



Sector Network Rural Development



German Technical Cooperation

Sector Wide Approaches: Still on Course or Heading for Collapse?



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I. Introduction

The widespread and growing use of sector wide approaches (SWAs) or Sector Investment Programmes (SIPs) can be seen as a response to the disappointing results of decades of support to crucial sectors, such as health and agriculture. Sector wide approaches are expected to give greater co-ordination and focus to assistance provided to a sector. Simultaneously, long-term, implementation-oriented Technical Assistance (often 'captured' in a project-context) is to be replaced by an advisory-oriented Technical Assistance provided on demand and in support of the sector programme to encourage leadership and ownership on the side of the recipient country. Sector wide approaches also introduce new ideas about the roles and responsibilities of different actors. These are often linked to the impacts of structural adjustment programmes on public sector expenditure. They include a change in government's role away from implementation towards supervision and regulation coupled with recognition of the need to provide support to private and NGO sectors and civil society, as well as to the state.

Despite the obvious need for change in the administration of assistance and the clear justification of sector wide approaches as a potential alternative to the fragmented project-based support, criticism is accumulating as their implementation progresses. This calls for review of experiences and lessons learnt, rather than for a hasty rejection of the approach in favour of the next 'promising' strategy (e.g. the new wave of poverty reduction strategies).

Background

Since 1997, a series of regional events has helped to establish a regular platform of exchange among implementers of sector wide approaches from a growing number of African countries. These included:

- the international workshop on Sector Investment Programmes in Agriculture, February 1997 in Lusaka
- the second international workshop on Agricultural Sector Investment Programmes, November 1998 in Lilongwe
- the training workshop on Agricultural Sector Investment Programmes, September-October 1998 in Harare
- the regional forum on participation in Sector Programmes in September 1999, Lusaka
- and now the training workshop on Sector Wide Approaches in November 2000 in Harare, which is the subject of this report.

Over the years, these events have begun to generate an on-going debate in which common areas of concern are highlighted. This regional debate has become a source of support to implementers as well as a counterweight to the donor-dominated international debate. In the past, there tended to be a focus on programmes in the agricultural sector. However, experience shows that programmes in the productive and social sectors have more in common than is assumed. Despite their different objectives, the obstacles linked to the administration and operation of sector wide approaches are similar across sectors. Therefore, the recent Lusaka Forum included health and education representatives as well.

The latest workshop in this series sought to continue that trend by providing a platform of exchange for implementers and decision-makers in productive and social sectors alike. However, instead of covering the entire breadth of the sector wide approach, this workshop focused on issues that have consistently been put forward as areas of constraint and conflict. Important among these are (a) how to involve and support stakeholders outside the public

sector and below the national level and (b) how to take account of the fact that there are winners and losers at every stage of the programme cycle. This gives the workshop a focus on *implementation* as opposed to the commonly emphasised planning phase. Participants experienced lively discussions stimulated by presentations by knowledgeable and long-time practitioners. However, it also meant that participants were expected to contribute actively and to have questions to ask as well as experiences to share.

Objectives

The present training workshop on sector wide approaches aimed to:

- provide a platform for the exchange of experience between practitioners
- enable a structured discussion and analysis of key areas of constraint as identified by participants to earlier events
- compile relevant information for wide dissemination to practitioners
- provide a counterweight to the international, largely donor-dominated, debate which focuses on policy and planning stages of sector wide approaches.

The training workshop included around 50 participants (see Annex IX) from 11 African countries – Ethiopia, Ghana, Kenya, Lesotho, Malawi, Mozambique, Uganda, South Africa, Tanzania, Zambia and Zimbabwe — up from last year's seven nations. Venue of the Forum was the Monomatapa Crowne Plaza Hotel in downtown Harare, Zimbabwe.

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II. Opening of the Workshop

A. Opening address by the Minister Of Lands, Agriculture and Rural Resettlement, Republic of Zimbabwe

The Hon. J.M. Made

The Minister officially opened the Training Workshop on Sector Wide Approaches. In addition to his formal talk (Section XII.A), which welcomed participants to his beautiful country and put into context the challenges facing them during the workshop, he tried to explain to the visitors the land reform situation currently facing Zimbabwe and to correct misconceptions created by the international media coverage.

Questions & Answers

The Hon. Minister made himself available to answer questions from the floor, during which the following points about land reform came up:

- The legal side of land reform is crucial.
- The “major players” in Zimbabwe are the large-farm sector represented by commodity councils, the smallholder sector and the black emerging farmers. Government consultations with sector interests are continuing.
- For many years, owners received compensation for their farmland under the “willing seller, willing buyer” principle. The problem began when funding for land reform from the British government ended and hence the Government of Zimbabwe could no longer pay landowners.
- Commercialisation and privatisation are coming.
- Speaking to the audience as professional colleagues, he commented that, as specialists, we are slow to use models to inform policy. We all have been afraid to present models to policymakers. We hesitate, but we shouldn't.
- A goal in Zimbabwe is to have a school every 5 kilometres. Such planning can either be based on the “village as model” or on a more open system. The village model is probably easier to implement.
- On rural electrification: COMESH farms (large-farm sector) do have electric power points, e.g. for boreholes.

B. Keynote Address: The Debate on Sector Wide Approaches: A ‘State of the Art’

W. von der Ohe and D. Dietvorst

Abstract

As the movement towards sector reform expanded in Africa, a regional debate has followed the process almost on an annual basis. International workshops on Sector Investment Programmes in agriculture were held in Lusaka and Lilongwe (respectively February and

November 1997), followed by a training workshop in Harare (September 1998) and a Regional Forum in Lusaka (September 1999).

Reviewing the contents and findings of these events, several trends can be distinguished. These include: Whereas initial events tended to be rather donor dominated, national representatives have begun to take centre stage as more and more programmes entered the implementation phase. The debate moved beyond planning into implementation, and the original focus on agriculture was replaced by a focus on issues of concern across sectors, e.g. beneficiary participation and decentralisation. A number of large multi-lateral donors (World Bank, EU) pioneered the concept in the early 90s. As the debate shifted away from sweeping planning statements into the nitty-gritty of implementation, these donors lost some interest in the process. However, the discussion of sector-wide reform has seen a revival on smaller international platforms, led by a number of bilateral donors. Meanwhile the topic of poverty reduction (linked to debt relief initiatives) has moved to the top of the aid-agenda and is pushed most forcefully by the World Bank and the EU. Much of the vocabulary and many concepts used in the planning stage of Poverty Reduction Strategy Programmes are similar to those regarding the sector wide approach, though little reference is made to the potential use of sector-programme experience in the poverty context.

It is concluded that the regional debate illustrates (and has contributed to) several important achievements including: a more flexible programme design, increased ownership of the process among implementers and the identification of cross-sector concerns. More needs to be done with respect to solving these common concerns and in bridging the gap between the regional and international debates on sector reform. Finally, effort has to be made to identify and disseminate lessons from the sector-reform process for use in the current poverty reduction debate.



III. Assessing the Resource Envelope

A. Financing the Sector Approach in Uganda: Challenges and Constraints

P. Ngategize, Uganda

Abstract

Up until 1992, the budgeting process was done on an incremental basis, projects and programmes were mostly single-donor (or single-lender) funded, and stakeholder involvement in the budget process was very limited. Since 1992, deliberate efforts were made in the direction of eradicating poverty, which stood at 56% with considerable regional and urban-vs.-rural disparities. In 1997, a Poverty Eradication Action Plan (PEAP) with Sector Wide Groups (SWGs) was formulated. Within SWGs, a Plan for Modernisation of Agriculture (PMA) was drawn and, in 2000, PEAP was revised and accepted as Uganda's Poverty Reduction Strategy (PRSP).

PEAP strives to achieve rapid economic growth, improved quality of life and direct benefits for the poor, and to ensure good governance and security. A rolling Medium Term Expenditure Framework (MTEF) is intended to provide increased predictability of programmes, although currently longer-term policy and budgeting issues are insufficiently considered (i.e. beyond three years).

In the agricultural sector, there is a trend towards basket funding mechanisms and partially funding local governments through non-allocated grants. Successful implementation is still hampered by weak capacities at local government level, a weak database for planning and budgeting, some donor rigidities and certain duplications of mandates across ministries and between central and local governments. Existing financing mechanisms include basket funding, project funding, pooling at programme-level and buying into work-programmes.

Stakeholder participation is being enhanced by defining their role and their entry points in the budgeting process, by building capacity to improve effective participation (especially of the private sector and civic society), by matching greater responsibility with accountability, and by allocating resources for institutional reforms.

SWAPs under PEAP are a strong mechanism for focusing a programme on poverty. They provide good opportunities for stakeholder participation in the budgeting and implementation process. Apparent problems are mainly

Questions & Answers

Q: To what extent has the traditional budget been restructured from the traditional approach (including cash budgeting)?

A: Some changes are taking place as the MTEF process gets entrenched and stakeholders become more active in the process. Other influences on structure include the need to focus resources saved from debt relief initiatives to poverty programmes. This created a new mechanism for these savings called the Poverty Action Fund (PAF). Cash budgeting was devised to ensure that the macro-economic stability is not compromised.

Q: How has the participatory process been successful?

A: The process has been successful because key stakeholders are not only consulted but they are involved in working groups and programme steering committees.

Q: To what extent has budget-basket support been applied to other sectors? How do you convince donors to shift to basket support?

A: Programmes or sectors that have designed strategic plans have/are benefiting from some form of “basket” or buying-into programme support. Therefore the key elements are (a) having a widely owned strategic plan or programme, (b) involvement of donors in the design phase, (c) maintaining transparent and agreed-upon monitoring and reporting procedures.

Q: To what extent have the “shocks” the country experienced and the current political leadership and institutional structures (non-party) contributed to the success of the programme?

A: The political history of “Idi Amin” and wars helped Ugandans to appreciate the importance of peace and security, good governance and macro-economic stability. These provide a good foundation for implementing privatisation and liberalisation, which are essential for having a reduced government role in commercial activities.

Q: How long will it take to achieve “basket” funding?

A: With an agreed strategic plan and financial management procedures, one year and above. What is the practice is that usually you start off with one or two donors with Government. It is not realistic to expect all donors to come on board, even in the long term, for a number of reasons.

Q: Donor contribution to the government budget is about 50% (43%). To what extent is this structured in your planning process (in terms of gradually reducing the donor contribution)?

A: Government recognises the important role donors play, and would wish to gradually finance a greater proportion of its budget through government revenues. Attempts are being made to increase revenue collection by broadening the tax base and improving tax administration.

The facilitator briefly stepped out of his role and into the role of a participant somewhat familiar with the situation. He added to the discussion that commendable efforts have been made in Uganda in terms of carrying the bottom-up participatory approach one step further by institutionalising co-determination of decision-making and implementation of developmental priorities via revenue-collection and voting procedures within the parish and district levels. He warned, however, that Uganda (and Ghana) were considered “darlings” of the donor community, thus excelling in the competition race for donor funds. Health as such competition may be for some purposes, it is not without risks and problems.

Discussant's Questions

Ms. J. Gachanja served as discussant for Dr. Ngategize's presentation:

Q: How well or effectively has the basket idea of funding worked in Uganda with respect to the Modernisation Plan for Agriculture?

A: The basket idea of funding has worked to a certain extent but the level of funding was less than expected.

Q: Drawing from Uganda's experience what is the importance of economic and political shocks in turning around economies toward sustainable economic growth and building facilitating institutions?

A: Shocks can help the country's people to come to appreciate economic-situation realities such that they are determined to move forward with development but they have to be coupled with a government that is fully committed to accelerating economic growth.

Q: To what extent has the national budget been modified to reflect the priorities of the Plan for Modernisation of Agriculture in Uganda?

A: The basic structure of the budget has not changed as such, but there are efforts to effectively include into the budget programmes and projects that are targeting the identified priorities for the modernisation of agriculture.

Q: How effectively has the stakeholder consultative approach worked in the process of formulation of the Plan for Modernisation of Agriculture?

A: The process of the preparation and implementation of Plan for Modernisation of Agriculture has benefited from the participatory process more than any other plan prepared before. It is providing a pilot case that is hoped to be replicated in the other sectors.

Q: To what extent did the progress that had been made by Uganda in the implementation of policies relating to liberalisation, decentralisation and governance and civil-service reform made a better starting point for the formulation and implementation of the Plan for Modernisation of Agriculture?

A: Uganda had made good progress in implementation of policies related to decentralisation, civil service reform and liberalisation, and it is correct to observe that it made a good platform for the formulation and implementation of the Plan for Modernisation of Agriculture. Countries should therefore appreciate that proper sequencing of the implementation of some of these policies gives better opportunities for SIPs/SWAP or PRSPs, better chances for implementation.

Q: How soon could dependence of Uganda's Plan for Modernisation of Agriculture be eased?

A: For now and also in the immediate future, contribution from donors in Uganda's development efforts is still required.

B. Financing the Agricultural Sector Investment Programme, Zambia (basket vs. project funding)

Mukutu / van Dixhoorn / A. Mwanaumo

Abstract

The paper presents preliminary findings and recommendations of the GTZ –funded study conducted by DSI- Southern Africa in collaboration with the ACF Secretariat. The main thrust of the study is to analyse trends and patterns in the funding of ASIP, compare the original concept with the actual situation and to assess stakeholders' views on the present and the way forward.

The key findings are that it is difficult to get data from the donors, financial control and reporting procedures amongst donors still vary widely and many donors still wish to target or flag their contributions. There is also confusion on the definition of public goods and services vis-à-vis private goods and services and a comprehensive strategy for private sector development is still non-existent. The allocation of resources to both sectors remains inconsistent and total contribution to ASIP is slowly decreasing. The multilaterals are increasingly supporting the Ministry of Agriculture, Food and Fisheries (MAFF)/Financial Management Unit (FMU) implementation, while the bilaterals have shifted to private sector development.

Government loans are being used to give grants to producers while government grants are used to establish credit schemes to producers. MAFF continues to lobby for development activities to sustain its core functions and also continues to compete with the profit or non-profit oriented private sector.

Donor reservation towards basket funding has become a self-fulfilling prophecy. The FMUs multi-account management is no alternative to basket funding and there is no definition of the type of funding which should be channelled through a basket.

