skills, etc. according to local needs and interests.

#### **Local subsidies**

- to farmers' groups out of the Rural Development Fund to carry out small scale projects on village level (matching grant system; at least 25% local contribution required).

### ***Natural resource management***

- is promoted in the villages as well as diversification of crops with emphasis on drought resistance, nutrition and cash value among the target group.

### ***Decentralization of planning, budgeting, executing and monitoring of MAFF activities***

- with special emphasis on the district level. The project works in close cooperation with senior MAFF staff at district, provincial and national level, i.e. District Agricultural Co-ordinators, sub program managers and Policy and Planning Branch in developing and employing respective M+E tools as well as setting up appropriate Management Information Systems.

## **4.2 Discussion Zambia**

### ***ASIP Components***

- Zambia's ASIP has 15 sub-programs divided into four components: policy, public, private and pilot schemes. The Rural Investment Fund (RIF) is a sub-program in its own right that falls under the 'pilot-scheme' component.
- The various components are funded by the government and donor funds. For both these sources, actual disbursement has been a small proportion of committed funds;
- ASIP activities have to be prioritized, so that funds are allocated to the minimum core functions required to be performed in order to keep the program moving;
- In actual fact, despite the funds-shortfall, substantial progress has been made in different areas (though not as much as planned);

### ***Rural Investment Fund (RIF)***

- Is an ASIP sub-program;
- Communities apply for funds for a project on a 'matched grant' basis: i.e. 25% of the required funds is provided by the community themselves (in cash or kind) and 75% is provided through RIF;
- RIF is funded out of the ASIP basket;

### ***Donor funding***

- Initially it was envisaged that donors would contribute to the central ASIP 'basket';
- This appeared not feasible because (i) the issue of 'the flag' or the need to retain identity of individual donor contributions and (ii) the lack of confidence in financial management systems;
- Even at district level, donors can contribute directly to specific sub-programs or even specific activities within sub-programs. District FMUs keep ledgers on which funds are divided by sub-program and by source. However, a problem of this mode of funding is the synchronization of funds, sometimes an activity cannot take off because only half of its funds has been disbursed.

### ***Institutional framework to get the private sector on board***

- Started with the ASIP Steering Committee, which was placed outside the public sector with a private sector chairman. This was disbanded for a variety of reasons,
- Recently introduced is the ASIP Consultative Forum (ACF) with members from within and outside the public sector;

- Sub-program Implementation Committees (ASICs) and District Agricultural Committees (DACs) are steering and implementation bodies both of which have chairmen outside the public sector and a broad representation of stakeholders including the private sector;
- Privatization Support Units were set up under a number of sub-programs but only the PSU of the Animal Production and Health Sub-Program is active.

### **Constraints in establishing TAG**

- Originally two constraints were anticipated: a lack of a platform (no longer being attached to the veterinary department) and a lack of funds (after reallocation of funds to different stakeholder categories). However, both proved unfounded.
- Some real constraints experienced were (i) confusing status (some people have difficulty with a 'free floating group of advisors'), (ii) boundary between an advisory and an implementational role is sometimes difficult to perceive and/or maintain and (iii) the issue of is it *the concept* or *the people* that made TAG tick?

### **Sustainability of TAG and NGO**

- The NGO that was created out of the original project set-up is now supporting itself. Project funds were used to help it get started, but since the beginning of this year the NGO is sourcing its own funds. The experience of its staff built up during the project years has helped it get work, not only in Western Province but throughout Zambia;
- Sustainability of TAG activities is more tricky. After the question 'Who does it?' Should be added 'Who moves it?'. In WP (and presently at national level) TAG has been active in moving the ASIP process forward. To some extent this may be viewed as 'donor-driven' although TAG has acted as a catalyst only, leaving implementation to others. On the other hand, capacity and demand that were built up in the process will remain among the stakeholders concerned.
- A lot of (national and expatriate) TA is trapped within projects: the TAG concept makes more efficient use of their skills, while building capacity in other stakeholders, which on balance is at least more sustainable than is achieved through a classic project set-up.

### **Community involvement in marketing**

- Communities who had themselves identified a marketing constraint were visited. At first these would produce shopping lists with requests for assistance (holding pen, loading bay etc). Upon being told that we (TAG plus NGO) had no funds there normally followed a tense situation. However by focussing on problems (rather than perceived solutions) the discussion would be redirected towards what can be achieved through better organization;
- Community based markets are organized entirely by the community itself (through Cattle Marketing Committees, Cattle Market Organizer etc);
- By concentrating the supply of cattle at a certain time and place they have been able to attract bigger buyers who have offered higher prices;
- Similar system is in operation in Zimbabwe where MOLA runs a Livestock Development Trust through which cattle auctions are held.

### 4.3 Presentations ASMP Zimbabwe

**MINISTRY OF AGRICULTURE  
REPUBLIC OF ZIMBABWE**

**MANAGEMENT AND INSTITUTIONAL PERFORMANCE PROGRAMME**

**MIPP**

Presented by  
Dr H Walker

A PROGRAMME SPONSORED BY THE GERMAN TECHNICAL COOPERATION  
gtz

MIPP Management and Institutional Performance Programme December '96 Slk1

**MIPP PROGRAMME PURPOSE**

THE AGRICULTURE SECTOR MINISTRIES ARE CAPABLE OF...

...APPROPRIATELY ADJUSTING THEIR STRUCTURES AND PROCESSES TO CHANGES IN THEIR ENVIRONMENTS IN A SELF-REGULATORY AND SERVICE-ORIENTATED MANNER

MIPP Management and Institutional Performance Programme December '96 Slk2

**EXPERIENCES OF THE PAST**

**TECHNICAL APPROACH**

- THE MINISTRY HAS EXPERIENCE WITH THE TECHNICAL APPROACH
- IT RESULTS IN STUDIES CARRIED OUT BY EXTERNAL CONSULTANTS
- SUCH STUDIES EXTERNALIZE THE ANALYSIS OF THE ORGANISATION
- SUCH STUDIES OFTEN DRAW A PICTURE OF "DEFICIENCIES" OF THE ORGANISATION
- SUCH STUDIES MOBILIZE "ENERGY OF RESISTANCE"

➡ CAPACITY POTENTIAL OF THE ORGANISATION IS NOT EXPLOITED

MIPP Management and Institutional Performance Programme December '96 Slk3

**LESSONS LEARNED IN A NUTSHELL**

"IT IS LESS IMPORTANT HOW EXTERNAL CONSULTANTS SEE THE ORGANISATION.

WHAT COUNTS IS HOW THE MEMBERS OF THE ORGANISATION SEE THEMSELVES AND THEIR ORGANISATION"

MIPP Management and Institutional Performance Programme December '96 Slk4

**A FRESH APPROACH: EXPLOITING THE ORGANISATION'S CAPACITY**

**ORGANISATIONAL DEVELOPMENT**

- MEMBERS ANALYSE THEIR OWN ORGANISATION FROM WITHIN
- SUCH AN APPROACH INTERNALIZES THE ANALYSIS OF THE ORGANISATION
- MANAGEMENT TAKES THE LEAD AND PROVIDES THE RESOURCES
- THE PICTURE IS ONE OF "OPPORTUNITIES" OF THE ORGANISATION
- THIS APPROACH MOBILIZES "ENERGY FOR CHANGE"

➡ CAPACITY POTENTIAL OF THE ORGANISATION IS ACTIVATED

MIPP Management and Institutional Performance Programme December '96 Slk5

**MIPP OPERATIONAL CONCEPT (I)**

**TOWARDS CONCRETE ORGANISATIONAL CHANGE**

- HIGHLIGHTING THE DEFICIENCIES OF THE ORGANISATION DOES NOT NECESSARILY LEAD TO CHANGES IN THE ORGANISATION
- WHAT IS NEEDED ARE CONCRETE CHANGES IN THE STRUCTURE AND THE DAILY PROCESSES OF THE ORGANISATION
- THESE CHANGES ARE MEASURED AGAINST PERFORMANCE INDICATORS DEVELOPED AND APPLIED BY THE MEMBERS OF THE ORGANISATION

MIPP Management and Institutional Performance Programme December '96 Slk6

**MIPP OPERATIONAL CONCEPT (II)**

**MANAGEMENT'S DILEMMA IN THE CHANGE PROCESS**

"AS AN ORGANISATION WE HAVE TO MATCH TWO CONFLICTING REQUIREMENTS:

- TO SECURE THE SMOOTH RUNNING OF DAILY OPERATIONS
- TO SIMULTANEOUSLY CHANGE THESE VERY OPERATIONS

WE HAVE ALSO TO ACCEPT THAT WE ARE CLOSELY OBSERVED IN THAT PROCESS BY OUR STAKEHOLDERS AND THE PUBLIC"