Based on these findings, the study recommends the need for adequate, accurate and timely data on the sector and the need to evaluate loan and grant components of ASIP and the development of a strategy for optimal use of each component. In addition, there is need to distinguish between the core functions and development activities. Subsequently, a basket for financing MAFF's core functions can be installed. Activity based planning and implementation principles for development activities need to be applied.

Questions & Answers

Q: Distribution of funds between headquarters and field activities?

A: Initially biased to the headquarters, but subsequently biased towards districts, once new structures put in place and absorptive capacity improved.

Q: How are funds channelled to the private sector – through the districts?

A: Partly from donor, through the Ministry of Agriculture, Food & Fisheries (MAFF) to private sector through special arrangements, or directly to the private sector.

Q: Can data on private-sector funding be captured?

A: There are several data capturing mechanisms including M&E systems. However, there is room for improvement.

Q: Was the budget for private sector estimated for?

A: For subcontracted activities, yes. Otherwise direct funding to private sector was not budgeted for by the public sector.

Q: Who is responsible for financial management of the private sector?

A: For those funds channelled through MAFF, via special arrangements, the private sector is accountable to MAFF, but actual financial management is by the private sector.

Q: Does the private sector pay back the funds allocated?

A: Yes they do, unless there is a waiver.

Q: What is the portion of human resources for the reforms (enrolment, remuneration)?

A: The restructuring of MAFF is by and large complete. However, the remuneration package has not improved substantially.

Q: Has the Zambian farmer become better as result of ASIP?

A: The results are mixed.

Q: Who are the government's key partners in the formulation and implementation of ASIP?

A: Private sector, NGOs and donors.

Comment: The Zambian experience with an increasing flow of resources to the private sector is similar to the Uganda experiences. The Plan for Modernization of Agriculture (PMA) observes that it is the private sector that produces, markets, finances, processes and consumers the products. The public sector has a facilitating role – policy, regulations, monitoring, inspections. The latter requires fewer resources (except when you look at infrastructure – roads, water supply, etc.).

Comment: The lack of data is not constrained by lack of human capacity in terms of numbers and training. Rather, it is a problem of culture and institutional management. Monitoring units monitor the implementation of progress but less on outputs and outcomes of government projects.

Comment: More funds to the private sector and less to the public is probably the right trend.

Q: Is there an agricultural policy and strategy in Zambia?

A: Yes

Q: What is being done to avoid the private sector becoming unsustainable through the combined receiving of grants from donors and government?

A: Through private sector development

Q: What is being done at district level for staff to manage resources?

A: Capacity building programmes

Comment: Coordination at district level largely recognises the office of the District Agricultural Coordinator (DACO). The DACO plays a facilitating role both in terms of policy and technical input into private sector activities. Players in agriculture at the district are known. Regular forums are encouraged.

Q: Is basket funding a promising approach?

A: Study results show that basket funding needs to be revisited.

Comment: The Mali model on basket funding entails asking donors to finance each different aspect of the agricultural programme, not necessarily by putting funds in one basket.

C. Financing the Health Sector Reform Programme, Tanzania (central & decentralised baskets)

O.M.E. Kisanga, Tanzania

Abstract

Within the Tanzanian health sector, first experiences are being gathered with basket funding both at the central *and* at the council/district level. In addition to central government grants, targeted funding for vertical programmes (HIV/AIDS, malaria control, etc.) and revenues from local government, basket grants are being provided.

For example, since July 2000 a total of 37 councils received 0.5 USD per capita as part of basket funding for implementing approved council health plans. Soon, 45 more councils will be added..

Additional innovative funding schemes are the community health funds as pre-payment schemes benefiting farmers and other seasonal-income persons/families. Experiences are gathered on effective decentralised service management with user involvement.

Among the challenges to overcome are a shortage of key qualified personnel at the decentralised level (e.g. accountants, medical recorders), a frequent lack of clearly displaying the pricing systems in health facilities (as required to make cost-sharing transparent to users) and weak exemption mechanisms (thereby not adequately catering for the very poor and disadvantaged).

Questions & Answers

Q: What is the role of the MoF in regard to the basket approach?

A: The MoF is part and parcel of the system; it is represented in the BFC (Basket financing Committee). Donors transfer their basket contributions into an US\$ holding account of the Bank of Tanzania. Subsequent movements of this money are accounted for by the treasury (MoF). The funds channelled through the Basket system are known by the MoF and can be taken into consideration during establishment of overall budget.

Q: Why the EU and World Bank don't participate in basket funding?

- A: We have to be aware that basket funding is not unanimous concept. Some European countries didn't make up their mind on this topic (e. g. France, Austria, etc.) So, the actual approach is based on the commitment of those countries, which agree to the general concept.
- Q: How do you explain the hesitation of various donors to join the basket?
- A: Some donors are waiting for the initial experiences of the first year. Basket funding has to be considered as a new concept of which nobody can guarantee the total success.
- Q: Why the central basket has a relatively higher fund allocation as compared to counsel basket.
- A: The departments at the MOH have additional tasks in implementing the basket concept, including advocacy, training and establishing new cross cutting institutional structures (e.g. Council Health Boards. Furthermore basket money doesn't include salary payment, which is the role of the central level.

IV. Beyond the Public Sector

A. Extension in a Changing Context: The Challenges of Public-Private Partnerships in Zimbabwe

R.J. Chitsiko, Zimbabwe

Abstract

The government of Zimbabwe decided to implement an all-embracing macro-economic adjustment programme in 1991, resulting in far reaching socio-economic consequences. It was no longer business as usual for the public institutions. New partnerships with the private sector institutions were to be established. In order for Agritex to benefit from the new partnerships, it had to engage a process of institutional change. To this end, an agreement was reached under the Agricultural Services and Management Project (ASMP), on a major agenda for institutional change across the ministry, its constituent departments and divisions. The whole ministry would be streamlined so as to better arrange for the management, regulation and delivery of services in a more effective and efficient manner.

The department had to tackle some key extension issues in order to better define the areas of collaboration and cooperation with its newly found private sector partners. Such issues included the following:

- The need to rationalise services delivered in the face of increasing fiscal constraints
- The need to bridge the appropriate technology gap for the marginal rainfall areas
- The need to better focus extension service delivery to core functional areas
- The need to improve information flow among the key extension stakeholders
- The need to evaluate and support innovative ways of extension delivery in communal areas and
- The need for a gender bias in planning for extension delivery

To this end, Agritex accepts the role of the private sector in extension planning and delivery and must now not only change the focus of what it does, but must also limit itself to what it does best. The department is in the process of undergoing the following transformation:

- It must be mission driven with clear objectives and priorities
- It should focus on core functions and deliver them more efficiently and effectively
- Resources must be allocated to strategic priorities and authority and responsibility delegated
- Services delivery must be demand driven, results oriented and customer responsive.

- It must provide for stakeholder consultative forums and
- Must minimise bureaucracy

To date several change management workshops have been held with departmental staff and Core Functional Analysis was carried out in full consultation with stakeholders. Stakeholder consultative forums are in place at national, provincial and district levels. Participatory extension approaches are being implemented in Masvingo. The departmental top management has had study tours to Mexico and Chile where they examined new ways to extension delivery including outsourcing from the private sector. Departmental corporate image studies were carried out.

Extension in a changing context is a process that traverses a long and tortuous journey before effective public/private partnerships can begin to take effect. There is need for organisational cultural change and openness to alternative arrangements and ways of doing things.

Capacity development of both the private and public institutions is a critical focus throughout the change process.

The quality of change process facilitation is crucial to experiential learning, self-discovery and in order to gain insights for the renewal and the revitalisation of public/private sector partnerships.

Questions & Answers

Q1. What is the funding approach/system for the ASMP Project?

A. Project funding comes under the Public Sector Investment Programme (PSIP) under which the Government arranges funding via loans and direct exchequer contributions. For the ASMP in AGRITEX, funding comes from a long-term loan from the WB (90%) and 10% from the Government of Zimbabwe. For other departments, the EU and bi-lateral donors provide 90% of funding for the project. (See also Q4)

Q2. One aim of the ASMP is to improve smallholder farmers' incomes rather than focus on increasing production per se. What monitoring indicators are in place to assess those incomes overtime?

A. Extension officers prepare extension programme plans at the beginning of each season and crucial indicators, including income levels of local farmers are benchmarked at the beginning of the season. At the end of the season, changes in incomes are assessed against benchmarks to monitor trends/progress.

Q3. What is the time frame for the ASMP Change Project?

A. Originally the project was envisaged for implementation over a 3-5 year period for the eight major areas identified for action over the period of the project (refer to paper)

Q4. What are the funding concepts on mechanisms under which the ASMP is financed?

A. Funding is sought and arranged under the Public Sector Investment Programme (PSIP). Different donors support different components e.g. AGRITEX programme is funded by the World Bank under a long-term loan, 90% of which is advanced by the WB and 10% from the Government of Zimbabwe.

Q5. The ASMP emerged from a broad consultative exercise. To what extent is the project identifying bottom-up demand for extension services as contrasted with top-down approaches?

A. Participation of all stakeholders, especially primary ones (i.e. farmers) is a central value in the project. Participatory Extension Approaches (PEAs) have been piloted and are being scaled out from one province, (Masvingo, where initial pilots were conducted) to the other eight. PEAs start with field level identification of farmer problem based on their experiences and full involvement in an extended heavy process. Extension agents act as facilitation of agricultural development – not teachers with supply-side prescriptions. PEAs have proved to be very effective in emancipating and empowering rural communities Zimbabwe and experiences are well documented.

Q6. How is project being facilitated? Is it an internal process or are consultants used? How effective have approaches to facilitation been to date?

A. We have followed from learning & experiences elsewhere. In AGRITEX we have a full-time internal facilitator for a programme that covers over 3000 staff. We also use external consultants who are experienced in action learning and process facilitation. In the first phase of cultural change in the Dept, we found that understanding and know-how in process was a crucial input, allowing staff to learn about themselves from themselves and take ownership of the change process at the different levels across the Department.

Q7. In relation to the structural changes in MOLARR and specifically, the amalgamation of research & extension, was this envisaged at the start of the ASMP?

A. Changes arise from two processes running in parallel (1) ongoing public service inform and (2) analysis and learning ability from studies and experiences as part of the change process e.g. Core Function Analysis Exercise in MOLARR. The amalgamation of R&E was neither excluded nor included at the initial planning stage of the ASMP.

Q8. What is the understanding of P/P partnership in Zimbabwe?

A. There are various concepts and mechanisms – some of which are taken from the private sector e.g. approaches and systems for cost-recovery, commercialisation and privatisation are now being used by Government Departments.

Q9. What measures are being implemented to enhance participation of women and youth?

A. There has been a Ministry of Women Affairs/Gender in every government since independence in 1980. While AGRITEX has various training programmes on gender, less than 7% of the overall staff-complement in the department are women. On the youth extension, AGRITEX has had special programmes since 1999 in collaboration with FAO. There are also young farmers clubs in districts where young farmers raise issues and seek responses to their highlighted problems/concern.

Note: Arising from a number of queries on funding (mechanisms etc.), it was agreed by the facilitator to have a focused group exercise on the topic.

B. The Role of the Zimbabwe Farmers' Union in the Agricultural Services Management Programme (ASMP)

S. Tsikisayi, Zimbabwe

Abstract

Over the years, both the quantity and quality of agricultural service provision to the smallholder farm sector has been on the decline, mainly due to reduced budget allocations coupled with the use of resources for non-core activities (e.g. management and distribution of drought relief packages).

After the introduction of structural adjustment programmes in 1990, ZFU initiated a number of (small) farmer-focussed activities aimed at strengthening the various levels of ZFU structures (capacity building, decentralisation) to create structures that are capable of organising services required by members. Associations and clubs were enabled to effectively interact with both private and government service-providers to ensure that farmers get quality service.

During the implementation of ASMP, the importance of involving the service recipients in the restructuring process was realised and stakeholder panels with ZFU-representation for extension, veterinary services, research and other technical departments were formed.

ZFU's role included the creation of awareness among farmers regarding revised service-delivery structures, farmer mobilisation to effectively access extension services including input procurement and marketing advice and general pertinent information dissemination. Constraints in exercising this role came from an uneven availability of resources: while the public sector was involved in capacity building for this reform process, no corresponding capacity building for ZFU took place, thus hampering progress and limiting effective participation. Therefore, some "consultative meetings" became mainly informative meetings and the top-down approach of ASMP has not been reversed.

Questions & Answers

Q: To what extent does the ZFU understand itself as a lobby group?

A: As stated by its objectives ZFU is primarily there to guard the interests of its membership in their farming activities. Anything that the Union does would be in the interests of its membership.

Q: Can you elaborate on some of the issues the ZFU has advocated for or recommended in the commercialisation of some of the research stations?

A: The ZFU has always had a number of expectations from the commercialisation process of research stations. The primary expectation has been that developmental activities should not suffer as a result of commercialisation. For example in the commercialisation of the coffee research station the position of ZFU has been that issues related to research and extension activities for smallholder production environment should not be immediately commercialised.

Q: Does the Union have mandate in ASMP and if so what capacity?

A: Yes, the Union has mandate within ASMP as an organisation that do represent the major client of government agricultural services. The Union is also a registered farmers organisation with the Ministry of Agriculture, Lands and Rural

Q: Are there any linkages in existence between the ZFU and the Commercial Farmers Union? If they are weak, what are the means to foster the linkages?

A: Linkages do exist between the farmers Unions. The two Unions do hold consultative meetings frequently to the extent that on matters of common interest the two normally make joint presentations to government. This is despite the fact that they may be different when it comes to land issues.

C. The Farmers' Development Trust in Zimbabwe

L. Tendengu, Zimbabwe

Abstract

Acknowledging that agriculture continues to be the biggest employer and largest earner of foreign currency for Zimbabwe, the dichotomised structure of the agricultural sector needs to be highlighted. To overcome poverty maintenance schemes, a dialogue was started between the public and the private sector, leading to the creation of the Farmers Development Trust (FDT) in 1983. Co-financed by both sectors and international donors, it seeks to train, resettle and broker. In the training part, long-term, short-term and on-farm facilities are being provided. In the resettlement part, on a "willing seller – willing buyer" basis, families are assisted in settling, farming-systems training and marketing. In the brokerage portion, financial and other arrangements have to be worked out to use all options of the Settlement Trust Fund (e.g. lease fee, land purchase, etc.).

The field trip to follow will provide ample evidence of the entire range of FDT-activities and will allow participants to ask beneficiaries about their experiences so far.

D. Enhancing Public-Private Sector Partnerships through Consultative Processes in Zambia

M. Mwanaumo, Zambia

Abstract

The Agricultural Consultative Forum (ACF) is increasingly becoming an effective tool for promoting and stimulating participation of the commercial and non-commercial private sector in Zambia's agricultural sector. The composition of the ACF coupled with the advisory nature of the forum combine to provide the private sector an opportunity to influence policy.

There are however conflicts and obstacles to the involvement of the commercial and non-commercial private sector. These are as a result of the duality of Zambia's agriculture, collapse of the cooperative and parastatal infrastructure, traditional mutual mistrust and diversity of stakeholders, farming systems and donor and NGO strategies. Nevertheless, ACF as a neutral platform for public, private and donor consultations, by providing advisory institutional arrangements to the Ministry of Agriculture, Food and Fisheries (MAFF), and by promoting objectivity and technical support, provides the framework within which the collaborative

mechanisms between the public and private sectors can be developed. The enhanced use of consultative mechanisms in the formulation and implementation of agricultural programmes improves sequencing of interventions to maximize synergies and complementarities in agricultural development.

The prospects of the Forum are therefore to continue the agenda of providing valuable advice to MAFF and enhancing inter and intra stakeholder consultation. In addition, the Forum shall endeavour to promote public/private sector partnerships and facilitate information flow to strengthen partnerships which are an integral part of the transition to sustained market interventions.

Questions & Answers

- Q: What are the experiences of public/private sector consultations at district level?
- A: Through District Agricultural Committees (DACs).
- Q: How often does the ACF meet and send advisory notes to MAFF?
- A: Meetings are issue- and demand-driven and so are the subsequent advisory notes. However, so far the Forum has met on average once per month.
- Q: Is the ACF becoming strong at the expense of planning capacity in MAFF?
- A: No, because the two are complementary.
- Q: What were some of the constraints in the setting up of the Forum?
- A: Consolidation of diverse stakeholder views into advisory notes.
- Q: Does a PRSP exist?
- A: Still being formulated.
- Q: Is there a conflict between poverty reduction and agricultural development?
- A: No, the two are complementary. Agricultural development is one of these... not the only tool for reducing poverty.

E. Maximita Approach in the Privatisation and Commercialisation of Agricultural Services in Kenya

M. Mutua Kihu, Kenya

Abstract

MAXIMITA is an acronym for "Maximum Mutual Interaction Technical Assistance Approach" which was a policy advocacy approach derived in the course of the design and implementation of the Privatisation and Commercialisation Programme for Agricultural services under the second Agricultural Sector Management Project (ASMP II) in Kenya, during the period 1994/98.

The ASMP II was a Project Management Unit (PMU) funded under IDA Credit and implemented through the then Ministry of Agriculture, Livestock Development and Marketing (Now Ministry of Agriculture and Rural Development) during the period.

In order to overcome resistance by key stakeholders during the process, the PRIVACOM Programme was designed as a management of change intervention and implemented through (the magnificent) seven novel techniques (namely the Icebreaker, Hidden Card, African Grill Oracle, Autopilot, the Quanswer, the Brainstorm and the Making a Kill techniques). The objective of using these techniques was to develop an orientation towards acceptance of the change induced by the Government policy of liberalisation, which was in line with the emerging global economy orientation worldwide.

The application of the Maximita innovations produced dramatic results in policy advocacy for liberalisation, restructuring, rationalisation, privatisation and commercialisation policy as well as for acceptance of the imminent retrenchment and natural outplacement into entrepreneurship. These results were achieved through 16 Strategic Management Action Research Training (SMART) Practicums particularly designed for the purpose. As a result, the PRIVACOM Programme was able to develop Public Sector Exit/Maintenance and Private Sector Entry/Maintenance Plans for 16 subsectors, 5 in the Crops, 6 in the Livestock and 5 in the Veterinary sub-sectors.

Evaluations done during the PRIVACOM Programme proved the process to be very useful. It was hailed as a profound mind-opener and change-intervener by practically all the participants. The greatest attribute of the process, however, lay in its innate innovativeness and adaptability, which renders it highly replicable to all sorts of situations. For example the process can be applied to various other situations including other subsectors in agriculture, other geographical regions (Provinces, districts, divisions, locations, councils etc. other sectors, industries, and institutions in Kenya, East Africa and the African region.

This paper provides an outline of the design and implementation of the approach. Details thereof may be sourced from the author.

F. Field Trip to Farmers' Development Trust, Dozmary

Following a clearly stated request in previous workshops, participants were given the opportunity to leave the workshop-venue to have a "hands-on" presentation of an implementation process in action.

FDT (Mr. L. Tendengu) organized this trip to show the participants the entire sequence of a resettlement agenda: where the (future) farmers come from, how they are enabled, what resources are at stake, what experiences they are encountering, which public-private partnership models are involved, and what the future might look like.

As the evaluation feedback shows, this trip was appreciated by many, because it highlighted implementation-in-action with all its challenges and opportunities.

Field Trip

- (top) Beneficiaries of FDT, a young couple just starting farming, answer questions
- (rt.) Our guide Mr. Tendengu (r.) and a member of his team explain about commercial contract-farming, in this case tobacco
- (bottom, left & right) Workshop participants in the fields of FDT's Dozmary land



V. The Challenge of Decentralisation

A. Challenges of Decentralization within the Health Sector Reform and SWAPs in Tanzania

O.M.E. Kisanga, Tanzania

Abstract

A participatory effort brought the following guiding definition: "Decentralisation is the transfer of authority and responsibility from central level of government to councils and local authorities, thereby strengthening the latter."

Having confirmed through studies that service delivery systems (education, health, water) were considered unsatisfactory, local governments were reformed. Decentralisation is *one* strategy to achieve improved service delivery. It includes transfer of authority to local levels as well as to the private sector.

A comprehensive role analysis identified what should be done at which level. The centre should, for example, do policy analysis, prepare a joint disbursement system and monitor. The regions should support the councils in the planning exercise, review these plans, and assure quality control. The councils, in turn, arrive at council health plans in a participatory manner.

Decentralisation of personnel management includes the appointment, development and disciplining of staff. Central government is approached if poor and/or marginalized councils have problems in the recruitment and retention of qualified staff. The role of the centre includes the safeguarding of professionalism and ethical conduct.

Among the challenges are unattractive incentive packages for hardship areas and personnel uncertainty about financial abilities of the local level to pay salaries.

Among the salient and encouraging factors of the decentralisation process are: infrastructure improvement by joint effort, stable utilisation of public health services and a general readiness for change within Tanzanians.

Questions & Answers

Q: Based on the assumption that councils have a broader mandate than health, to what extent are funds being used for the intended purpose? Any possibility of abuse? Are preventive or corrective measures put in place?

A: Indeed, councils are supposed to establish a council development plan, taking into account the sectors water, health, education, agriculture and roads. The funds for council plans originate mainly from two sources: block grants (government) and council funds. In the health sector, however, additional funds come in through basket grants. This basket money is earmarked for health. It has to be spent in line with the so-called Essential Health Package, defined by the MoH and including the priority health problems of the country. Furthermore, the MoH has worked out guidelines on how in detail the money has to be distributed (different

cost centres, like hospital, dispensaries, community etc.) and ceilings for certain items (allowances not more than 20% of the total sum). Plans and quarterly reports have to be approved by the BFC (Basket Financing Committee composed by members of different ministries and donors). Local government reform is at the same time addressing the central mandate of the council, which could have impinged on sector budgets.

Q: Concept of beneficiary contribution through user fees welcome. However, what has been done to change the mindset of users to accept user fees?

A: Even before the official introduction of user fees, the users had unfortunately to spent money on health. Often the health facilities run out of drugs and medical materials, obliging the staff to give prescriptions to the clients in order to buy drugs in private pharmacies. By introduction of user fees the system becomes more transparent. Up to now, user fees are more or less accepted by the clients. Before introduction of user fees sufficient advocacy was done.

Q: What is the ability of the users to pay and what happens if they can't pay?

A: In general, the tariffs are modest and in line with user's ability to pay. Furthermore, exemption mechanisms are in place, services for children under five e.g. are free. But the challenge remains to put in place a sound mechanism how to deal with the real indigents and poor people.

Q: How planning and budgeting has been decentralized in the system?

A: Refer also to question one. District Health plans are prepared by the Council Health Management Team extended by representatives of the District administration (district treasurer, district planning officer) and representatives of private organizations. These plans have to be adopted by the full council. The result is a decentralized plan, but we have to admit that lower levels (villages, wards) are not yet formally involved in the planning process. The budgets are decentralized. At district level, money is transferred in a specific account, taking into account different cost centres. As already mentioned, this account includes money from three different sources: block grants (mainly for salary), district's own money and basket grants.

Q: How equity in the system is assured?

A: For the time being, the problem of equity remains at least for the basket funds. The formula for basket money is 0.5 US \$ per capita, without taking into consideration other components as number of health facilities, distances etc. A comprehensive system aiming at more equity has to be worked out. It should be noted that the system provides equity in the sense that poor people are not denied of services.

Q: Is there communication between the different districts and how it is organized?

A: Concerning the health sector, within a region (a region includes different districts) this communication is fully established. The regional health authorities invite district representatives for common advocacy meetings and once a year the annual reports were commonly revised during a three days meeting. It exists however an annual Regional Medical Officers meeting aiming at an improvement of interregional exchange. Bilateral coordination of councils is done through established Association of Local Authorities (ALAT) that meets once a year.

- Q: What were the criteria for the elections of the first 37 districts benefiting from the basket grants?
- A: The criteria were political ones. Out of all 20 regions of the country at least 1 district was elected.
- Q: Are funds, released by the debt's relief, channelled into the health sector?
- A: Yes, the GoT committed itself to assign this money partly to the health sector within the MTEF.
- Q: How is traditional medicine being integrated in the process of decentralization?
- A: One of 6 cost centres for basket money is the community. Under this cost centre, activities related to traditional medicine and other community owned health initiatives can be planed.

B. What Worked and What is Still Needed in Decentralising Agricultural Services in Ghana

L. Otoo, Ghana

Abstract

In line with this policy of government, the Ministry of Food and Agriculture devolved the delivery of services and implementation of programmes to the district level in 1998. The paper looks at the Ministry of Food and Agriculture's efforts at decentralization, measures on re-defining roles and responsibilities, line of communication, the management and organizational structure and the implementation committee put in place to monitor the process. The paper also covers constraints to decentralization, weak areas and recommendations from the findings of the monitoring committee. Decentralization is found to have potential and can be improved upon by accelerating several institutional reforms ongoing in the ministry, implementing the recommendations from monitoring, as well as the approval by parliament of the proposed local government law (to clarify roles and responsibilities) and its implementation.

Questions & Answers

- Q: What is the problem with passing a bill? Is there a popular action against decentralisation?
- A: Decentralisation has been well accepted. Even the national directors, who would be termed the losers in this case, are coming around. The problem has been simply the slow pace in putting things in place followed by a change of the Minister for local government and rural development. Normally a new person takes some time to carry on reforms. Change of ministers was the ruling government's way of neutralising uprising within their party. There was a whole reshuffle of ministers across ministries and across the country.

should add that the existing legal instruments that started the decentralisation process are the constitution and the local government act. The bill that is yet to be passed covers dimensions that will speed up the process.

Q: It appears that the Ministry of Food & Agriculture itself had problems with decentralisation and not so much the Ministry of Local Government & Rural Development. [Is that true?]

A: Yes, the ministry of agriculture has a lot of problems to do with job descriptions, and the capacity of the national and decentralised units to assume their roles. Some of this has to do with clarity as to what one is allowed to do coupled with the resources to do it, and staff of agric. units and the local authority mutually accepting the change and what must be done. The decentralisation monitoring team among other things recommended that their membership should include a representative from the ministry of local government. This will speed up the homework on what to do.

Q: How has resource decentralisation worked?

A: Cost centres were created for the District Agric. Development Units and funds from the recurrent and development budgets directly transferred to these accounts. The local government authority also has allocations from the common fund from central government and other funds from project conditional grants. Problems with finance have to do with how much is on which side and who controls it, the DDA and/or the DCE (or other sectors in the district, for that matter).

C. Comparing Decentralisation in the Health and Agriculture Sectors in Mozambique

Y. Wane, Mozambique

Abstract

Mozambique is known as a country highly dependent on external aid because inherited from Portugal a very poor economic situation. In addition, the Mozambican's post-independence economy has suffered the damaging effects of a guerrilla war, drought, floods, famine, the displacement of population and a severe scarcity of skilled workers and foreign exchange. The peace agreement in 1922, after 16 years of civil war, marked the beginning of a period of reconstruction, rehabilitation and expansion of the economy. The massive investment programme has been directed to a number of key sectors like agriculture, health and education due their important role in development. Despite the rise of government spending in recent years to these areas, the resources allocated are still insufficient, making them extremely dependent on external aid.

The prevailing management policy, guidelines and regulations were based in a centralised model that is the decisions were made by and at central level. Due this tradition of centralisation the introduction of the decentralisation programme is very slow, seems to be difficult and the hesitations are purely mental.

Since 1995 the Government of Mozambique and their co-operating partners started to consider SWAP as a major policy option. High-level consultations in different areas have taken place and the GoM was succeeded in approving a pilot programme in agriculture: PROAGRI – The National Programme for Agricultural Development of Mozambique.

This paper presents the existing context, the measures taken by each sector towards decentralisation and the factors affecting both. In particular it puts emphasis on the PROAGRI's Common Financial Mechanism that ensures the use of Treasury account.

Given the complexity of the theme and the time given this paper does not provide clear-cut conclusions. It rather suggests a number of findings. First, decentralisation is seen as a pre-condition of sustainability; second, groundwork for decentralisation is already in place but there is relative lack of capacity in provinces; third there is a need to set up inter-sector co-ordination mechanisms, committees, procedures, training staff to speed the process.