MIPP Management and Institutional Performance Programme December '96 Slk7

**MIPP IMPLEMENTATION**

**MAIN ELEMENTS OF IMPLEMENTATION**

- DESIGN OF INDIVIDUAL "CHANGE PROJECTS" WHICH TARGET PRIORITY AREAS IN THE ORGANISATION
- INTERNAL CHANGE PROJECT TEAMS DEFINE THE PURPOSE OF EACH CHANGE PROJECT AND DEVELOP THEIR OWN ACTION PLAN
- RESPONSIBILITY FOR IMPLEMENTATION IS WITH THE CHANGE PROJECT TEAM
- RESPONSIBILITY FOR THE SEQUENCING OF INTERVENTIONS IS WITH THE EXTERNAL PROCESS FACILITATOR

MIPP Management and Institutional Performance Programme December '96 Slk8

**MIPP GENERAL EFFECT ON THE ORGANISATION**

- COST SAVINGS
- FASTER PROCESSES
- APPROPRIATE STRUCTURES
- FOCUS ON CORE FUNCTIONS
- RESPONSIBILITIES AND ROLES OF INDIVIDUALS AND SUB-SYSTEMS BECOME CLEARER
- JOB SATISFACTION
- EFFECTIVE COMMUNICATION
- ENHANCED MUTUAL TRUST
- SENSE OF BELONGING
- CUSTOMER ORIENTATION
- PACE-SETTER IN THE PUBLIC SERVICE OF ZIMBABWE

MIPP Management and Institutional Performance Programme December '96 Slk9

**MIPP  
IMPACT ON OTHER  
ORGANISATIONS**

**PUBLIC SERVICE COMMISSION**

- MONITORS MIPP APPROACH CLOSELY
- REQUEST TO "REPLICATE" MIPP CHANGE PROJECT (REGISTRY) AT PSC

**PUBLIC SECTOR ORGANISATIONS**

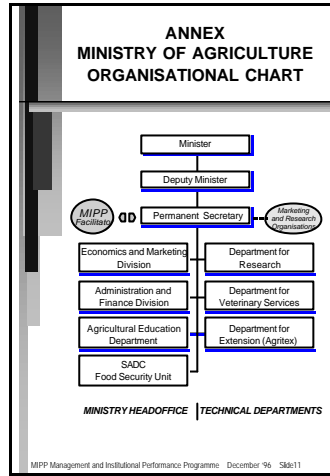
- REQUESTS FOR MIPP PRESENTATIONS
- REQUESTS TO ASSIST WITH THEIR OWN CHANGE PROJECTS (e.g. MINISTRIES, PARASTATALS, DONORS,NGOs)

**PRIVATE SECTOR**

- REQUESTS FOR OD PROCESS FACILITATION AND ADVICE (e.g. CZI, MUNICIPALITIES, PRIVATE COMPANIES)

COUNTRIES INVOLVED IN MIPP NETWORK:  
ZIMBABWE, NAMIBIA, SOUTH AFRICA, ZAMBIA

MIPP Management and Institutional Performance Programme December '06 Slide10



**ANNEX  
SEQUENCE OF STEPS IN  
"CHANGE PROJECTS"**

- MANAGEMENT DECIDES TO ADDRESS PRIORITY ISSUES IN A SPECIFIC ORGANISATIONAL UNIT
- IDENTIFICATION OF STAFF MEMBERS INVOLVED/AFFECTED
- FORMATION OF A CHANGE PROJECT TEAM WITH A LEADER WHO TAKES RESPONSIBILITY FOR OVERALL IMPLEMENTATION
- ELECTION OF CHANGE PROJECT SUB-TEAMS WHO COME UP WITH OWN SOLUTIONS TO IDENTIFIED PROBLEMS
- MANAGEMENT MEETINGS TO DISCUSS RESULTS OF SUB-TEAMS AND TO JOINTLY FORMULATE ACTION PLANS
- JOINT IMPLEMENTATION OF ACTION PLANS BY CHANGE PROJECT TEAM
- MONITORING OF IMPLEMENTATION BY MANAGEMENT AND TEAM MEMBERS

MIPP Management and Institutional Performance Programme December '06 Slide12

**ANNEX  
FACILITATING THE  
CHANGE PROCESS**

**ROLE OF EXTERNAL  
OD CONSULTANT  
(PROCESS FACILITATOR)**

- MOBILIZES CREATIVE ENERGY IN THE ORGANISATION
- PROVIDES / FACILITATES MANAGEMENT TRAINING
- PROVIDES POSITIVE AND CONSTRUCTIVE FEEDBACK TO THE ORGANISATION
- ENSURES THAT ALL HAVE EQUAL CHANCES TO CONTRIBUTE TO THE PROCESS
- PROVOKES AND STIMULATES DISCUSSION
- MAKES PROCESS TRANSPARENT
- ASSISTS IN M&E OF CHANGE PROCESS
- COACHES MANAGEMENT

MIPP Management and Institutional Performance Programme December '06 Slide13

Further presentations:

Dr. G. Sithole: Institutional change (paper: not available)

Dr. A. Jama: Institutional reform-donor links (paper: not available)

#### 4.4 Discussion Zimbabwe

##### ***Agricultural Services and Management Project***

- ASMP is strongly supported by the Agriculture PS which is a prerequisite for its success;
- The ASMP budget is ministry-wide, but each department has it's own budget allocation within that;
- The change process started at head quarters level. It will move to district level in due course;
- It will include a computer network and stakeholder workshops to promote a broad participation;
- The coordination is at national level, in the ministry but also through a donor coordinator;
- Monitoring of the process is also centralized;
- TA and their ToR are determined by MOLA;
- To what extent can MOLA embark upon such a project in isolation of change and capacity building in other ministries?;

- MOLA provides services requested by the RDCs; Agriculture supports the rural development process driven by RDCs;
- There is close consultation with other departments and outside the ministry;
- However, ASMP provides capacity building, but no blueprints for change;

### ***Institutional change***

- Organizational vs. institutional change, what is the difference? An organization is often seen as a sub-set of an institution; Organization Development (OD) techniques are used as one of the tools to effect institutional change;
- In Zambia institutional reform preceded capacity building while in Zimbabwe capacity building came first. Is it foreseen that trained people are going to have to be retrenched, representing a loss of investment?
- The process of institutional reform is helped by capacity building, as people are more ready to change when they understand why. However, the major training effort is reserved for only *after* the functional analysis of the ministries functions is completed;
- The process of institutional change and the development of an investment / support program is country specific: there are no general prescriptions;

### ***To what extent is institutional change a pre-requisite for ASP?***


- Human resource development was one of the four pillars of the sector policy framework (SPF). The ASMP moves towards fulfilling that objective;
- Capacity building *is* a pre-requisite of ASP: Ownership requires capacity!! One reason why the government has lost control over development processes in many countries is because of lack of capacity. There can be no ownership without capacity!;
- The institutional change achieved through ASMP is geared towards investment to come under ASP, for example agricultural training. Some investments are already being made, such as in irrigation, which is supported by ASMP. It is possible that the development and establishment of ASP is a step-by-step process, with ASP investments gradually build into the managerial framework strengthened under ASMP;

### ***Benefits and incentives***

- *Of AMSP*: An immediate benefit of capacity building is more effective management. Management skills are often lacking even among high-level government officials who are often administrators instead of managers. ASMP has shown that with relevant management training (government officials were in the same course with private company managers) can dramatically improve management capacity and is perceived as a benefit by the person concerned;
- Unfortunately salary structures in the civil service are fairly rigid and MOLA/ASMP can use increased salaries as an incentive only to a very limited extent. Instead, training opportunities (e.g. MSc and PhD) are used as incentives to keep people motivated to perform in the change process;
- Other incentives include remuneration from boards, councils and other meetings;
- *Of ASP*: An economic analysis of the agricultural sector was done as part of ASMP. This showed that an ASP could provide financial benefits to the public sector (MOLA). Mostly because the government saves money when it allows the private sector to take over the provision of certain services at a cost, especially in the livestock production sector (e.g. veterinary services);

## 5. Impact


### 5.1 Presentations




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**ASIP IN ZAMBIA:  
MONITORING AND EVALUATION**


by Anthony Mwanauomo




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*ASIP M&E System*


- Responsibility of the M & E Unit of the Economics and Market Development Division (EMDD)
- The ASIP M & E system has three components
- Management information system (MIS),
- Impact evaluations of individual programmes beneficiary assessment
- Feed back and agriculture sector performance analysis