Questions & Answers

- Q: Clarification on what types of veterinary services are being (have been?) privatised?
- A: These are related to service-delivery to support smallholders. The government is still responsible for its core functions: to provide and monitor services (e.g., disease control).
- Q: What is the role of the Ministry of Planning & Finance?
- A: MPF has set up guidelines to conduct the process of SWAP for all sectors. It is responsible for the consolidation of the budget: government funds and donor funds. It does the main facilitation within this process and monitors the resource allocation process.
- Q: Where does money come from to fund these attractive working conditions?
- A: Both from the government budget (investment plan) and donor funds, especially for building new infrastructures (housing).

D. Sector Wide Approaches in Practice: Education in Zimbabwe

K. van den Bosch, Zimbabwe

Abstract

Following extensive consultations among one of the two education ministries and key donors, it was agreed to set up an Education Sector Transition and Reform Programme (ESTARP) with three prongs:

- development of a comprehensive education policy and a resulting strategic plan (embedded in MTEF)
- decentralisation and capacity building of the ministry for implementation and monitoring, the latter with an education management information system (EMIS)
- strengthening key subsectors, including affordable education for the poorest, especially female pupils; HIV/AIDS-awareness and prevention campaigns.

Existing constraints can be clustered under three headings: lack of capacity, donor behaviour and an absence of policy – the latter having been turned into an opportunity.

Lack of capacity was partially (and ironically) promoted by a simultaneously ongoing retrenchment process that eroded capacity quantitatively and qualitatively. Donor behaviour persists in old ways of project implementation, which contributed to fragmentation of the ministry and caused the ministry to deviate from its core function, which is to manage the sector. Donors can cause all kinds of unexpected hiccoughs and these can best be overcome by playing each other's watchdog. Impatience needs to be particularly watched.

Questions & Answers

Q How difficult was/is it to merge projects?

A: In Zambia, they had to do it quickly in Agriculture. It was actually pretty easy. I suggest you link up with the colleagues in Zambia for more information. In Zambia, they had four years of study (led by the World Bank). Only last year did they think about:

- How to finance it
- What to do with all the many projects

In Mozambique, the process has stalled.

It's better to think early: What to do with all the existing projects?

Comment:: "Government owned but Donor driven": ... That doesn't sound very transparent to the locals.

E. Sector Wide Approaches in Practice: Capacity Building in the Education Programme in Mozambique

W. Schreiber, Mozambique

Abstract

The development as outlined in the report to the 1999 Lusaka meeting has continued. The Second Joint Annual Review of the implementation of the Education Sector Strategic Plan focussed on the implementation on the provincial level. In its results an urgent need to improve financial planning and monitoring and to come up with a list of short and long term priorities was expressed. The ministry has taken up the suggestion and issued a Priority Plan shortly after. Internal restructuring within the Ministry of Education is on its way with the target to facilitate the plan's implementation. A strong will to support decentralisation was voiced. The provincial level however seems not well prepared to take on responsibilities the national level is willing to delegate. A study towards common implementation arrangements has been undertaken but the partners in education have not fully accepted the study and demanded improvements. A compromise is hoped to be found by the end of the year.

F. Working Groups: Beyond the Public Sector and Decentralisation

These working sessions dealt with two related topics. The first, dubbed *beyond the public sector*, deals with participation by the commercial and non-commercial (NGO) private sector. Participants were to first clarify main terms / definitions / concepts/ categories and

then analyse areas of potential and constraint and proposed 'guidelines' for private sector involvement.

Four Working Groups were formed to discuss the following four subjects:

1. The role of the public sector: whether it provides public goods only or whether it is still also involved in the provision of mixed and/or private goods (define public, mixed and private goods).
2. Basket and other funding mechanisms, such as budget support, programme support, „buying into“ a programme, single-donor project support, planning/programme design support, etc.
3. Options for farmers organising themselves or being organised (government does it for them, unions for all, unions for small/large farmers, associations, cooperatives, community-based organisations, etc.)
4. Options for public-private partnerships (liberalised/enlightened partnership, government-led interaction, externally induced interaction, etc.)

Later, groups shifted their focus to *the challenge of decentralisation* in the context of their specific topic. This could include topics as decentralised planning, implementation and financial management, the potential role of local government and how to support beneficiaries to change from passive recipients of public services to informed clients of a range of public and private service providers. Participants were to analyse potentials and limitations with particular attention to cross-sector concerns (e.g. poverty, gender, HIV/Aids).

Working Groups were provided with worksheets where these guiding questions were provided in a matrix-form. If groups chose, they could answer these questions for any or all of the 11 participating countries in this training workshop. A copy of these worksheets is provided in Annex XI.A.

Report of Working Group I: Decentralisation and Public /Mixed/ Private Goods

Chairperson: Moshe Mutua Kihu, Kenya

Presenter: Ms. F. M. Cipriano, Mozambique

The group started by reflecting on member's understanding of public, private and mixed goods. All members gave their own definitions of the three categories of goods on separate pieces, which were later collated together and edited by the group. From the members' contributions, the following aspects were recorded as reflecting the characteristics of the three categories of goods (but which are not mutually exclusive):

1. Characteristics of "Public Goods":
 - A good in which nobody can be excluded
 - A good that is relevant to the welfare of society as a whole e.g., security provision by police and army

- A good which by its nature can only be delivered by the public sector, e.g., policy design, litigation etc.
- A good which is supposed to be provided by the state and to benefit the general public
- A good/service provided/delivered by the government
- A good consumed by all at the same time which is not easy to price and which is funded by the government as part of the social contract

2. Characteristics of “Private Goods”

- A good/service produced/provided by private organisations, NGOs and CBOs based on a user-pays system
- A good to which access is limited
- A good which by its nature can only be utilised by one person or a small group of persons, e.g., an apple or a car,
- A good which is provided by the private sector and is demand oriented
- A good consumed on demand basis, which attracts a price and whose production/delivery is privately funded
- A good (activity, programme etc.) that is acquired exclusively for the benefit of the individual or a small group of people (business, economic power, income).

3. Characteristics of a “Mixed Good”

- A good to which access is available to everybody but whose provision attracts a fee.
- A good (activity, programme etc.) that serves both the whole society and the individual, e.g., access to health, education, sound transport system etc.
- A good to be provided by both government and private sector, combining both characteristics of public and private goods.
- A good considered on a supply and demand basis that attracts a fee or charge and is funded by both public and private.
- A good/service which is provided in partnership between public and private institutions
- A good which can be delivered by both public and private sector, e.g., extension services

Following this work on characteristics, Group I then attempted to apply some of these notions to the six countries that were represented in the group, namely Kenya, Malawi, Mozambique, Tanzania, Zambia and Zimbabwe.

Identification of Public / Private / Mixed Goods and Decentralisation are parts of a larger process which also includes Core Function Analysis, Stakeholder Involvement and Privatisation/ Commercialisation. The group attempted to capture where each country is, in terms of the various stages of this larger process. The results of the group's deliberations are outlined in the table below:

Group 1	Core Function Analysis done?	Concepts of PPM Goods used?	Stakeholder Involvement applied?	Decentralisation started?	Privatisation/Commercialisation started?
Kenya	Thorough analysis done	Known and used	Largely applied	Policy Framework done, implementation in progress	Exit/ Entry/ Maintenance plans done in agric. – Process stalled
Malawi	Initial analysis done, under the functional review process	Used implicitly	Largely applied	Process on the drawing boards	Partly done/ in progress
Mozambique	Started in Manica Province, due to start in other provinces + central level	Known but not fully used	Partially applied, legal framework being formulated	Legal framework being formulated	In progress in the agricultural sector
Tanzania	Done in preparation of local government reform initiative	Used at least in the health sector	Largely applied	Policy framework developed and implemented in health sector	Carried out for water, electricity & telephones; others in progress
Zambia	Done	Partially used	Extensively applied, e.g., ACF	Policy framework developed and implemented in agriculture, Health & rural infrastructure sectors	In progress
Zimbabwe	Done in the agric. sector	Known & used at least in the agricultural sector	Extensively applied	Policy Framework developed	In progress

Report of Working Group II: Decentralisation and Basket and Other Funding Mechanisms

Chairperson: Peter Ngategize, Uganda

- Definition: Decentralisation refers to the transfer of authority including responsibilities from the central level to local authorities in order to strengthen the delivery of services
- Sequencing of decentralisation
 - o Political will → legislation
 - o Stating roles and responsibilities → policy + strategies
- Administration of decentralisation
 - o Centre → Provincial/Regional → District
 - o Centre → District

- o Capacity building
- Planning of decentralisation
 - o District plans consolidated with line ministry plans
 - o District plans formulated jointly with provinces/regions
 - o Plans for 3 to 5 years and costed
- Financing decentralisation
 - o Government grants
 - o Own generated resources
 - o Donor grants
 - o Loans
- Mechanisms
 - o Block funding
 - o Earmarked funding
 - o Trigger mechanism for release of funds
- Performance
 - o Performance measurement mechanism
 - o Incentives for good performance, e.g. +20% increase in budget
 - o Reduction of budget and re-directing budget to capacity building

Report of Working Group III: Decentralisation and Farmers Organising (Themselves)

Chairperson: Nick Clinch, Zambia

Presenter: Beryl Manja, Zambia

Group 3 identified as main roles of farmers' organisations as:

1. Lobby for members' interests, influence on policy (Unions)
2. Negotiate better deals through economies of scale for marketing and input supply. Basically production oriented -- marketing / input supply, production oriented (Cooperatives)
3. Social agenda oriented – less production oriented (Associations)

It then went on to fill the supplied matrix for all countries represented at the workshop.

Farmers Organizing (Themselves)

Group 3	Government provides support	Unions for all	Unions for Small Farmers	Unions for Large Farmers	Associations	Cooperatives	CBO's	Other
Ethiopia	✓	X	X	X	✓✓	✓✓✓	✓	X
Ghana	✓	X	✓	✓	✓✓	✓✓✓	✓✓✓	
Kenya	✓	X	✓	✓	✓	✓✓✓	✓	
Lesotho	✓	X	✓	✓	✓✓	✓✓✓	✓✓	
Malawi	✓	XXX			✓✓✓	✓✓	✓	
Mozambique		X	✓✓		✓✓✓	X	✓	
South Africa	✓	X	✓✓✓	✓✓✓	✓	✓✓	X	✓✓
Tanzania	✓	X	✓	✓	X	✓✓	X	
Uganda	✓	X	✓	✓	✓	✓	✓	
Zambia	✓✓✓	X	✓	✓	✓✓✓	✓✓	✓✓✓	
Zimbabwe	✓	X	✓✓✓	✓✓✓	✓✓	✓	✓✓	

SUMMARY OF PATTERNS

Typical pattern	✓	X	✓	✓	✓✓	✓✓✓	✓	X
Notable exceptions to the general pattern		Kenya ✓	Ethiopia X RSA, Zimbabwe ✓✓✓	Ethiopia X RSA, Zimbabwe ✓✓✓	Kenya, RSA & Uganda ✓ Mozambique, Zambia, Malawi ✓✓✓	Mozambique X RSA, Tanzania, Malawi ✓✓	RSA X Lesotho, Zimbabwe ✓✓ Ghana, Zambia ✓✓✓	RSA Community Trust Zambia & Zimbabwe NGOs

Key:	X	=	None
	✓	=	Not much (LOW)
	✓✓	=	Average (MEDIUM)
	✓✓✓	=	Very much (HIGH)

Then the group went on to focus more in-depth on decentralisation.

- Decentralised Planning
 - o (District) Development Plans
 - o Farmers' Organisations heavily involved
 - o Organisation representatives will decentralise
- Decentralised Fund Management

- o Public Sector funding
- o Non-Public Sector funding
- o Realistic decentralisation implies decentralised fund management
- o Need capacity building
- o Examples: DACs in Zambia, CDEF in Mozambique
- Decentralised Resource Management
 - o Levying/taxing systems
 - o Commodity levies → commodity industry

Report of Working Group IV: Decentralisation and Public-Private Partnerships

Chairperson: Anthony Mwanauno, Zambia

Presenter: Lena Otoo, Ghana

The group began by discussing the suggested categories of Externally Induced Partnerships, Government-led Partnerships, and Liberalised/ Enlightened Partnerships.

- The categories are actually phases of a process, never a static situation. They are not mutually exclusive. Quite often the process begins from the externally induced as a result of needs for change to improve performance assisted by donors. Donors sometimes make conditionalities for assistance they give that requires these partnerships to assume responsibility for functions that were previously public. This does not become a one-way situation; as government takes these recommendations and adapts them, the results prove mutually beneficial for both the private sector and the public sector. Externally induced are also often project-type interventions to try out new ways, e.g., cost sharing, veterinary privatisation, poverty alleviation.
- Government-led partnerships will be the next step, when government has accepted the responsibility to share functions with the private sector or to divest itself of these functions and transfer them to the private sector. Examples include contracting out services.

Here again, the three categories differ in the 'how' (how partnerships start and function) and 'who' (who is involved in the partnerships).

- Liberalised/enlightened partnerships will be public responsibilities that are of a nature that can be divested to the private sector without question – for example, cleaning services, produce buying, etc.