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*Development of MIS*


- ASIP MIS established with the help of Coopers and Lybrand
- Prototypes developed for extension sub-programme and for human resource development
- Logical framework was used to conceptualise linkages between objectives, outputs, activities and inputs.
- KPIs formulated through a consultative process with key stakeholders




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*MIS cont'd*


- The MIS is being expanded to encompass a data bank and management information for each of the ASIP subprogrammes.
- Data bank and management information facilitate the evaluation of implementation of each subprogramme against the relevant monitoring performance indicators,
- Data bank and management information also help evaluate ASIP as a whole against the stipulated verifiable KPIS




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*Status of MIS*

- Work on the MIS hampered by the slow pace of restructuring.
- Lack of the new structure constrained the development of clear reporting lines from national to provincial and district levels.
- With new structure almost in place more progress is anticipated





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*Evaluation Techniques*


So far done as part of M&E:

- Pre-ASIP performance analysis,
- Systematic clients consultation
- Agricultural sector performance analysis
- Review of implementation of ASIP have been conducted




### Impact Evaluation

- The ASIP M & E system also undertakes impact evaluation and annual sector performance studies
- Institute of Economic and Social Research (INESOR) of the University of Zambia has been contracted to undertake these studies



### Systematic Client Consultation


- The systematic client consultation proved to be a useful participatory method designed to involve stakeholders in the preparation of annual work plans and budget



### Other Means to Monitor ASIP


Other means to monitor ASIP:

- Semi annual and annual reports of subprogramme managers to ASIP
- Subprogramme implementation committees (ASICS)
- Comprehensive annual reports on implementation status, issues, constraints and prospects for presentation at joint annual reviews
- The newly formed ACF will also be a key tool for monitoring ASIP




### ASIP Components, Sub-programmes and Objectives

Priority areas	Sub-programmes	Main objectives
Policy & Institutional Improvements	Policy & Planning	Policy reforms Decentralisation & Restructuring of MAFF Operation of FRA.
Public Investment	Agricultural research	Develop appropriate high yielding technologies for increased productivity.
	Extension & Information	Disseminate technologies to increase productivity of Smallholder farmers.
	Animal Production & health	Improve disease control and increase livestock productivity.
	Irrigation	Develop small scale irrigation facilities for smallholders
	Fisheries	Develop fisheries and agriculture for smallholders and resource poor households.
	Farm power mechanisation	Assist smallholders to adopt labour saving technologies to increase production.
	Agriculture training	Strengthen agriculture training to meet needs of small farmers.
	Land administration and use	Improve access to land and land use conservation.



### ASIP Components, Sub-programmes and Objectives

Priority areas	Sub-programmes	Main objectives
Private sector Development	Seed multiplication & distribution including standards.	Diversity and promote community-based and private sector led seed multiplication and distribution.
	New products development	Promote diversification through high value non-traditional crops.
	Marketing and Trade	Develop private sector-led marketing system for agricultural inputs and products.
	Rural Finance	
Pilot investment	Agricultural and rural finance (including Rural Investment Fund)	Establish sustainable rural finance system to improve smallholders access to credit and other financial services.



### Key Performance Indicators

	1991	1992	1993	1994	1995	1996	1997
Agric. GDP (1994 Constant Prices, K' Million)	284,891	342,403	322,379	302,183	402,964	400,423	386,703
Total Value of Agric. Exports (US \$' Million)	33.65	28.34	35.70	23.89	47.24	56.56	109.44
Yield/ha of Major Crops	1.59	0.75	1.64	1.28	n.a	1.61	n.a
Area Cultivated/Farm Hh (ha)	1.42			1.37		1.17	
Share of Maize in Area Cultivated	55.2			59.04		56.97	
Net Farm Income/Household (Constant 1994 Kwacha)				76,570.1	82,297.7	89,328.7	
Fertilizer Use (kg/ha)	98.22	69.35	121.33	79.46	55.97	59.46	
Percentage of HH with Cattle	19	20	17	14	13	13	



## **THE DESIGN OF SECTOR PERFORMANCE ANALYSIS**

by Dennis Chiwele



## **THE MAIN OBJECTIVES OF SPA**

- To ensure continuous and independent evaluation of the performance of agriculture under ZASIP.
- To provide analysis regarding the extent to which the implementation of ZASIP was helping to meet the five sector goals set at the beginning of the current reforms.
- To serve as one of the tools for the harmonisation of donor approaches with no separate donor-initiated reports.



## **THE MORE PRECISE OBJECTIVES OF THE SPA**

- To assess the impact of public policy on the performance of the agricultural sector;
- To assess the impact of agricultural services on the levels and patterns of production of different categories of farmers;
- To assess the views of beneficiaries (farmers) and stakeholders (e.g. extension officers) on factors constraining production; and
- To assess farmers' views on agricultural services and determine how the services could be improved.



## **SPA STUDIES CONDUCTED SINCE INCEPTION**

- The pre-ASIP baseline study conducted in 1995/96. Assessed the performance of the agricultural sector before the implementation of ZASIP began in 1996 and helped to establish the bench-marks to be used in future analyses.
- The 1996/97 SPA study. Apart from assessing the performance of the sector also reviewed the implementation of ZASIP in its first year.
- The Mid-Term Review: Finalized in June 1998. Did a comprehensive review of the implementation of ZASIP.



## **INSTITUTIONAL FRAMEWORK**

- The Institute of Economic and Social Research (INESOR) of the University of Zambia contracted to undertake SPA.
- MAFF's Policy and Planning Division through the Monitoring and Evaluation Unit supervises INESOR.
- The Central Statistical Office (CSO) provides data (Post Harvest Survey and Living Conditions Monitoring System) through a contractual arrangement.
- SPA Steering Committee to guide SPA implementation.



## **C. GENERAL APPROACH**

- Quantitative Analysis: Key Performance Indicators (KPIs) and multiple regression analysis to explain factors affecting agricultural production.
- Qualitative Evaluation: Assesses the views of beneficiaries and other key stakeholders.
- Macro-Economic and Sector Policy Analysis: Tracks changes in the macroeconomic and sectoral policy environment and other variables exogenous to the sector.
- Case Studies: Special detailed investigations on issues of particular interest to the SPA not adequately covered under any of the other three components.



### QUANTITATIVE ANALYSIS

1. Key Performance Indicators (KPIs)
  - Aggregate Key Performance Indicators
  - Individual Sub-programs Key Performance Indicators
  - District Key Performance Indicators
2. Multiple Regression Analysis
 

Assumptions of the model: the structure of production is recursive and farmers decide production in two stages. The first stage occurs before planting (how much land should be allocated to each crop). The second stage takes place after planting (the actual usage of factors that affect the crop's yield)



### QUALITATIVE EVALUATION

- Based on Participatory Rural Appraisal (PRA) and Beneficiary Assessment (BA) methods.
- Aims at evaluating the status of agriculture and the effectiveness of agricultural services on the ground
- Three teams cover six districts, two for each of the three agro-ecological zones
- Evidence arising from Qualitative Evaluation compliments, and in many cases explains, that from the analysis of KPIs and results of multiple regression analysis.



### MACRO-ECONOMIC AND SECTOR POLICY

- Changes in various macroeconomic variables: Establishes the environment in which the sector operates and checks whether developments are supportive to the achievement of sector goals.
- Review of the sector policy developments: Assesses the continuing implementation of the policy framework as agreed upon during the design of the program.
- Agricultural commodity efficiency and profitability: Analyses impact of macroeconomic and sector policy developments as measured by DRCs ratios.
- Overall Performance of the Sector: Describes the performance of the agricultural sector within itself and relative to other sectors.



### CASE STUDIES

- The implications of adopting minimum tillage on hand hoe farmers;
- A comparison of private and public sector provided extension service;
- Developments in the horticultural industry;
- Strategies to strengthen information flow; and,
- Review of ASIP implementation issues.