In light of this explanation, which the group found it necessary to elaborate on to guide their work, an attempt was made to give country-examples as appropriate to the categories:

Stages and Features of Country Process Towards Public-Private Partnerships

Group 4	Externally induced Interaction	Government-led Interaction	Liberalized/ Enlightened Partnership	Others
Ghana	1. Privatisation of vet. services 2. Commercialisation of feed certification labs	1. Contracting out analytical studies 2. Management of public services, e.g. water user association schemes	1. Produce buying companies 2. Leasing out public storage facilities	
Kenya	1. Cost sharing in health 2. Joint venture in airline	1. Anti-poverty trust fund 2. Sale of shares in public companies	1. Leasing in railway sector 2. Centres for development studies	1. Management of vet. services by community due to government failure
Malawi	1. Safety net programme 2. Privatisation commission	1. Targeted input provision 2. Seed multiplication programme	1. Trusts for smallholders, e.g. in sugar, coffee 2. Health association	
Mozambique	1. Cashew marketing 2. Marketing locally produced goods	1. Outsourcing extension services 2. Cotton concessions	1. Slaughter houses 2. Contracting out customs services	1. Micro projects with community participation & beneficiary contribution
S. Africa	1. Project for poverty alleviation	1. Joint ventures for skill development 2. Building, operating and transfer	1. Electricity, telephone and resorts 2. Encouraging blacks into commercial agriculture	
Zambia	1. Cost sharing in health & education	1. Direct sale of shares 2. Subcontracting extension & veterinary services	1. Agric. consultative forum 2. Rural infrastructure	1. Rural investment fund
Zimbabwe	1. Economic structural adjustment programme 2. Land conference of 1998	1. Agric. research council 2. National economic consultative forum	1. Provision of extension services by cotton company & seed houses 2. Agricultural produce marketing ZIMACE	1. Labour provision on construction of irrigation schemes

Turning to the concept of decentralisation, the group discussed:

- Definition of Decentralisation
 - Devolution
 - Deconcentration
 - Delegation
- Decentralisation needs to be accompanied by:
 - Proper legal instruments
 - Financial resources
 - Human resources
- Challenges of Decentralisation
 - Authority & responsibility
 - Stakeholder involvement
 - Well-defined structures
 - Capacity of implementers
 - Political commitment
 - Improvement of local governance
 - § Staff re-orientation
 - § Civic education
 - § Organisational development



Working Groups in Action

Group 1 (top left), Group 2 (bottom left), Group 3 (top right) and Group 4 (bottom right)



VI. Winners & Losers

A. Sector-wide Program Approach to Development: Country Experience of Ethiopia

M. Makonnen, Ethiopia

Abstract

The Ethiopian Government has developed sector-wide programs (SWAPs) in the Education and Health sectors (ESDP & HSDP). SDPs are designed with a 20 years strategic perspective, 5 year rolling plan and sufficient room for flexibility.

The key for successful program support is the concept of “common basket” or “pooling resources”. Planning and budgeting can then be done on the basis of resource mapping that satisfies the interests of donors as well as matches resources with activities. The objectives were developed in the context of a comprehensive Development Framework (CDF).

General guidelines on Governance, Financial Management, Procurement Management, Construction Implementation, Community Participation and Monitoring Review and Evaluation Procedures have been developed jointly with partners to form the Program Implementation Manual (PIM).

SDPs in Ethiopia that are implemented on the basis of medium-term plans and supported by a Public Expenditure Program have ushered in a new orientation to the management of development programs. Their implementation should be conceived as a process involving three important stages, i.e. a learning process, a sensitisation stage and a consolidation (institutionalisation) stage.

B. Towards Successful Stakeholder Participation: Acknowledging Winners and Losers in Programme Design

D. Dietvorst (Presented by N. Clinch, Zambia)

Abstract

Since 1997, a series of regional events has fostered the exchange of experience among implementers of sector reform programmes from a growing number of African countries. In the course of these events a number of concerns keep cropping up, related among others to the fact that at every stage and at every level of the process there are winners and losers. Failure to take this into account prevents effective partnership in programme implementation and eventually leads to dead-ends and grinding halts.

This paper discusses the sensitive but crucial issue of who gains and who loses at various stages of the programme cycle, in particular with respect to the public versus the private sector, national versus decentralised levels, and isolated versus non-isolated areas.

It is recommended that sector programme design has to include an acknowledgement of the conflicting interests of stakeholders within a sector; the difficulty to support stakeholders outside the public sector while financial control is with the government, and the vulnerable position of people in remote areas in a liberalised environment. A number of modifications to programme design are proposed and discussed. These include: add a geographical perspective to Core Function Analyses, allow for external facilitation of Core Function Analyses, ensure enabling legislation, assess the scope for non-public sector programme funding, and decentralised (possibly cross-sector) financial management.

C. Balancing Stakeholder Interests in the Animal Production & Health Sub-programme, Zambia

P.G. Sinyangwe and N.J.L. Clinch, Zambia

Abstract

SIPs are designed to achieve significantly greater programme efficiency through the harmonisation of state and donor investments within the relevant sector, accompanied by adjustments in the institutional and operational frameworks of the sector leading to increased overall sectoral efficiency and effectiveness.

The Animal Production and Health sub-Programme is one of a number of sub-programmes within the Zambian Agricultural Sector Investment Programme. The sub-programme is promoted as a more cost-effective and efficient mechanism of livestock service delivery to enable the broad range of stakeholders to increase overall production and, consequently, to increase the contribution of the livestock sector to GDP.

Individual groupings of stakeholders are often broadly divided between the public sector, the private sector and the NGO or non-profit sector. Within these groupings there exist smaller distinct groups whose interests are often quite different. Ideally, the success of the primary beneficiary grouping will reflect on the success of the programme and have knock-on effects on other stakeholder groups. However, the reality is that different groups will have different interests and some will benefit disproportionately from the changes in position and responsibilities and this can lead to a perception of winners and losers.

For the interests of the sub-programme the perception must relate to the stated objectives and can be measured using identified indicators. Winning can be perceived as a quantifiable achievement of stated targets and losing perceived as the converse of that. For individual stakeholder groups, organisations or individuals, the perception of winning and losing may be very different and, with increasing private sector interest and clear profit motives, the reality is that winning and losing is measured in terms of financial gain.

To ensure that there is overall gain and that there are more winners than losers, effective programme monitoring is critical. To support this within APHSP, an independent support process in the form of a Technical Advisory Group (TAG) and a Private Sector Development Unit ensure that the broad policies of the sub-programme are being adhered to and that the interests of all groups are being considered.

In conclusion, given the broad range of stakeholder involvement in most SIP sub-programmes and the wholesale changes that are central to most programmes, it is inevitable that some groups will benefit more than others, that some will "win" and some will "lose". However, only if the perspective of "winning and losing" is taken at sub-programme level can a realistic assessment of victory be made. Of concern is the reality

that the perceptions of "winning and losing" are made at individual levels and that these perceptions can lead to distortions within policy development and implementation. To address these concerns, independent support mechanisms must be put in place and the interests of all stakeholder groups be heard at appropriate fora.

Questions & Answers

- Q: Are there any quantifiable indications of winning and losing within the APsP?
- A: An example could be the privatisation of veterinary services. The number of veterinarians within Government service has reduced from 125 to around 80 and the number of private veterinarians has increased from 15 to 40 over the same period. However, that may give a false impression. A reduction in the civil service and an expansion of the private sector is often perceived as a positive indicator but, if livestock service delivery at farmer level (at the level of the target group) has not improved, then the overall programme has lost.

D. Working Groups: Winners & Losers

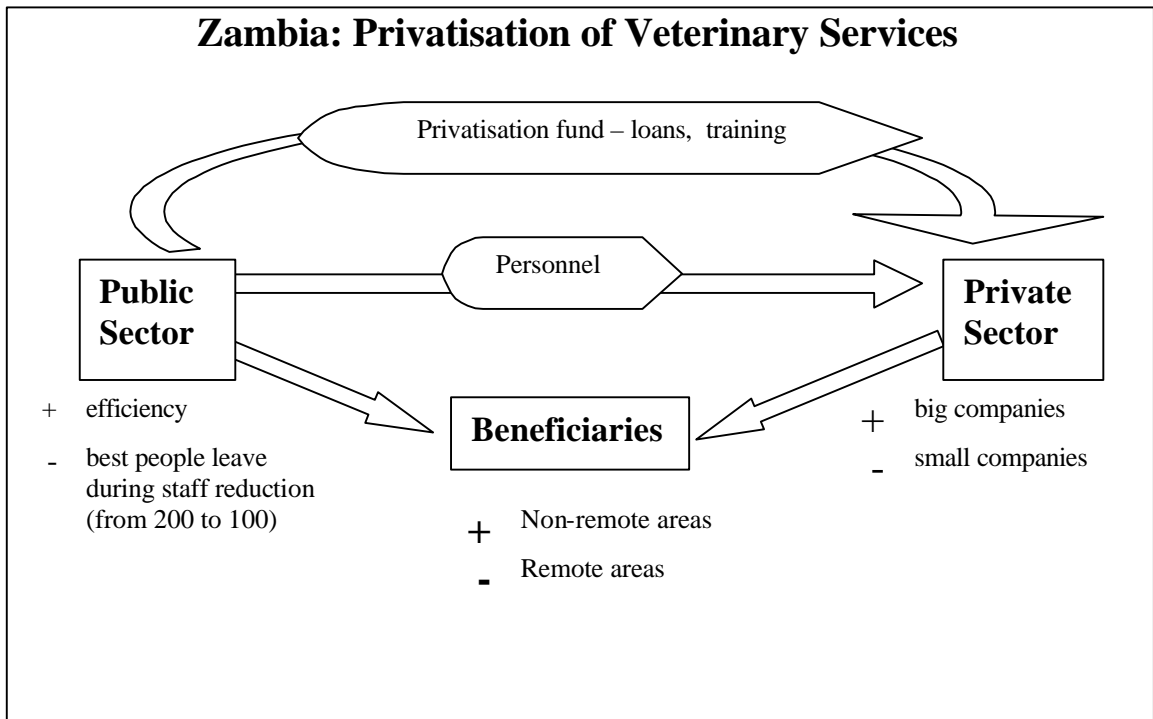
The topic was the sensitive but crucial issue of who gains and who loses at various stages of the programme cycle (e.g. public and private sectors; donors and recipients; national and decentralised levels, remote and non-remote areas).

Report of Working Group I: Winners & Losers

Chairperson: Moshe Mutua Kihu, Kenya

Presenter: Patrizia Bitter, Mozambique

The group decided to focus on a specific intervention and selected as an example the experience of Privatisation of Veterinary Services in Zambia: Who wins, who loses?



■ Wins and Losses

Analysis of wins and losses can be done at various levels of comparison. In view of the time constraints considered three levels namely:

1. **National vs. Local Level**
2. **Donors vs. their Recipients**
3. **Public vs. Private Sector**

1. National vs. Local Level

■ National level

■ Losses

- control / power/ influence

- information (initially)
 - Gains
 - improved capacity for legislation and information
 - reduced expenditures
 - improved role definitions
 - Local level
 - Losses
 - free services
 - initial loss of quality
 - exclusion of the poorest from benefits
 - What is needed to counter the losses
 - training of local staff
 - temporary continuation of government services
 - subsidies for the poorest of the poor
 - Gains
 - empowerment of local communities
 - job creation for veterinarians
 - improved tax revenue for local councils
2. Donors vs. Recipients
- Donors
 - Losses
 - control / influence / visibility
 - jobs
 - geographical preferences
 - What is needed to counter the losses
 - Advocacy on the need and benefits of the new approach
 - Gains
 - synergy and co-operation
 - increased efficiency in utilisation of financial / human resources
3. Public vs. Private Sector
- Losses and gains
 - Private sector gains power & influence
 - Public sector loses
 - direct funding
 - power & influence

- Everyone gains from
 - Programme sustainability
 - Transparency, accountability
 - Efficiency
 - Reduced corruption

Report of Working Group II: Winners & Losers

Chairperson: Peter Ngategize, Uganda

- General considerations for asking questions about winners & losers
- What are we losing or winning?
 - Power / influence
 - Employment
 - Business opportunities, etc.
- From whose perspective?
 - Government / Sector Ministries
 - Decentralised units
 - Private sector
 - Donors
 - Individuals
 - Primary beneficiaries
 - Farmers, the poor
- Time Frame?
 - short-term
 - medium-term
 - long-term
- Country examples
 - Public vs. private sector
 - Public sector loses
 - Monopoly power
 - Influence
 - Public sector gains
 - Legislation
 - Prevention of financial losses
 - Private sector
 - Business opportunities
 - Influence on policy through organised associations
- National level – Decentralised case

- National loses
 - Decision-making
 - Financial and human-resource control
 - The opposite happens to decentralised entities
- Final outcome
 - All are winners if the primary target group benefits

Report of Working Group III: Winners & Losers

Chairperson: Nick Clinch, Zambia

Presenter: Nicholas Mdaka, South Africa

- Broad perspective
 - Country consensus is important
 - No such thing as winners & losers at the programme level
 - Tests are:
 - CBA
 - achieving goals
 - increased efficiency
 - Obstacles are individual perspectives
- From the Individual Perspective
 - Public vs. Private
 - Fear of loss in Public Sector
 - High expectations Private Sector
 - National vs. Decentralised
 - Fear of losing control at National Level
 - Expectation of gaining control at Decentralised Level
 - Apprehensive of responsibility at Decentralised Level
 - Remote vs. Non-remote areas
 - Privatisation → Remote suffering is likely
 - Decentralisation → Remote benefit is likely
 - Hopefully combining to produce a net benefit
 - Donors vs. Recipients
 - Perceived benefit for both parties
 - Possible concern over loss of control

Report of Working Group IV: Winners & Losers

Chairperson: Anthony Mwanauno, Zambia

- Future: Clarity is needed in:
 - Economic analysis
 - Time frame
 - Social aspects
 - Financial aspects
- Public vs. Private Sector winners & losers (some country examples)
 - Ghana
 - outcome is mixed
 - Kenya
 - Winners: Private sector
 - Losers
 - Public sector staff
 - Remote areas (as prices rise)
 - Malawi
 - Winners: Private sector has potential to be winner
 - Losers: Government loses power
 - South Africa
 - Winners:
 - Private sector
 - Government (due to available resources)
 - Losers: Society (as prices rise)
- Decentralisation
 - Winners
 - District heads
 - CBOs
 - Target groups
 - Remote areas
 - Losers
 - National heads
 - NGOs
 - National budget
 - Liberalisation of prices: Remote vs. non-remote areas
 - Losers: Remote areas
 - Donors & Recipients
 - In all cases: mixed results

E. PRSP as an “Alternative” to SIPs/SWAPs? – The Case of Kenya

J. Gachanja, Kenya

Abstract

FORMULATION OF THE POVERTY REDUCTION STRATEGY PROGRAM IN KENYA

Kenya’s vision on poverty reduction is articulated in National Poverty Eradication plan which was launched in 1999. The document gives broad policy guidelines on ways to spearhead efforts in reduction of poverty in the period up to 2015. Currently the government is in the process of preparing the Poverty Reduction Strategy Paper (PRSP), which represents further efforts to deal with the problem in the short term (that is 3 years). The objectives of the Poverty Reduction Strategy are:

- Facilitate sustained rapid economic growth.
- Improve governance and security
- To increase ability of the poor to raise incomes.
- To increase the quality of life of the poor.
- To improve equity and participation.