### LIMITATIONS AND CONSTRAINTS

- The timing at which data becomes available for the calculation of KPIs and the period to which they refer means that information refers to agricultural production of two seasons ago. The Qualitative Evaluation results in this case become more critical.
- Qualitative Evaluation results become available at a time when sub-program managers are at their busiest point with the preparations of work programs and budgeting
- Quick and effective dissemination of results to sub-program managers and other key stakeholders overlooked at the design of SPA
- The critical need to build the capacity of all institutions involved in undertaking the SPA



### SPA ACHIEVEMENTS

- Has provided a comprehensive review of the agricultural sector
- Has provided clear policy recommendations
- Has built local capacity within MAFF and outside to undertake comprehensive policy analysis
- Experience from SPA was the basis for a successful Mid-Term Review of ZASIP

## 5.2 Discussion M+E and Sector Performance Analysis

### **Data collection**

- Data collection is responsibility of MAFF and Central Statistics Office (CSO) staff;
- CSO is not part of MAFF: at present discussions are on-going as to whether it should be moved to Ministry of Finance;
- Can MAFF staff collect data, are not specialist skills required?
- MAFF staff collect data by necessity (because of shortfalls in CSO) but otherwise have for a long time been used to collect data across areas;
- The ASIP M&E needs have improved data collection by CSO. Before CSO would collect a lot of data regularly for which there was hardly any demand, which was de-motivating;
- Demand for data now differs by area, crop data are important in the high potential areas, post-harvest data are important in the low potential areas (because of food security constraints);
- Cross-cutting issues are considered in methods of data collection: variables are gender segregated, food security indicators are used and household income and living conditions are assessed;
- The INESOR staff working on ASIP M&E consists of a four-member team. This includes specialists for quantitative analysis. Case study work can be contracted out;

### **Cooperation MAFF and CSO**

- MAFF contracts CSO to collect data specifically needed for the ASIP M&E system;
- Although CSO do have a network of staff in the field, there are shortfalls: There is a lack of capacity among (esp. district level) CSO data collectors. Also, Post-Harvest survey data by CSO are deficient in that they focus on crops and ignore livestock;
- MAFF has a more extensive network of staff in the field. CSO has no representatives at camp level, only at provincial and district level;
- The two networks have to complement each other: CSO enumerators collect at provincial and district levels, and technical MAFF staff collect at camp or field level;
- However, lack of capacity among CSO staff becomes a problem: Does MAFF have to build capacity among CSO staff, or else should it use its resources to equip its own staff to collect ASIP related data more effectively?
- However, there is no intention to develop parallel structures of MAFF data-collectors next to the CSO enumerators;

### **Quality of data**

- The quality of data has to be demand driven;
- INESOR uses raw data from CSO but cross checks them at household level. The shortfalls so identified cause delay but have sharpened CSO data collection;
- There are differences between the quantitative and qualitative data. When this is the case, CSO tends to trust the qualitative data;
- To what extent can the data reflect ASIP performance since there exists no control situation (a no ASIP situation)?
- A pre-ASIP baseline survey was conducted to overcome that constraint with special reference to the extension services as a potentially telling ASIP (service provision) indicator;
- However, as for the performance of the sector as a whole, it is difficult to measure ASIP impact (since excluding parts of the country from ASIP to act as a control is impossible);
- By using a quite large combination of MIS tools, it is hoped that impact is measured as accurately as is possible;

### **Systematic Client Consultation (SCC)**

- Data collecting staff first receive an induction course. They are made aware of the fact that the ultimate client is the farmer. Farmers are divided into different categories and other stakeholders are identified and targeted for data collection. Data collection takes place at three levels; provincial, district and field levels;
- Actual data collection is by three groups of multidisciplinary composition targeting the three geographical/climatic regions of the country. The data collection teams include members from the private and NGO sectors as well as from the government. At least one MAFF member has to be present, as a resource person and to promote a feedback channel to MAFF;

### **District level users**

- ASIP-MIS is shaped by MAFF head quarters, but how does that cater to a need at district level?
- Bottom up methods of formulating indicators and information needs are respected, but standardization of data collection formats and procedures had to be done at national level.
- However, KPIs were formulated at district level workshops and the MIS was linked to these KPIs and workshops;
- The staff from the Department of Economics and Marketing Development (DEMD) are supposed to take a leading role in data collection *and* analysis as a basis for district development plans;
- District level users demand much more accurate data than are provided by the CSO/MAFF mix of data collection;
- Whether or not districts have access to necessary data depends on the organizational set-up of data collection and analysis;
- It is important to have analysis responsibilities developed also at district levels as this increases ownership;
- Capacity for data collection and analysis is already being developed in some districts by government-partners;

### **Costs and benefits**

- The SPA is costly at US\$ 300.000,-. Compared with the cost of the total ASIP M&E exercise which comes at US\$ 500.000,- per year (first ASIP phase is four years);
- The total cost of ASIP is US\$ 350 million per year;
- These M&E costs include the capacity building costs and the vehicles, computer and other hardware expenses;
- Although the SPA is costly, the capacity building element is important;
- The cost has to be related to the benefits of ASIP, among others the use of improved farm practices and technology;
- Also, before ASIP the government worked on the basis of five-year development plans. M&E was done only at five-yearly intervals, which caused adjustments to be introduced (too) late. Under ASIP there is continuous monitoring and feedback to promote a flexible policy approach, with hopefully better results for the agricultural sector;
- Also other stakeholders are involved now, which did not used to be the case;

### **Addressing the shortfalls**

- The SPA should be scheduled so that it precedes the formulation of work programs and budgets;
- The SCC exercise is faster: Maybe the results of SCC should be presented quicker in a kind of debriefing session to sub-program managers;

- Alternatively, short preliminary analysis of the SCC could be presented in reports for use by sub-program managers;
- The DACs could be trained in data collection and analysis and be given reporting forms,
- There exist email networking plans between national, provincial and district levels to try and overcome the time-lag between data collection, analysis and use;

## 6. Lessons learned

### 6.1 Concept and rationale

#### ***Importance of flexibility of the concept***

- ASIP is a country sector program; country-specific;
- The six countries represented are all at different stages of ASIP preparation and implementation and they have all taken different approaches;
- There is no single formula for starting ASIP;
- The concept provides a guideline for sector and program planning;
- The "I" in ASIP is critical or it should at least be left at the discretion of the country whether or not to include the 'investment' component as part of the program concept.

#### ***Determinants of success***

- The need for a clear understanding the concept of AS(I)P is apparent;
- Clearer definition of SIP and its characteristics is necessary, at present there is a lot of room for multi-interpretation;
- Dynamic and strong leadership at a high level important;
- It is imperative that the top policy makers continue to support the process even as lower ranks and stakeholders are increasingly becoming involved;
- Institutional Performance is a "pre-condition" to ownership and implementation capacity.

#### ***Need for consensus and cooperation***

- ASIP is a national program and should involve all relevant stakeholders;
- To reach consensus among all stakeholders involved and at every stage of the program is near impossible, therefore we should shift our focus from consensus to effective bargaining between stakeholders to keep the process moving;
- The concept aims at a comprehensive sector approach, it avoids isolated project activities;
- "We have little time, so let's proceed slowly!" (and keep everyone on board.....)
- We need to move from the old paradigm of a blurred development focus with uncoordinated activities to a new focussed and coordinated initiative.

#### ***Importance of exchange***

- Exchange of experiences between ASIP countries very important;
- ASIP approach should be continued and lessons absorbed by implementers across the board;
- The use of country experiences can probably bring about success of the program;
- "Those who are behind have better chances of making less mistakes"
- SIP is becoming the vehicle for agriculture development in Africa. However being a new concept and an evolving one there are areas of confusion among the experiences presented and documented.

## 6.2 Conditions and preparation

### ***Adopt a process-oriented approach***

- We should avoid excessive planning;
- Too much planning will lead to too little implementation. The market mechanism should be given change to allocate resources;
- Too much time spent on planning instead of on action;
- World Bank should come down to earth and listen to other stakeholders with grassroots experience;
- Progress is slow but process is very complex

### ***From pre-conditions to key-conditions***

- All agree that there are some conditions to be met for SIP to be successful. Although these may no longer be considered PRE conditions, they have to be met somewhere along the implementation process;
- The four pillars to ASIP preparation continue to be vital;
- Coherent policy is critical, *but* where you start depends on where you are;
- The PER is an essential tool in ASIP planning because it helps to assess how public expenditure can be reallocated;
- A clearer definition of the SPF is needed to assist implementing countries;
- A comprehensive review of key policies, budget forces continues to be necessary. However, this should take place in an atmosphere of institutional dialogue and commitment;
- Difficulties of implementing policy consistently persist. How can these be overcome?

### ***Stakeholder involvement: essential but complex***

- Arriving at and sustaining consensus is extremely difficult;
- Stakeholder involvement is crucial at all levels;
- More participation can be realized in the implementation stages when stakeholders are involved also in ASIP planning and preparation;
- Stakeholder involvement has to go beyond an “alibi function”;
- Decision making and control of ASIP process has to be decentralized effectively to district level;
- Consultation in ASIP preparation needs to be continuous;
- Preparation of the program needs to be demand driven too, not only the implementation.

## 6.3 Implementation and Facilitation

### ***Institutional capacity building is a key condition***

- Build largely on existing institutions to avoid duplication and conflicts in resource use;
- Ownership requires capacity;
- ASIP Capacity Building is for all levels including top management;
- Restructuring takes time and needs to be approved and supported by top management;
- Participatory approach to Organizational Development is needed;
- Implementation arrangements need to be developed ahead of implementation;
- Institutional reforms both in the public and private sectors are very important for SIP.