The process of preparing the PRSP has involved a series of events including initial consultative meetings and workshops at senior government level, setting up of a medium term expenditure framework secretariat and eight (8) sector working groups as well as an independent macro planning working group. An interim Poverty Reduction Strategy Paper has already been produced.

The government is using a broad-based consultative process in the formulation of the final PRSP, with the intention of implementing those strategies enjoying broad national support. Consultation takes the form of workshops, seminars and meetings at national, district and location levels. Non-government stakeholders engaged in consultation and participation include: - NGO’s, Development partners, Churches, Civil Society and others. Challenges faced in the preparation process are as follows:

- The paper has to provide a deeper analysis of the development problem since all past efforts have failed to raise the rate of economic growth in Kenya.
- The participatory and consultative process needs to be carefully implemented in order to get quality results. This is a critical stage in the entire process.
- Mechanisms to deal with existing plans, programs and projects in order to align these to poverty reduction, have to be spelled out.
- Institution arrangements have yet to be clearly defined in addition to mechanisms linking the national budget to identified priorities and strategies.
- Since resources are always inadequate the isolation of a critical set of cross-sectoral and sectoral strategies and priorities capable of triggering the desired level of development is crucial.

VII. Lessons Learned and the Road Ahead

A. Select Key Findings

W. von der Ohe

Abstract

This summary of key findings reviewed major highlights of presentations of participants during the week, in order to stimulate the four working groups to arrive at good proposals for a joint “Way Forward.”

The method used was to select 47 PowerPoint slides (see Annex *X) from the several hundred shown during the workshop, to point out key findings, constraints and opportunities as noted by various presenters.

The workshop had begun with a “memory refresher” retrospective, i.e. how this Harare training workshop had to be seen as part of an ongoing intra-African forum for exchanging experiences in the design and implementation of sector wide approaches (SWAP) – initially in agriculture only, but gradually expanding to other sectors such as education, health and social services.

This year’s workshop had been given a provocative title: “... heading for collapse?”, because there are voices that seem to suggest that SWAPs and Sector Investment Programmes (SIPs) are being or will be replaced by Poverty Reduction Strategy Papers / Programmes (PRSP). It is therefore in order to take stock of sector-wide programmes:

- Which key questions have arisen and how have they been answered, in terms of design and implementation experiences and lessons learned
- Whether PRSPs can benefit from this rich experience
- Or even whether PRSPs can provide an intersectoral “roof” under which SIPs/SWAPs may continue to be implemented

Participants of this training workshop came from eleven African and five European countries – a good basis for exchanging a wealth of knowledge worthy of being networked. The broad areas of reflection touched upon this year included:

- Financing
- Public-Private Partnerships
- Decentralisation
- Winners & Losers in the process
- Participation & Ownership
- PRSP as a roof?

In the area of financing, the challenges and opportunities of an entire arsenal of mechanisms were discussed, including the basket-financing instrument both at headquarters and decentralized levels. In the area of public-private partnerships, opportunities for effective collaboration mechanisms between the sectors were explored. Sobering experiences in the implementation of decentralization (of planning, staff management, financial management) were articulated and the need for capacity building stressed. The question of “who wins and who loses” led to challenging debates about appropriate time-frames for

evaluating such outcomes and also to the view that – even though certain people may lose – goal achievements may “win.” The question of participation provoked serious probing into the nature of participation, ranging from fig-leaf exercises to true ownership creation. First experiences of and with PRSPs (in Uganda known as PEAP) showed that they are indeed compatible with SIPs/SWAPs: in some cases, they may be prerequisites for them; in other cases they form crowning intersectoral “roofs.” The danger was expressed that PRSPs could absorb resources better left to sectoral implementers. If not seriously “owned” via a truly participatory process, PRSPs could also come and go like other donors’ fads.

The presentation concluded with an invitation to come up with constructive ideas for the WAY FORWARD in the final round of group work.

Questions & Answers

Points made by participants in the discussion included:

GENERAL:

- We are dealing with a dynamic sector – creativity is important, we have to keep up with change.

FARMERS’ UNIONS, STAKEHOLDER PARTICIPATION:

- Farmers’ unions are important, but there are many other stakeholders. Unless stakeholder involvement involves capacity building, it won’t work.
- When farmers’ union representatives are invited to meetings of stakeholders, they are often not in a position to really contribute.
- Farmers’ unions are secondary stakeholders. We’ve got to have/involve primary stakeholders too.
- SALARIES:
- SWAP and “basket” planning will not succeed without improving salaries, which especially in the public sector are too low.
- The only way to get better salaries is a realistic, more business-like public-sector reorganisation.
- Staff packages can be broader than salary.

DISTRICT LEVEL:

- Various sector programmes should make a contribution (not just lip ser vice) to capacity at the district level. For example: 5-6% to the local authorities.
- Sector programmes are usually fairly massive (in terms of resources, coordination). There should be coordination at district level (it never happens at the national level).
- The capacity to coordinate at district level is very important. Sector programmes can make a contribution here.

DECENTRALISATION :

- Tanzania: During the decentralisation process, (technical) coordination was still the role of the Centre (e.g. in health). There is an annual meeting as a forum, where they can discuss top-down with Councils the national policies. Horizontal sharing of information among councils.

- Uganda: On paper, rich districts help poor districts in Uganda. We need to think about horizontal and vertical models.
- Tanzania: From 1998 on, about 50% of funds remains with local Councils. (The percentage collected to the Centre, if managed well, could be used to help poor districts.)

RECOMMENDATIONS:

- How about a similar platform (to this workshop) next year?

B. Working Groups: The Road Ahead / The Way Forward

Report of Working Group I: The Way Forward

Chairperson: Moshe Mutua Kihu, Kenya

Presenter: Rainer Kuelker, Tanzania / P. Bitter, Mozambique

The Group started by outlining its agenda for discussion that consisted of the following four subject headings:-

1. What participants should address in their jobs when they go back home.
2. Suggestions for key topics for the next workshop.
3. How to strengthen the regional cooperation in the SNRD Network and beyond (regional network)?
4. Future of SIP / SWAP / PRSP

The Group made the following suggestions under each heading:-

1. What to address when we are back home at our jobs.
 - Initiate / participate in workshops related to SIP / SWAP / PRSP and integrate the main findings of SNRD on a situation-specific basis
 - Carry out advocacy for SIP / SWAP/ PRSP to reluctant stakeholders (at national level / donor level etc.)
 - Seek active involvement of top leadership without which most of the initiatives being undertaken will most likely flounder based on past experience.
2. Key topics for the next workshop.
 - Endeavour to bring in a more practical orientation of country specific SIP/SWAP/ PRSP experiences e.g. Farmers Development Trust etc.
 - Ideally focus on fewer carefully selected themes and give them in-depth treatment
 - Specific topics suggested :
 - Investigation into necessary and sufficient conditions for success of basket funding mechanisms with special focus on human resources mobilization strategies (including incentives).

- How to develop a tool kit for the preparation of exit / entry / maintenance strategies for privatisation and commercialisation of a specific service or services
 - Inter-relationships between macro level (poverty reduction), SIP / SWAP and ground level (decentralization and community based) strategies
 - How to generate and execute effective intervention strategies for meaningful stakeholder participation at all levels
3. Strengthening regional cooperation in the SNRD and other regional networks and institutions
- Make efforts to find ways and means to enhance inter-sectoral participation and cross-learning within the Network, e.g. through the involvement of diverse sectors and sub-sectors.
 - Involve more donors in the process including workshops and advocacy in order to mobilize more resources and to bring more experiences to bear on the process.
 - Involvement of regional bodies (COMESA, ECOWAS, ECCAS, MAGHREB, EAC, SADC, IGAD etc.)
4. Future of SIP / SWAP / PRSP

[This subject was not elaborated on because of shortage of time. It was suggested that the foregoing discussion and other deliberations of the workshop form a good basis for establishing the future of SIP / SWAP / PRSPs which might take different pathways in different countries]

Discussion:

Two main issues were raised following presentation group's work:

- a. It was suggested that it might be helpful to take perhaps only one country under analytical scrutiny and explore in depth all of its SIP / SWAP / PRSP-related experiences, methods, obstacles and potentials. Instead of bringing in several cases from several countries, such an approach would permit a lot more in-depth insight. It was explained that this would have to be examined against the possibility that successful experiences would perhaps be available for some but not other aspects of the subject matter that might indeed be available in other countries.
- b. Some participants wondered as to whether bodies such as SADC, ECOWAS, etc., might not be insufficiently grounded in empirical experiences and hence would treat these topics at too abstract a level. It was suggested that nevertheless the effort should be made as theirs would be a parallel intervention that will not adversely affect efforts being made by SNRD and other institutions. It was also felt that these regional inter-governmental bodies have a good infrastructure and would be useful in accessing top leadership.

Report of Working Group II: The Way Forward

Chairperson: Reimund Hoffmann, Zambia

- PRSP should form the umbrella, i.e. with the MTEF as a guiding financial framework
- SIPs / SWAPs should contribute to sector / cross-sector issues
- Relationship between regional and international level should be focused on in terms of relationship between policy formulation and implementation issues
 - The international policy debate should ensure that it takes into account existing as well as emerging issues – reviews are better for a for that need

- Existing approved SIPs are a good base for responding to and informing international policy initiatives
- Implementing countries should strengthen the participatory and consultative process
- In Ghana there is UNDAG aimed at harmonization of the UN system
- There is a need for a country development framework (or vision)
 - SIPs /SWAPs should come in as modalities to implement and realise the country vision
- Participation of primary stakeholders:
 - Stakeholder committees created, with decision making powers
 - Mechanism of incorporating stakeholder decisions into the budget framework
 - Use of local by-laws to regulate issues and activities

Report of Working Group III: The Way Forward

Chairperson: N. Mdaka, South Africa

Because of time the group only discussed the issues they felt were crucial

I: International vs. regional debate

- At the international level, the group felt that donor coordination is essential if Sector-Wide Approach is to succeed. Donor coordination would allow the pooling of resources and removing the wish by some to flag /tag their projects.
- At the regional level, the group felt that institutional reforms (e.g. decentralization) should be completed to enable the success of SWAPs.

II Introduction of a poverty focus

- There is need for the current PRSP process to recognize SWAPs and to find the best way to accommodate it rather than having parallel systems or just dropping a system in which a lot of efforts have been put. PRSP should not derail or undermine what has been in existence.

III Link between the SWAp and PRSP process need to be developed

- Harmonization of the PRSP process and the SWAPs is crucial and the group proposes that this should form a major subject of discussion in the next Workshop. Those countries in which the PRSP process is already in advance stage should lead the discussion. This should also apply to the Medium Term Expenditure Framework (MTEF). The question that all these should answer is how all these processes target poverty reduction.

Report of Working Group IV: The Way Forward

Chairperson: Anthony Mwanauno, Zambia

Since the terminology and definitions in several countries and sectors still contain various interpretations of SWAPs, SIPs, etc., the group proposes to make an effort to arrive at a harmonization of definitions

The challenge remains to strengthen the institutional memory of sectors implementing SIPs and SWAps. Appropriate methods include documentation & learning, case studies, lessons learned, collection of comprehensive material, building on previous efforts and experiences

- Beyond the Public Sector:
 - Public-private partnerships
 - Alleviate mutual mistrust
 - Strengthen broader participation of emancipated stakeholders
 - Core function analysis: the group agreed with an external analysis but stressed the major need to support internal processes to promote ownership and understanding
 - SIPs should assist in private-sector development
 - Interim interventions should be targeted and focused on processes

SIPs should assist in public sector capacity building

- Decentralisation is desirable with special emphasis on supporting the:
 - legal framework with enough clarity
 - capacity building at delivery levels
 - political and bureaucratic commitment
 - resource mobilisation & disbursement to delivery level
 - devolved authority and responsibility
 - and zero budgeting (activity needs-based and output-oriented)

The group noted that good experiences can be gained from the work of the Farmers' Development Trust (FDT) visited during the field trip.

- Funding arrangements: The group appreciates the existence of different forms of funding but suggests the following areas for further work:
 - Basket funding requires further analysis with a change of mind-set and a paradigm shift among donors
 - All partners should set binding time-frame commitments
 - Donors should underwrite the strategic common understanding of the process and goals
- Winners and Losers: In order to proceed with the winners-and-losers analysis, one needs to determine:
 - a time frame for the assessment of who and what wins and loses [e.g., someone may lose in the short run but win in the longer run]
 - change process management
 - impact analysis of the change process
- Poverty Reduction: The group does not consider PRSPs to be an alternative to SIPs / SWAps but rather thinks that SIPs/SWAps and PRSPs could benefit from each other.
 - Countries that are formulating PRSPs to learn from SIPs/SWAps in the use of:
 - participatory / innovative approaches and experiences linked to emancipatory stakeholder involvement

- socio-economic considerations (mobilisation of social capital)
- impact indicators and poverty monitoring
- SIPs/SWAs can benefit that their coordination is improved

Views of Individuals: The Way Forward

Participants who had to leave early were requested to leave their individual suggestions for The Way Forward. Also, one additional person chose to leave her views in writing.

Manfred Leupolt, GTZ-Lesotho

- Sector Wide Approach makes sense because of:
 - more comprehensive planning / based on a policy framework
 - more comprehensive implementation arrangements
 - conscious consideration of existing capacity (capacity building)
 - more involvement of local stakeholders [public / private / privatisation]
- Governments should concentrate on: planning / program management and evaluation and less on implementation management and financial management. Their mode of implementation should be:
 - contract management
 - out sourcing
 - single project approach
 - There is need for better donor coordination by the government
- Sector activities need to be integrated / coordinated at District Level; therefore each SIP should contribute to capacity building for Local Authorities

Peter Ngategize, Uganda

- The course has been useful. The balance between individual country experiences, references to different sectors (health, agriculture and education) and discussion sessions to clarify issues and evolve consensus were helpful.
- I have learnt some lessons that could be shared:
 - There is need to discuss and agree on the broad goals and objectives of all these programmes and approaches.
 - It must be recognized that each country is unique and therefore the timing and sequencing will have to differ.
 - Country understanding of the issues and ownership / leadership of the process is a must if goals and objectives are to be achieved.
 - Emphasis has been more on budgets and activities rather than outcomes, processes and institutions.
- The Way Forward:
 - There should be follow up courses. The next might be on sharing experiences on implementation issues and outputs.
 - A similar course, maybe for two days, should be held for a higher cadre of staff, e.g. Permanent Secretaries or even Ministers to share experiences with donors in the same forum.