### ***ASIP must go beyond the public sector***

- ASIP should include two critical components: the government and the non-government (private commercial sector and NGO sector) component;
- Private sector role in ASIP should never be underestimated;

- Ownership requires resource mobilization, only when stakeholders outside the public sector have pledged resources to the process do they become real *stakeholders* to it.
- Donor coordination, inter-departmental, inter-ministerial and private sector coordination are all vital to the process;
- Capacity building outside Ministry of Agriculture as important as inside;
- Zambia and Zimbabwe have done well in stakeholder involvement in implementation and have provided highly interesting and innovative approaches to ASIP implementation. Their experiences should be disseminated more widely and used by other ASIP implementers;
- The stakeholders *are* the program and their effective involvement will underwrite the success of program;

## 6.4 Impact Assessment

### ***Effective program monitoring needs commitment and capacity***

- MIS and M&E should be built into the process at an early stage;
- Approach needs to be systematic and methodical – good;
- Management Information Systems need strengthening in MAFF's departments;
- Beneficiaries assessments are essential in assessing the success of the program;
- Monitoring and evaluation is in danger of remaining largely an academic exercise.

### ***Sector Performance Analysis is necessary but complicated***

- SPA is crucial to ASIP implementation;
- Accurate adequate and timely data critical for SPA;
- Performance assessment is a complex and very involving issue. Zambia has made impressive efforts;
- The selection of appropriate indicators as part of the Sector Performance Analysis is critical in determining the performance of ASIP.

## 7. Open issues

### **Implementation procedures and guidelines**

- Criteria need to be developed to adequately prepare for implementation of ASIP in relation to national indicators, e.g. sector framework, economic and institutional performance indicators;
- When should a PER start, after or before ASIP starts?! How long should it take?;
- Coordinated implementation of institutional reforms and (A)SIP is required;
- Capacity building phase as 1<sup>st</sup> part of ASIP is highly recommended;
- The most effective sequencing of management improvements (including Organizational Development) and inception of (sub) programs needs to be identified;
- How to re-allocate resources with existing staff?
- Need to develop common implementation arrangements for financial management;
- Donor flexibility is required, especially in terms of funding procedures, to allow for proper integration into ASIP frameworks.

### **Focus Concept**

- The presently used concept underestimates the required contribution from stakeholders outside the government;
- The 'macro-view' is necessary in terms of supporting the establishment of the required macro-economic framework. However, too much of a 'macro-view' over-stresses the role of the ministry and overlooks the farmer;
- We have to investigate what the driving force is of ASIP. Is it *Investment*, *Institution* or *Industrialization*? Clarity on this issue is necessary to achieve a focussed concept;
- To drop the "I" is conceptually possible but takes out the stimulating force.

### **Decentralization**

- Decentralization is a crucial component of ASIP, yet very difficult to bring about;
- Experiences with institutional reform and stakeholder involvement should be looked at closely to isolate elements and factors that lead to some success;
- Can Line Ministries play a leading role in decentralization process? Or is it more dependent on demand from below;
- The issue of ASIP and decentralization needs to be investigated further.

### **Stakeholder Involvement**

- How can stakeholder participation be facilitated in an environment where the level of organization of stakeholders is low?;
- How can continued stakeholder involvement be ensured, esp. at the grassroots level;
- Mechanisms for effective stakeholder involvement at all levels should be identified and disseminated;
- An assessment should be made of the minimum consensus requirements for preparation of ASIP and be disseminated as a guideline;
- More emphasis should be placed on the issue of resource mobilization by stakeholders. Private sector entrepreneurs invest in an ASIP process as does the government. People should be made aware of their investments (i.e. their *stake* in the process) so that they feel part of the process and become committed to it's success;
- Capacity building is very vital especially at the district level. This should be done before implementation. But since the districts are many and time is short what can be done?
- The (potential ) benefits of ASIP to the public sector should be clarified, in order to help remove some of the resistance among public sector decision makers and implementers;

- Donor co-ordination continues to be an unresolved issue. Some mechanisms have to be found to facilitate this process;
- Common implementation procedures need to be resolved upon in the move towards greater harmonization of efforts;
- The potential of privatization is presently seen as a *key* assumption. However, it can also be a *killer* assumption;
- How Pan-African or regional organizations (e.g. ECOWAS, SADC) become more effectively involved in AS(IP);

### **Privatization**

- The establishment of clear private–public sector boundaries is important to prevent conflict of interests (e.g. public sector staff tendering for government contracts) and to effectively support private sector strengthening (e.g. by removing unfair -government subsidized-competition);
- How do you change the mindset of the people (policy makers but also consumers) to accept privatization and commercialization ?;
- Kenya's *Privacom* experience is unique. Lessons can be extracted from this experience and disseminated;
- To what extent should the ASIP *process* be privatized and how could this be done?;
- The question of transition period needs to be visited especially when motivating the private sector to get on board;
- How can we prevent that the public sector doesn't remain with costly functions, which are merely unwanted by the private sector (i.e. the 'residue' portfolio) ?
- Marketing policy needs to be such that an enabling environment for private sector participation is created and maintained;

### **Donor Coordination**

- An effective way to co-ordinate donors has yet to be found;
- Role of GTZ/BMZ should be clarified and a process should be started at that level to make GTZ/BMZ procedures more flexible and more easily integrated into recipient country's national development strategies;
- The integration of existing projects and programs into ASIP-implementation is a process that has only just begun. Lessons need to be extracted from available experience and disseminated;

### **Cross cutting Issues**

- The connection and coordination between ASIPs and cross-cutting issues (e.g. food security, gender, the environment) is not yet clarified;
- The coexistence and/or integration of food security into (Agricultural) Sector Investment Program frameworks has to be investigated;

### **Systematic exchange mechanisms**

- Maximum information sharing is required especially on institutional analysis;
- Zimbabwe and Zambia need to share information with others (including field level experience with the TAG);
- A workshop should be organized for permanent secretaries and directors of agriculture, veterinary and livestock production ministries / departments, to generate top policy level understanding and support for ASIP;
- Government staff and donor representatives who work within ASIP frameworks should develop mechanisms to ensure regular exchange;

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### **M & E design**

- The process of definition of performance indicators is critical to successful monitoring, but not entirely clear. Who defines the Key Performance Indicators?;
- The measuring or assessing of indicators at provincial and district level needs more analysis;
- The lower level ASIP implementers should be more involved in the process of program monitoring. They should take part in the identification of indicators, as well as in the collection and analysis of information against those indicators;
- ASIP implementers and monitors need to network and exchange information on the identification and assessment of indicators;
- Indicators should be included to measure the *process* of ASIP implementation (not only the *progress*);
- The M&E and MIS instruments of ASIP should be linked to Commodities Exchange mechanisms to ensure demand driven development ;

### **M & E use**

- The issue of the *use* of M&E information needs special attention;
- How are performance monitoring findings fed back to district level implementers?;
- In what way are SPA findings followed up?

## 8. Proposed action

TOPIC	ACTION	WHO
Cross-cutting Issues	Study planned	3 GTZ projects to collaborate on study contact: Gunther Bischoff
Stakeholder involvement	Southern and Western Provinces of Zambia to exchange info on community based marketing	GTZ-SP (Reimund Hoffman) DAC-SP (Ms Malambo) LDP/TAG (Desiree Dietvorst)
Privatization	Exchange experiences on linking commodity exchange to privatization exercises: Kenya - Zimbabwe - Zambia	Kenya ACE (Mr Kariuki, Mr Kihu) GTZ project on private sector support (Zambia-Zimbabwe) contact: W. Zehender
Privatization	Info dissemination of Kenya's experience with the Maximeter Approach under it's ASMP	contact: Mr Kihu
Decentralization	Contact SNRD work group on decentralization concerning joint efforts ASIP-decentralization	GTZ contact: Dr Manfred Leupolt
Indicators	Develop an indicator data base for AS(I)Ps	GTZ (Albert Engel) INESOR (Dr Chiwele)
Exchange	Presentation and publication Zambia experience	MAFF - ACF (Dr Mwanaumo) INESOR (Dr Chiwele)
Exchange	Dissemination of experiences and views	GTZ (Albert Engel) World Bank Website (Mr Weissman)
Exchange	ASIP contact persons	SNRD / ASIP-work group (Albert Engel, Mr Fitter)

## Annex 1 Overview of Sector Programs in Africa

### SECTOR PROGRAMS (SP) APPROVED

(as of 6/1/98 – sorted by country, then approval date)

Country	Program Name	World Bank Approval	IDA (\$m)	Total Cost
Benin	Population & Health	05/30/95	27.8	34.1
Benin	Transport Sector	10/31/96	40.0	40.0
Cameroon	Transport Sector	05/30/96	60.7	664.5
Ethiopia	Roads Sector III	01/15/98	309.2	538.0
Ethiopia	Education Sector	05/26/98	100.0	100.0
Ghana	Highway Sector Credit	05/14/96	100.0	1674.0
Ghana	Basic Education	06/18/96	50.0	750.0
Ghana	Health Sector Reform	10/21/97	35.0	35.0
Guinea-Bissau	National Health Development Program	11/25/97	11.7	66.1
Kenya	NARP II	01/28/97	39.7	60.0
Kenya	Energy Sector Reform	06/19/97	125.0	798.9
Lesotho	Road Rehabilitation	05/09/96	40.0	126.0
Madagascar	Energy Sector Development	04/16/96	46.0	132.5
Malawi	National Water Development	06/28/95	79.2	79.2
Mali	Urban Development & Decentralization	12/13/96	80.0	80.0
Mauritania	Health Sector Investment Program	03/31/98	24.0	24.0
Mozambique	Health Sector Recovery	11/30/95	98.7	355.7
Niger	Health Nutrition Development	09/05/96	40.0	50.0
Senegal	Integrated Health Sector	09/4/97	50.0	397.0
Sierra Leone	Health Sector	03/14/96	20.0	20.0
Sierra Leone	Transport Sector	06/27/96	35.0	41.0
Tanzania	Roads II0	04/7/94	170.2	653.5
Tanzania	Urban Sector	05/23/96	105.0	141.3
Uganda	Environment Management	09/14/95	11.8	23.0
Zambia	Health Sector	11/15/94	56.0	557.0
Zambia	Agriculture Sector Investment Program	03/30/95	60.0	350.0
Zambia	National Road	10/14/97	70.0	460.0
Zambia	Power Rehabilitation	02/19/98	75.0	198.4

**SECTOR OPERATIONS (SP) IN THE PIPELINE**  
(as of 6/1/98 – sorted by country, then approval date)

Country	Project	Appraisal date	WB planned Approval	IDA (\$m)	Total Cost
Benin	Agriculture Sector	12/01/98	07/06/99	40.0	60.0
Burkina Faso	Basic Education	07/05/99	11/16/99	30.0	30.0
Chad	Health	04/01/99	09/01/99	30.0	30.0
Chad	Third Transport Sector	01/15/00	07/20/00	20.0	20.0
Chad	Education Sector VI	05/15/00	10/12/00	20.0	20.0
Ethiopia	Health Sector	05/18/98	09/15/98	100.0	750.0
Ghana	Education Adult Literacy II	03/01/99	06/29/99	30.0	50.0
Kenya	Agriculture Sector	04/19/98	09/24/98	27.0	376.0
Kenya	Health Reform	05/31/99	07/31/99	30.0	70.0
Lesotho	Health Investment	08/08/99	02/15/00	20.0	30.0
Mali	Health Sector Development	06/15/98	10/20/98	50.0	400.0
Mali	Education Sector	01/15/99	07/27/99	45.0	55.0
Mozambique	Education Sector0	06/08/98	09/03/98	60.0	60.0
Mozambique	Agriculture Sector	04/23/98	12/01/98	40.0	200.0
Senegal	Long-Term Water	09/01/98	01/19/99	40.0	40.0
Senegal	Transport II	10/01/98	02/25/99	55.0	55.0
Senegal	Agricultural Sector Invest.	09/15/98	05/18/99	30.0	30.0
Senegal	Education Sector	03/15/99	09/14/99	20.0	30.0
The Gambia	Education III	06/01/98	10/06/98	20.0	90.0
Uganda	First Road Sector	02/01/99	10/28/99	270.0	750.0
Zambia	Basic Education Sector	06/27/98	10/29/98	30.0	60.0
Zimbabwe	Family Health III	02/02/99	05/27/99	50.0	50.0

## **Annex 2 Workshop outline**

### **Sector (Investment) Programs in Agriculture**

(Harare, 28 September – 1 October)

#### **Target group**

AS(I)P implementers, advisers, policy makers involved in agricultural sector (investment) programs

#### **Overall Objective**

Participants design, implement, facilitate Agricultural Sector Programs more effectively and in cooperation with key stakeholders.

#### **Overview**

Sector (Investment) Program, S(I)P, is a new instrument of sector development, which is gaining rapid momentum in Africa. It is expected to improve both the effectiveness of donor aid and the delivery of public sector services. S(I)P aims at addressing the shortcomings of traditional investment projects, such as insufficient local ownership and commitment; lack of a coherent sector policy framework, project duplication and fragmentation that undermine the efficient utilization of development assistance. An emphasis on decentralization and stakeholder participation aims to better address needs of rural producers. This orientation course is designed to provide participants with practice-oriented insight into S(I)P. The focus is on the agricultural sector.

#### **Key issues**

1. Concept and policy framework
2. Conditions and preparation of ASIP; stakeholder involvement
3. Implementation and facilitation; institutional reform, capacity building, role of TA
4. Impact assessment; sector performance analysis, client consultation
5. Outlook and future prospects of sector support programs

#### **Specific results**

1. Participants are familiar with terminology, objectives, principles and common features of Agricultural Sector (Investment) Programs.
2. Participants have identified necessary conditions/prerequisites for Agricultural Sector (Investment) Programs and how these are achieved.
3. Participants have reviewed efforts of institutional reform and change
4. Participants have reviewed stakeholder involvement at different stages and discussed program impact on various stakeholder categories
5. Participants are familiar with strategies of impact assessment (sector performance analysis, client consultation)
6. Participants reviewed critical implementation constraints and ways to overcome these
7. Participants have discussed the role of technical assistance in support of AS(I)P
8. Participants are familiar with recent developments in sector support strategies

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### ***Approach***

1. Introductory presentation of core issues by resource persons
2. Short country presentations by participants
3. Case studies
4. Background readings
5. Role plays on preparation and implementation issues from different stakeholder perspectives
6. Plenary discussions

### ***Facilitators***

Desiree Dietvorst, Nwanze Okidegbe, Adalbert Engel

### ***Additional resource persons***

Dennis Chiwele, Anthony Mwanaumo, Gordon Sithole, Ahmed Jamar, Hans Walker

### ***Contact***

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## Annex 3 Workshop program

<b>Monday - Concept / Rationale</b>		
09.00	Introduction, objectives, program, participants' expectations of the course	Engel
10.15	<i>Coffee</i>	
10.45	AS(I)P Country experiences	Participants
12.30	<i>Lunch</i>	
14.00	Concept and rationale of AS(I)P: definitions, objectives, principles, overview of ASIP initiatives	Okidegbe
15.15	<i>Tea</i>	
15.45	Redefinition of roles and responsibilities in the agricultural sector	Group work
19.00	Braai (barbecue)	
<b>Tuesday - Conditions / Preparation</b>		
08.30	Establishing the framework for AS(I)P	Okidegbe
10.15	<i>Coffee</i>	
10.45	Stakeholder involvement Discussion	Dietvorst
12.30	<i>Lunch</i>	
14.00	Stakeholder involvement in planning and preparation	Group work
15.15	<i>Tea</i>	
15.45	Stakeholder involvement in planning and preparation	Role play
<b>Wednesday - Implementation / Facilitation</b>		
08.30	AS(I)P in progress: example Zambia	Mwanaumo
10.15	<i>Coffee</i>	
10.45	Field experiences 1: Supporting livestock development under AS(I)P Field experiences 2: Supporting agricultural development in Southern Province	Dietvorst Malambo, Hoffmann
12.30	<i>Lunch</i>	
14.00	Facilitating institutional change: experiences from Zimbabwe Focussing on institutional reform: Agricultural Services and Management Project in Zimbabwe Institutional reform: Linking with donors, coordination issues	Hans Walker Gordon Sithole A. Jama
15.15	<i>Tea</i>	
15.45	Discussion Zimbabwe experience	
<b>Thursday - Impact</b>		
08.30	Program monitoring Sector Performance Analysis	Mwanaumo Chiwele
10.15	<i>Coffee</i>	
10.45	ASIP process: review of key issues; Outlook and future prospects Course evaluation	Engel



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13.30	Lunch	
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## Annex 4 List of participants and resource persons

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## Annex 5 Country experiences

### 5.1 Zambia

#### **Why ASIP**

- Fragmented Donor support leading to duplication of efforts
- Heavy investment in agriculture sector but nevertheless a poor performance.
- Lack of local ownership of donor-driven investment

#### **Characteristics**

- Locally designed program, involving stakeholders from both the public and private sectors with inputs from donors and NGOs.
- Preparation started in 1992
- Launched in June 1995, implementation commenced in January 1996
- Donors work within ASIP frame work
- Implementation has gone on for almost three years
- In June 1998 Mid-Term-Review took place