- **Winners and Losers:**
 - It is possible to work towards a win-win situation. This demands spending more time in defining desired goals and outputs, stakeholder analysis, definition of roles and institutional performance / efficiency indicators. Stakeholders have to agree on a common direction-roadmap and what needs to be done to reach there. The outcomes of reaching that destination should be good for all. Those who cannot “travel or see the way should see the alternative means or options to reaching there.”
- **PRSP vs. SIPs/SWAPs:**
 - All these fads suit donors in channelling resources. Each fad creates panic in our institutions and often we are made to start all over again as if we had not been doing anything. There must be clear stated objectives – goals and outcomes with performance indicators – agreed upon. The mobilisation of resources and institutional adjustments should be a means to achieving the agreed upon goals rather than ends in themselves. National ownership and leadership is critical. These values / capacities must be built.

Nick Clinch, Zambia

- The comment by ZIMFU on stakeholder participation is very valid. Stakeholder participation is often lip service. They are invited but are they involved? Critically the key beneficiaries and the main target groups are frequently inadequately represented.
- Decentralisation needs to focus on use of funds by the Public Sector and by the non-Public Sector. Use by non-PS would have a more direct impact at the decentralised level. But capacity building and institutional development are critical. Lots of both have happened at the national level.
- The slide on negotiables and non-negotiables could maybe be the following one, since it emphasises that the negotiable component goes across sub-programmes and is not allocated to specific sub-programmes.
- I would be very sceptical about PRSP allocation and finance going to national security (military and national intelligence). It seems like a way of siphoning off funds for military purposes.
- Currently presentation is in chronological order – this may not be valid, e.g. the Ethiopia and Royal Netherlands Embassy presentations were similar and could have been put together.

Lena Otoo, Ghana

- The basic principles of SIPs/SWAPs etc. encourage control management, transparency, etc. They should be encouraged and modified with innovations for specific country experiences, especially as there is no blueprint. Sector wide approaches also should not be started as if a country had no plans, programmes, etc. to address the problems it had identified internally. There should be a synergy of reforms and policies
- There is a need for a strong involvement of the Ministry of Finance in sector wide approaches. I realize that the Uganda and Ethiopia cases seem smooth because their ministries of finance were well involved. In Ghana we had the Ministry of Finance (MOF) represented from the start in a Task Force, but it appears that the representation should have been from a higher level. However we made reasonable progress. The representation was from the World Bank desk. Someone from the Chief Director's office may have been more useful. On the other hand, the various desks in the MOF could be strengthened, empowered, etc.

- In partnerships and also for winners & losers and other reforms, etc., we should realize that they are processes that require a reasonable time for maturity, legal instruments and guiding framework to direct the processes, and also we need to note conflicting areas and have buffers for them and note advantages to make the most of them. For example, in decentralization there is conflict with the roles of the staff involved but, on the other hand, there will be a lot of resources (human, funds) offloaded to the districts. Their proper use and management must be planned. It will be useful to have district leaders take a course in development planning so that they would be objective in allocating resources to sectors and subsectors. In Ghana, the District Directors of Agricultural Show biases in plans and budgets submitted – you can tell, for example, where a director was a vet. or an extension coordinator.
- It has been noted that the shortcomings of development plans throughout country histories in areas of governance and equity have made it necessary time and again to draw-up new plans. Probably the teams that prepared these plans are not well balanced both on the donor side and the implementing government with professionals to look at social aspects. Another problem is that there is not enough time and training and capacity for implementers to address issues raised at appraisal of programmes before they are finalized. This does not help readiness for implementation. Implementation may therefore start and even a programme may near completion and yet achievement of objectives is well below 50%. The failures of these programmes are then passed on to new ones.
- I find it difficult to understand how a country can have a Constitution, a perspective plan and yet be developing SIPs/SWAPs alongside PRSPs. Maybe implementers need some civic education and then a trip down memory lane on plans/programmes (national, sector and subsector) that have existed.
- For the way forward, we need to educate ourselves on implementation: the interplay of disciplines, time, resources and objectives; the relationship of all players at all levels and their appreciation of the goals and objectives. This should help to hold people responsible to their duties. Especially bottom-up makes it difficult for a director to be irresponsible in managing a programme where staff know they must perform certain activities within specific periods and with specific resources. There should be commitment on all sides and stronger implementer-ownership and therefore initiative to guide international debates / interventions.
- Could we have in future other countries that do not have SIPs/SWAPs but nonetheless have similar development plans.
- Could we have, in between the annual workshops, some forum specifically for management level / directors, heads of departments whose lack of commitment to see things through is a big setback. This has been seen in past country projects. Again the Ministry of Finance is an important factor.

ANNEXES

VIII. Workshop Programme

Sector Wide Approaches: Still on course or heading for collapse?

Monomotapa Crowne Plaza Hotel, Harare, 13 to 17 November 2000

Mon	Tues	Weds	Thurs	Fri
'YESTERDAY'	'TODAY'			'TOMORROW'
<p>Experiences to date</p> <p>Overview and discussion of key results of prior workshops and seminars; Lusaka (1997), Lilongwe (1997), Harare (1998) and Lusaka II (1999).</p> <p>Introduction of participants</p> <p>Participants introduce themselves, their involvement in SWAp / SIPs and their expectations from the course</p> <p>Outline of course contents</p> <p>Based on common areas of concern and integrating participants' suggestions</p>	<p>Beyond the public sector</p> <p>Discusses participation by the commercial and non-commercial (NGO) private sector. Key resource people present experiences with Public-Private-Partnerships (incl. trust funds, semi-private advisory fora) and government tendering procedures. Examples from productive and social sector programmes highlight differences as well as areas of overlap.</p>	<p>Working session: Beyond the public sector</p> <p>Participants analyse areas of potential and constraint and propose 'guidelines' for private sector involvement.</p> <p>The challenge of decentralisation</p> <p>Discusses decentralised planning, implementation and financial management with presentations on options for direct funding of implementation levels, the potential role of local government and how to support beneficiaries to change from passive recipients of public services to informed clients of a range of public and private service providers.</p>	<p>Winners and losers</p> <p>Discusses the sensitive but crucial issue of who gains and who loses at various stages of the programme cycle (e.g. public and private sectors; donors and recipients; national and decentralised levels, remote and non-remote areas).</p> <p>Working session: Winners & losers</p> <p>Based on an analysis of such and other constraints, participants propose an optimal division of roles and responsibilities between stakeholders, e.g. leaders, implementers and facilitators.</p> <p>The challenges of PRSP</p>	<p>Lessons learned</p> <p>Presentation and discussion of key findings during the course.</p> <p>Working session: The road ahead</p> <p>Plenary session compiling participants' recommendations towards an improved SWAp / SIP performance as well as suggestions for future exchange of experiences (incl. linkages with PRSP/PEAP).</p> <p>Evaluation of the course Closing remarks</p>
<p>Assessing the resource envelope</p> <p>Get-acquainted reception & buffet</p>	<p>Field visit:</p> <p>Farmers' Development Trust of Zimbabwe and Dozmary Training Centre</p>	<p>Working session: The challenge of decentralisation</p> <p>Participants analyse potential and limitations with particular attention to cross-sector concerns (e.g. poverty, gender, HIV/Aids).</p> <p>Participants evaluate Happy Hour</p>	<p>Free Afternoon</p>	<p>Participants depart</p>

Facilitation training workshop: Werner von der Ohe (with extensive preparatory assistance of Désirée Dietvorst)

Monday		13 November 2000	
'YESTERDAY'			
<p>Experiences to Date</p> <p>Overview and discussion of key results of prior workshops and seminars; Lusaka (1997), Lilongwe (1997), Harare (1998) and Lusaka II (1999).</p> <p>Introduction of participants</p> <p>Participants introduce themselves, their involvement in SWAps / SIPs and their expectations from the course</p> <p>Outline of course contents</p> <p>Based on common areas of concern and integrating participants' suggestions</p>	8:30	Welcome and Opening	Hon. Min. Dr. Made
	9:00	SWAps and SIPs: A State of the Art	W. von der Ohe / D. Dietvorst
	10:00	Coffee	
	10:30	Introduction of participants and expectations from the course	K. Pilgram
	12:00	Outline of course objectives and programme	W. von der Ohe / K. Pilgram
	12:30	Lunch	
Assessing the resource envelope	14:00	Financing the Sector Approach: Challenges and Constraints	P. Ngategize, Uganda (Discussant: J. Gachanja, Kenya)
	15:00	Coffee	
	15:30	Financing the Agricultural Sector Investment Programme, Zambia (basket vs. project funding)	Mr Mukutu / F. van Dixhoorn / A. Mwanaumo, Zambia (Presenter: A .Mwanaumo)
	16:30	Financing the Health Sector Reform Programme, Tanzania (central & decentralised baskets)	O. Kisanga, Tanzania
Getting to know each other	evening	Reception and buffet	K. Pilgram

Tuesday		14 November	
'TODAY'			
<p><i>Beyond the public sector</i></p> <p>Discusses participation by the commercial and non-commercial (NGO) private sector. Key resource people present experiences with Public-Private-Partnerships (incl. trust funds, semi-private advisory fora) and government tendering procedures. Examples from productive and social sector programmes highlight differences as well as areas of overlap.</p>	<p>8:30</p> <p>9:05</p> <p>9:40</p> <p>10:10</p> <p>10:45</p> <p>11:20</p>	<p>Extension in a Changing Context: The Challenges of Public-Private Partnerships</p> <p>The Role of the Zimbabwe Farmers' Union in the ASMP</p> <p>Coffee</p> <p>The Farmers' Development Trust</p> <p>Enhancing Public-Private Partnerships in Zambia's Agriculture through Consultative Processes</p> <p>The Privatisation / Commercialisation of Agricultural Services Process (PRIVACOM) in Kenya</p>	<p>R. Chitsiko, Zimbabwe</p> <p>S. Tsikisayi, Zimbabwe</p> <p>L. Tendengu, Zimbabwe</p> <p>A. Mwanauo, Zambia</p> <p>M. Mutua Kihu, Kenya</p>
	12:00	Lunch	
<p><i>Field visit:</i></p> <p><i>Farmers' Development Trust of Zimbabwe and Farmers' Training Centre, Agritex</i></p>	13:00	Field Trip to Farmers' Development Trust, Dozmary	L. Tendengu and his team

Wednesday		15 November	
'TODAY'			
<p>Working session: Beyond the public sector</p> <p>Participants analyse areas of potential and constraint and propose 'guidelines' for private sector involvement.</p> <p>The challenge of decentralisation</p> <p>Discusses decentralised planning, implementation and financial management with presentations on options for direct funding of implementation levels, the potential role of local government and how to support beneficiaries to change from passive recipients of public services to informed clients of a range of public and private service providers.</p>	8:30	Working session: Beyond the Public Sector (Definitions, Categories, Concepts)	
	10:00	Coffee	O. Kisanga, Tanzania
	10:30	The Challenges of Decentralisation within the Health Sector in Tanzania	L. Otoo, Ghana
	11:05	What Worked and What is Still Needed in Decentralising Agricultural Services in Ghana	Y. Wane, Mozambique
	11:40	Comparing Decentralisation in the Health and Agriculture Sector in Mozambique	K. van den Bosch, Dutch Embassy, Zimbabwe
	12:15	Sector Wide Approaches in Practice: Education in Zimbabwe	
	12:45	Lunch	
<p>Working session: The challenge of decentralisation</p> <p>Participants analyse potential and limitations with particular attention to cross-sector concerns (e.g. poverty, gender, HIV/Aids).</p>	14:00	Sector Wide Approach in Practice – Education in Mozambique	W. Schreiber, Mozambique
	14:30	Working session: The Challenges of Decentralisation	
	15:00	Coffee (then working session continues)	
	17:30	Presentations of working groups	Presenters: 1) F. Cipriano, Mozambique 2) A.O. Angoran, Zimbabwe 3) B. Manja, Zambia 4) L. Otoo, Ghana
Participants evaluate workshop so far		What needs improvement? Content? Methods?	K. Pilgram

Thursday		16 November	
‘TODAY’			
<p>Winners and losers</p> <p>Discusses the sensitive but crucial issue of who gains and who loses at various stages of the programme cycle (e.g. public and private sectors; donors and recipients; national and decentralised levels, remote and non-remote areas).</p> <p>Based on an analysis of such and other constraints, participants propose an optimal division of roles and responsibilities between stakeholders, e.g. leaders, implementers and facilitators.</p> <p>Working session: Winners & losers</p> <p>The Challenges of PRSP</p>	8:30	Sector-wide Program Approach to Development: Country Experience of Ethiopia - Major Achievements & Challenges	M. Makonnen, Ethiopia
	9:00	Towards Successful Stakeholder Participation: Acknowledging Winners and Losers in Programme Design	D. Dietvorst (Presenter: N. Clinch, Zambia)
	9:30	Balancing Stakeholder Interests in the Animal Production & Health Sub-programme, Zambia	P. Sinyangwe / N. Clinch, Zambia
	10:00	Coffee	
	10:30	Working session: Winners & losers	
	11:45	Presentations of working groups	Presenters: 1) P. Bitter, Mozambique 2) 3) N. Mdaka, South Africa 4)
	12:30	PRSP as an “Alternative” to SIPs/SWAPs?” – The case of Kenya	J. Gachanja, Kenya
	13:30	Lunch	
Free Afternoon		Free afternoon	

Fri		17 November	
'TOMORROW'			
Lessons learned		<i>Lessons Learned and the Road Ahead:</i>	
Presentation and discussion of key findings during the course.	8:30	Presentation of select key findings	W. von der Ohe
Working session: The road ahead	9:15	Discussion of key findings by participants	
Plenary session compiling participants' recommendations towards an improved SWAp / SIP performance as well as suggestions for future exchange of experiences (incl. linkages with PRSP/PEAP).	10:00	Coffee	
	10:30	Working session: The road ahead / The way forward	
	12:00	Presentations of working groups	
Evaluation of the course / Closing remarks	13:00		
	13:15	Lunch	
Participants depart			

Working group chairpersons during the week:

- 1) M. Mutua Kihu, Kenya
- 2) P. Ngategize, Uganda (on Friday: Reimund Hoffmann, Zambia)
- 3) N. Clinch, Zambia (on Friday: N. Mdaka, South Africa)
- 4) A. Mwanauno, Zambia

IX. List of Participants

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IX LIST OF PARTICIPANTS

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Although not physically present, most – if not all – participants were (made) aware that Désirée Dietvorst was very much present as well. Her contacts are:

Dietvorst, Désirée [workshop co-facilitator] Germany desiree.dietvorst @ t-online.de

X. Participants' Expectations and Evaluations

A. Expectations at the Beginning

Any evaluation of a (training) workshop needs to be seen in light of the expectations, experience and depth of knowledge of the participants doing the evaluation.