#### **Advantages**

- Decentralized workplans and budgets, although it has to stay within a given budget ceiling;
- Demand driven (identified) problems and in some cases communities have managed to find their own solutions;
- High participation from the rural sector, for example District Agricultural Committees are in place. Provincial Agricultural Committees at the province;
- Decentralized Financial Management Unit;
- Emphasis on capacity building at district level to undertake critical functions previously performed by head quarters;
- Harmonized donor procedures;
- Resources are coordinated;
- Concentration should be strong at the district: e.g. funds should be disbursed straight from Ministry of Finance to avoid the long organizational structure;
- Morale of staff differs from one province to another e.g. provinces with donors receive more money than those fully funded by the government;
- This might affect the achievement of (back stopping) ASIP objectives;
- Weak follow-up from head quarters and provinces. This needs to be improved;
- Weak information flow;

#### **Risks**

- Donors might pull out due to weak financial management unit (need for qualified staff);
- Impact with some sub-programs at the ground level is not there;

#### **Emerging lessons**

- Too complex and implementation was haste;
- Training is very vital in order to put the rightful people in the key positions;

## 5.2 Kenya

### **Why ASIP**

- Poor performance of Agriculture Sector 1990-94
- Sectoral and cross-sectoral constraints (ASR 94/95)
- Lack of stakeholder involvement and coordination of efforts;
- Low investment and budgetary allocation;

### **Characteristics**

- Preparation started January 1996;
- Appraisal April/May 1998;
- Phased implementation;
- Phase I: MOA – 3 years starting July 1998;
- Phase II: Other stakeholders brought on board, gradually;
- Background studies in Extension, Information Management, Gender Issues, Budgeting Procedures, Financial Management, EIA, Animal Health Services (Privacom);
- Builds on Agriculture Sector Management Program – defined MOA Restructuring (identified 10 Core Functions);
- MOA now has unified extension services under Restructured Organization;
- Preparation relied heavily on TA;

### **Advantages**

- Greater exchange of views between stakeholders (government, private sector, farmers, donors);
- Drive towards greater transparency and accountability;
- Better MOA focus: Core Functions;
- Donors better coordinated.;

### **Risks**

- Process very complex;
- Donors do not support key activities until acceptable frameworks in place e.g. Financial Management; Performance Monitoring and Evaluation;
- Some stakeholders could derail the process for “selfish” reasons;
- Political interference;

### **Emerging lessons**

- Kenyan ASIP should be underpinned by a strong privatization and commercialization process;
- Training of implementers vital, a change of attitudes is needed;
- Speed for its own sake is no good;
- Flexible implementation is necessary (“experimental” nature of process);

## 5.3 Malawi

### **Why ASIP (MASIP)?**

- Wide range of donors, substantial aid, but poor outputs;
- “Agriculture Livestock Development Strategy and Action Plan” outlines strategy;

### **Characteristics**

- Not implemented yet, because not operational;

- First steps of MASIP: update ALDSA. This was postponed due to funding constraints and process is now at a “stand still” ;
- Budgetary review;
- Prioritization of activities;
- Currently over 70 projects with a clear need for CIA;
- Detailed review of sub-sectors (crops, livestock, irrigation, land resources conservation, HRD) was carried out;
- Research, extension etc. not treated as sub-sectors/sub-programs;
- MASIP secretariat was formed (National Coordinator, Deputy and Economist);
- Study tour Mozambique and Zambia;
- Interest in decentralization experience in Uganda;
- MOA / donor forum meets monthly;

### **Advantages**

- Broader involvement of stakeholders in planning;

### **Risks**

- Limited commitment by some stakeholders;
- Uncertainty of decentralization; (reporting to district authorities?);
- Limited funding commitment (donors and government);
- Low morale in civil service;
- Limited understanding of concept of MASIP;

### **Emerging Lessons**

- Commitment is essential, both of government and donors;
- Government - donor discussions are helpful to tackle problems;
- Too much talking! No follow-up;

## **5.4 Ghana**

### **Why ASIP (AGSIP)?**

- 1995 vision document identified basic objectives and overall perspective;
- 1995 MOA initiated stakeholder consultation in selected districts 8/96 strategic planning workshop 9/96 stakeholder forum strategy 11/97;

### **Characteristics**

- Accelerated Growth and Development Strategy;
- Concept Paper;
- Five key elements;
- Task force;
- Subcommittee initial time frame for planning 9-10 months, regular donor consultations
- Institutional review complete;
- Departments and Cooperatives involved;
- MOF involved;
- NGOs involved;
- Scope of AGSIP clearly beyond Ministry of Agriculture;
- Need to look into district capacities (strong decentralization process on-going in Ghana);
- Agriculture, Expenditure Review ongoing;

### **Advantages**

- Implementation still awaited;

### ***Risks and constraints***

- Lack of understanding, knowledge;
- Delays;
- AGSIP perceived as a World Bank project;
- Donor coordination is lacking;
- Implementation has yet to start;
- Financial management is difficult;
- Start of implementation targeted for 1/2000

## **5.5 Mozambique**

### ***Why ASIP (PROAGRI)?***

- 1996 strategic plan for agriculture;
- multitude of fragmented donor projects;
- coordination problems by MOA;

### ***Characteristics***

- PROAGRI started at central level;
- 8 major components;
- Communities still focussed on emergency aid, not long-term development;
- Difficult consultation process;
- Annual plans/budgets (first time) harmonization;
- Functional analysis of MOA done;

### ***Advantages***

- Eliminate fragmentation of projects;
- Better resource utilization;
- The whole exercise functions as a training process for MOA staff;
- Major efforts to involve key stakeholders were made;

### ***Risks***

- Process very complex;
- Time consuming;
- Decentralization only theory (nothing happening);
- Insufficient authority at district;
- Gaps in implementation process, no clear procedures;

### ***Emerging lessons***

- Vague indicators make monitoring difficult;
- Weak financial management;

## **5.6 Zimbabwe**

### ***Why ASIP (ASMP)?***

- Reductions in Government spending have become a permanent feature (e.g. Agritex funding 40% reduced since 1991);
- Public sector reform was deemed necessary (performance criteria);
- There was a need to review and improve performance and client-oriented service delivery in MOLA and constituent departments;

- Changing client needs (processing, marketing and agricultural production) demanded a changed service delivery;

### **Characteristics**

- Agricultural services management project (ASMP). Implemented by Ministry of Lands and Agriculture Zimbabwe and funded by WB, EU, DFID and GTZ;
- ASMP involves: MOLA itself , AGRITEX (extension department), DR & SS (research) and DVS (veterinary services);
- Duration (1998-2001)
- Objectives are: 1. Change of management / facilitation (including the re-orientation of staff and the building of participatory problem identification skills); 2. Extension sector strategic planning; 3. Human resource development; 4. Improved financial management and administration; 5. Strengthening technical and extension services (including the adoption of participatory approaches and stakeholder involvement and the carrying out of commercialization studies); 6. Improved mobility of extension staff (by motorbikes and bicycles) and 7. Extension systems pilots (alternative delivery systems)

### **Advantages**

- Intensive and long period of consultation (MOLA and Donors);
- Few donors (WB, EU, DFID, GTZ);
- Change is process-oriented;
- Not a series of economic destinations;
- Chances of successful ASIP later are higher!

### **Risks**

- Ministry may support change in departments but not change itself;
- Change program may not be embraced by majority of staff;
- Time frame may not be adequate to effect substantive change;
- That the change process may not ultimately lead to client-driven services on ground;

### **Emerging Lessons**

- Previous “pilots” or experience very useful before upscaling / wider application;
- Commitment and involvement of senior management is critical;
- Staff and stakeholders wish to see if there is real commitment to change;
- Understanding of implications in terms of “know-how” in change management (OD);

## Annex 6 Workshop evaluation

**Ratings:** 1 (very good) to 5 (insufficient)

### 1. Content:

	<i>Rating</i>	<i>No. of Participants</i>
Too much content	5	-
	3	5
	1	9
	3	4
Too little content	5	-

### 2. Difficult/Simple:

	<i>Rating</i>	<i>No. of Participants</i>
Too difficult	5	-
	3	5
	1	10
	3	3
Too simple	5	-

### 3. Theory/Practice:

	<i>Rating</i>	<i>No. of Participants</i>
Too much theory	5	1
	3	8
	1	7
	3	2
Too much practice	5	-

### 4. Lecture/Discussion:

	<i>Rating</i>	<i>No. of Participants</i>
Too much lecture	5	-
	3	7
	1	9
	3	2
Too much discussion	5	-

### 5. Exercises:

	<i>Rating</i>	<i>No. of Participants</i>
Too much exercises	5	-
	3	-
	1	6
	3	11
Too little exercises	5	1

### 6. No. of Participants:

	<i>Rating</i>	<i>No. of Participants</i>
Too many participants	5	-
	3	3
	1	14
	3	1
Too few participants	5	-

### 7. Method of Presentation

	<i>Rating</i>	<i>No. of Participants</i>
Good method of presentation	1	9
	2	6
	3	3
	4	-
Bad method of presentation	5	-

### 8. Accompanying material

	<i>Rating</i>	<i>No. of Participants</i>
Good accompanying material	1	9
	2	5
	3	4
	4	-
Bad accompanying material	5	-

### 9. Organization:

	<i>Rating</i>	<i>No. of Participants</i>
Well organized	1	8
	2	5
	3	5
	4	-
Badly organized	5	-

### 10. Lively / Boring

	<i>Rating</i>	<i>No. of Participants</i>
Lively	1	8
	2	7
	3	2
	4	1
Boring	5	-

### 11. Workshop/Seminar Atmosphere:

	<i>Rating</i>	<i>No. of Participants</i>
Good seminar atmosphere	1	8
	2	6
	3	4
	4	-
Bad seminar atmosphere	5	-

### 12. Time and Effort:

	<i>Rating</i>	<i>No. of Participants</i>
Time & effort spent were worth it	1	9
	2	4
	3	3
	4	1
Time & effort spent were not worth it	5	-

### 13. Evaluation of Trainers, facilitators, resource persons:

	<i>Rating</i>	<i>No. of Participants</i>
Professionally competent	1	10
	2	8
	3	-
	4	-
Professionally not competent	5	-

	<i>Rating</i>	<i>No. of Participants</i>
Pedagogically competent	1	4
	2	13
	3	1
	4	-
Pedagogically not competent	5	-

### 14. Comments on trainers, facilitators, resource persons:

- Facilitators excellent.
- All the trainers, facilitators and resource personnel were good. I particularly commend presentations by Desiree since they were very well organized, but more importantly she has an open mind. Presentations by Dr. Chiwele were also very good. All the Zimbabwean presentations were excellent.
- Program was well facilitated. Mr. Okidegbe was a very knowledgeable person. Perhaps some time for more detailed case studies (Country Sector Programs) would be an idea for any future such courses / programs. Mr. Engel was excellent in overall facilitation.
- Trainers and facilitators very good in their subject matter specialization. More trainers in privatization and commercialization and private sector linkages e.g. commodities exchanges, stock exchanges.
- An excellent team. But in future could team select a gender-balanced list of participants?
- Competent and experienced facilitators. I had no problem with these.
- All competent in their subject areas. There were gaps of competence on exposure in some critical areas of the program. Perhaps in future courses there should be private sector-oriented trainers and resource persons to complement those with public/donor orientation.
- Very good!
- Very knowledgeable and competent trainers and participants. Stimulating interactions because “Senior Implementers” were participating. The workshop was well prepared in terms of organization and inputs. Technology contributes to efficiency and to what you can take with you.
- Trainers, facilitators and resource persons were all pleasant people to interact with.
- Mr Nwanze Okidegbe got too much time allocated.
- World Bank representative was quite knowledgeable and helpful.
- Well prepared although a little bit biased.
- Good facilitation, open.
- All trainers, facilitators and resource persons conducted their duties to my satisfaction

### 15. Comments on importance of training to the participant:

- Because my country is at a critical stage of ASIP implementation where the ASIP process has started but currently appear to be at standstill. The seminar has provided insight into possible ways to move forward.
- Very important, very illuminating.
- As an officer involved in SIP preparation, the seminar was of vital importance since it has cleared some issues for better understanding.

- Because it was possible to understand, not too much, in few days, how the ASIP process can take place in a country.
- That information out of the different countries and the different players (interested parties in ASPs) was exchanged freely and without reservations.
- Because even if we are already at implementation stage there was a lot to learn from and that helped to take a positive route.
- Since I learnt of the country ASP experiences which will benefit in formulation of my country ASP
- Overall – all aspects were vital.
- I have been involved with pre-ASIP component of livestock component in my country.
- To meet people from different countries, with different background.
- Provided a forum for exchanging ideas.
- To learn from other countries.
- To get an overview of the diverse CSPs/AS(IP)s in progress in African countries.
- To see what I can personally do to improve IFSP project implementation.

#### **16. Comments on what participants particularly liked:**

- Aspects of institutional reform program for Zimbabwe and SPA (M&E) and for Zambia
- Subject matter on privatization and commercialization, which should be at the arrowhead of ASIP, also commodity exchanges.
- Bold approach of ASIP implementation. Initiatives – particularly TAG.
- Practical implementation experience from Zambia (and Zimbabwe ASMP).
- The country experiences.
- The way of presentation – discussion (panel discussion).
- The final session: conclusions, open questions, etc.
- Discussion on public/private sector partnership on ASIP.
- Donor coordination, private sector participation, institutional and policy framework.
- The presentation by Dr. Walker, the panel discussions.
- Institutional analysis and stakeholder involvement.
- Stakeholder participation.
- Every country is realizing that too much time has been spent on talking. It is high time farmers benefited.
- Those parts which dealt with implementation practice.
- Monitoring and Evaluation, particularly the SPA (Sector Performance Analysis) and the institutional analysis and reform.
- That information was not only availed about success stories but that also problems and constraints experienced were freely presented.

#### **17. Comments on recommended changes:**

- Country experience presentations by allowing adequate time for presentation.
- Course structure to focus on privatization and commercialization among other topics as a specific module.
- Privatization, commercialization.
- Definition of ASIP. Role of private sector.
- Timetable to be less compact. Consider span of attention for adults.
- Nothing really.
- To make it more clear if it is a training workshop or exchange workshop. Workshop on selected topics of ASIPs.
- More detailed case studies in future. Government official to be present and present a paper.
- Impact assessment.

- Moderation: cut some people short.
- No really change since it has been agreed that AS(I)P is a country program.
- Including field visit, presentation of project and other documents.
- To have more practice exercises.
- One should avoid too many presentations in the course of one day and visualization of some presentations to be improved.

**18. Comments on how applicable the course was to practical work:**

- It is very applicable since I am involved in the preparation of ASP in my country.
- Very applicable and useful.
- Highly applicable.
- Extremely. I was involved in preparation of an ASIP program and look forward to being more involved.
- Very applicable. Most of the issues are part of our day to day work.
- Very. Reinforced some views, opened up others.
- Very applicable.
- It will help to design and implement ASIP in a better way than Zambia.
- It would help to clarify areas that the SIP secretariat in my country were not familiar with.
- The experiences with TAG in Zambia is very relevant. The change in management inputs was very enlightening
- To formulate and revise the ASIP.
- Some of it, i.e. MIS
- Very practical because of issues that came of the requirement of strong and committed leaders for the success of ASIP. This brings a change in thinking.
- Planning and preparation of ASIP at provincial and district.
- Very important in the light of necessity of linking (may be, later integrating) existing program operations into an emerging AS(I)P.

**19. Parts that should have been dealt with:**

**a. in more detail:**

- public sector framework and institutional analysis
- privatization and commercialization and role of commodities exchange in ASIP
- policy framework
- practical implementation details, role play
- stakeholder participation, donor coordination
- how to do e.g. stakeholder participation, sector program analysis
- decentralization
- role of private sector, working procedures in implementation
- financial management, report writing acceptable to donors
- country case studies
- institutional analysis
- involvement of farmers
- concept rationale and condition preparation
- practical experiences with respect to the above linking/integrating (the two examples from Zambia should be worked out further)

**b. in a shorter way:**

- the rest of the topics (*i.e. except public sector framework and institutional analysis*)
- basics of ASIP

- basic principles of ASIP
- stakeholders' involvement
- SPF, PER, Institutional Analysis

**c. not at all:**

- -

**20. Further/Additional Comments:**

- Maybe next time the organization should include showing participants around Zimbabwe especially if the venue is far from town center as was the case this time around.
- Great job by GTZ. Great organization and facilitation. Keep up the good work.
- Excellent seminar.
- More time: 5 – 6 days, plus field visit.
- Good course, enlightening for new beginners in ASIP.
- This workshop must be continuous and regular.
- If we are talking of stakeholder involvement, why are there no stakeholders in such seminars.
- I had not expected how relevant the topic is for the Integrated Food Security Project in Manica in Mozambique
- Necessity of practical case studies (country experiences).

**21. Overall Assessment of the Workshop/Seminar:**

<i>Rating</i>	<i>No. of Participants</i>
1	9
2	6
3	-
4	-
5	-