1. Are you (or were you) involved in a sector reform programme (e.g. SIP or SWAp)? Which programme (please be specific)?

- Agriculture Sector Investment program for the Ministry of Agriculture, Food and Fisheries in Zambia
- Agriculture Sector Reform Programme
- ASIP Zambia
- Decentralisation programme for the Ministry of Agriculture and Irrigation in Malawi
- Details to be provided later
- Education Strategic Plan Mozambique (ESSP) = SWAP
- I'm involved in PROAGRI, National Agricultural development Programme in Mozambique. My participation lasts since the formulation stage as member of executive secretariat, responsible to estimate the costs required to finance the programme. My duties include globalisation of the annual working plan and budget, monitoring and evaluation of performance and impact assessment.
- Involved in a sector reform named the Sector investment programme in Zambia. I managed a rural investment fund (RIF) under the Agriculture Sector Investment Programme.
- Involved in both SIPs and SWAPs.
- Involved in Kenya's medium term expenditure framework, preparation in the poverty reduction strategy paper and in the efforts to target the poor at the grass-root level.
- Involved in Kenya's MTEF & PRSP Process. Has been chair to the social sector (HRD) working group.
- Involved in Mozambique agriculture sector investment programme.
- Malawi Agriculture Sector Investment Programme (MASIP).
- Malawi Agriculture Sector Investment Programme (MASIP). MASIP is currently in progress in Malawi.
- MASIP Formulation process.
- Mozambique Agricultural Sector Investment program. PROAGRI.
- New to the country and will be representing education stronger in future.
- PROAGRI.
- SIP PROAGRI
 - 1ST phase (5 years): Institutional reform of the Ministry of Agriculture;
 - 2nd phase: Capacity building of institutions and partner-organisations to increase core functions;
 - 3rd phase: capacity building of core functions for gradual transition of responsibilities

and finances.

- SIP PROAGRI: Institutional reform of the Ministry
Capacity building of institutions and partner-organisations to increase core functions.
Capacity building in core functions for gradual transition of responsibilities and finance.
- SWAP- basket funding in Tanzania.
- Swap with basket funding model in the health sector.
- Yes, in the Zimbabwe Agricultural Sector Investment program.
- Yes, in Zimbabwe, Uganda, Mozambique, Bolivia and Tanzania.
- Zimbabwe Agriculture Sector Investment Program.

2. What is (was) your role and position within this sector reform programme?

- Advises to the regional level, out of 6 districts, 4 are in the reform process.
- Assisting in coordination and management of SWAPs and SIPs.
- Controller of planning. MASIP is being managed through a secretariat with a coordinator. The Secretariat is part of the planning division.
- Co-ordination of project activities in respective districts within the framework of PROAGRI.
- Coordination of projects in respective districts within the framework of PROAGRI.
- Coordinator since April 2000.
- Co-participant in concept development.
Co-participant in guidelines development.
Co-participant in monitoring.
- Currently convenor in finalization of the social sector component of the PRSP.
- Currently offering technical support to stakeholders in poverty reduction effort through production of poverty reduction reports.
- Deputy co-coordinator of implementation plan.
Globalisation, consolidation and presentation at Ministry of Plan and Finance of the annual working plan and budget.
Preparation of the treasury plan and presentation at financial management committee formed in the context of ASIP.
- Developing TOR for consultants and task forces and supervising task force assignment implementation.
- Director of Field Services and responsible for developing an extension programme that covers all the stakeholders.
- Institutional reform team at provincial level.
- Involvement in the institutional reform process in implementation of PROAGRI on provincial level.
- MASIP Coordinator.
- Member of Donor coordination group for the implementation of ESSP.
TL of joint evaluation mission 2000 of implementation of ESSP.
- My Position Desk Officer in the Ministry and I coordinate all programmes related to the decentralization process of the Ministry.
- My role was to initiate the RIF, redesign the programme and manage its operations.

My position was to coordinate leadership in RIF implementation, liase with World Bank and Zambian Government.

- No active role, just observer as I worked within the governmental research system from 1995 to 1998.
- Participated in the preparation of the programme and implementation of some aspects of ZASIP.
- Senior advisor and in present position Chief Advisor for an Agricultural Sector Support Programme.
- Spearheading the preparation of the program on behalf of the Ministry.
- To coordinate all sub programmes within the Ministry (ASIP) at District Level.

3. What are your expectations of the training workshop?

- Better understanding on how to include SIPs into project activities.
- Consolidate conceptual understanding of ASIP.
Discuss reform requirement in implementing ASIP particularly financial management reforms, roles of public institutions, private sector and NGO's in ASIP formulation and implementation.
Monitoring, evaluation and impact assessment of ASIP.
- Development of objectives to involve sectoral activities on district level into the program of PROAGRI with activities on province level only.
- Exchange experiences and identify constraints and ways forward.
- Exchange of experience.
Follow-up of Lusaka Meeting.
Means of implementation (budget / basket funding vs. projects).
- Experience what others did better to succeed in different aspects of SWAP.
- Experiences from other countries and how best our program can be formulated.
- Gain experiences from other programs and find what has to be avoided.
- Get experience from other practitioners on the challenges they are facing, vis-à-vis managing programmes under conditions similar to the ones I faced and sharing ideas on the way forward.
- Improve my coordination skills.
Be informed on positive and negative effects of this approach in the agricultural sector.
- Learn on regional experiences.
- Learn on regional experiences to get a feel on best practices. Experience will be useful in own process.
- Regional experiences gained in implementing SIPs.
- Share experiences in SIPs/SWAPs formulation and implementation with special interest on how SIPs/SWAPs handle institutional reform and rationalisation.
- Sharing of experiences and learning from each other.
- To better understand comparable approaches in other countries.
- To learn how sector reforms have worked in other countries.
How the stakeholders outside Ministry level have been taken care of.
- To share experiences mostly with others on SIPs or SWAPs.

- To share experiences with and learn from other participant on various reform programmes being implemented in other countries.
- To understand effective steps towards the internalisation and adoption of SWAPs/SIPs and also the management of pool donor funds.
- What are the experiences with Agricultural Sector Investment Programmes in the region concerning the following issues:
 - Whether the challenging approach of decentralizing responsibilities to the districts has resulted in an improvement on governmental services for the beneficiaries.
 - Whether decentralization has reduced costs of operation.
 - Whether the respective countries were able to provide the human capacities required at district level within the process of decentralization.
 - Whether the donor money contributed to the national “money pool” reached the intended provinces in accordance to the project/programme plans, and how Provinces cope with the load of administration work for the bi-lateral projects and programmes. In this context, views from projects/programmes implemented under ASIP regulations and views from the districts.
- What are the sector wide approaches?

4. What do you think you could contribute to the training workshop? For example, a specialisation with or experiences in a specific area, such as privatisation or decentralisation.

- 10 years of first hand experience with agricultural projects and programmes, decentralization and farmers organizations.
- Both privatisation, decentralization and many more. E.g. budgeting and financial management, prioritisation, aid coordination.
- Can contribute by sharing experience in the efforts to target the poor.
- Can contribute by sharing experiences in the decentralization process.
- Decentralisation.
- Exchange my 3-1/2 years' experience in managing a demand driven community programme as part of or within a sector investment programme under the Ministry of Agriculture. The Ministry was undergoing restructuring, decentralization within the public reform programme. The challenge was to run RIF under a decentralized approach alien.
- Experience from Egypt: Separation of governmental institution into a department for certification / quality control and a production department with finally privatisation.
- Experience with decentralization with regards to institutional capacities and stakeholder participation.
- Flow of Funds Mechanism, transitional model adopted in PROAGRI. Decentralized planning and financial execution, case of PROAGRI annual working plan and Budget. Methodologies for cost estimations of ASIP, data base formulation.
- Have to think about it (right now I have a PFK TILL 3 November).
- Involvement of stakeholders in the preparation process.
- Just participate in the discussion from an ASIP observer point of view.
- MASIP has undertaken a study on “The role of the agricultural sector in decentralization process in Malawi.” The study spells out how MASIP and the agricultural sector will fit into decentralization process in Malawi. This can be shared

with other participants.

- Mozambican experiences in the context of SIP: Current activities of PROCIPP/GTZ in support of implementation of PROAGRI.
- My knowledge and experience on the approach taken in the Ministry of Agriculture to decentralize some activities although the process has not been finalised.
- Not much.
- On coordination skills.
- Practical experiences on how the process was designed in the health sector in Tanzania.
Consequences of the reform process for a decentralized district.
- Role of agriculture in decentralization process in Malawi.
Our experiences with SIP in Malawi.
- Share experiences on decentralization and the process of planning with beneficiaries' involvement.
- Share experiences on health sector reform process.
Contribute to challenges involved in decentralisation.

B. Workshop Evaluations

Interim Evaluation

In order to break with the tradition of evaluating a training workshop only at the end, thus rendering it impossible to correct problems during the workshop, it was decided to let the participants make an interim evaluation (using the form in Annex XI.B). Here are the responses (in no particular order):

I. **WHAT WE DO: Is the Training Workshop doing the right thing?**

What is good?

- The countries' experiences open more visions to others
- The recognition of private sector role on SWAPs implementation in partnership with Government.
- Yes, the training workshop is doing the right thing with regard to content. Need to identify critical elements for some degree of success in SIPs, SWAP and PRSPs.
- Showing experiences from different countries
- Presentations are good as they are focused, particularly those with PowerPoint presentations
- Experiences from other countries
- Various views on the same subject
- It is the gathering of people involved in the sector wide approaches
- Sharing of country experiences
- Group discussions to harmonise concepts and issues
- Social session – reception, trip, happy hour

- Sharing of experiences from other countries: information sharing from the resource people
- Observing practical successful projects as examples
- Presentations
- Work session
- The participation of members
- The mixture of paper presentations and discussions
- Selection of topics very useful. So were the skills of participants and their background.
- No problem with food, room, etc.
- Presentations and group interaction
- Selection of presentation- and working group themes
- High level participants' contributions
- Most of the topics are interesting
- Variety of the topics
- Experience sharing of SWAPS
- Decentralisation among members
- Exchange of experiences
- By being positive – Identifying problems and seeking ways of undoing them other than withdrawing from SWAPS
- Selection of themes
- New ideas and options
- Experience sharing
- The group work sessions
- Variation between presentation, group work, discussion
- Presentation
- Moderations
- Reading materials
- Sharing experiences and learning lessons from other countries
- Linking all the necessary elements in SIPS/SWAPS
- Country experiences
- Logistical support
- Field visit and to some extent the country experiences
- Subject matter is okay
- It carries a broad range of sensitive issues
- Electronics presentations
- Meeting the objectives
- Very high level of competence assembled, good atmosphere/co-operation
- Themes and Q & A sessions
- Flexibility of facilitator
- There is more room for countries presentation
- Helping implementers to comprehend their work in a holistic system
- The presentation has appointed some experiences that are good examples to follow
- The topics are very good as they relate to what is actually happening
- Food is good

- Lectures are good

What needs to be improved?

- Countries have to display well-formulated case on private sector programme and privatisation mechanism.
- Private sector investment programme as the quick win in SWAPs
- Time management
- Avoid bringing papers that were not on the programme
- Make the network active by having a work programme and how the programme will be implemented. Try to get input from member countries.
- Timetable has been changing frequently. It could be produced each day. Group work discussions could have been allocated more emphasis, particularly with earlier developed guidelines (not on spot suggestions and/or time changes).
- The topics should be more streamlined and more clearly defined
- More practical examples need to be given. So that we know how far countries have gone with these changes
- So far so good
- There was always a problem of common understanding of the objectives. It is important that they are plugged on the wall.
- Shortage of on-hand material
- Distribution of materials used in presentations should be early – soon after the presentation
- TOR for working sessions
- Time to know each other
- Distribution of documents
- The catchment for papers to be presented. For the future, not this current workshop, efforts should be made to invite papers from different countries and organizers can screen which ones can benefit the workshop
- Vary the venue of the workshops
- Are there no SWAP experiences from North Africa, West Africa?
- Less details and more focused, condensed information
- More orientation to the grass-root-level
- To answer the question: what take I home after 1 week
- Recommend more consolidation from participants for more time
- Identification of topics – avoid repetition
- Although attended full days, group sessions are constrained by time
- Plenary-reporting is partial as a result difficult to establish linkages among issues
- Main cause time planning not effective
- Non-timer too much theory
- Time management
- Define workshop theme more clearly
- Presentation to evolve – around
- Availability of presentation in reasonable time post on with presentation
- Time management
- Choice of subject matter vis-a-vie the intellectual level of participants

- Some things are shallow
- Maybe to define or relate choice in subjects to what we think is a SIP/SWAP
- Identification by participants of areas that they find difficult to target the training to their needs
- Time management
- Visualisation
- Time allocation for group work
- More time for discussion of group work
- Some attempts to be more participatory in getting participants for extended discussion
- More focus on implementation level (district)
- More practical experiences
- There is need to present comparative cases for those countries following somewhat different systems
- May be next time it will be useful to write more sector representatives which are related to SWAP
- We need to focus more on progress on where we were, for example last workshop we met, where we are today, constraints and way forward
- Working groups should be more balanced country-wise
- Fewer themes per workshop

II. HOW WE DO IT: Is the Training Workshop doing things right?

What is good?

- Debates
- Countries' cases
- Yes, the medium of communication to form a presentation is okay.
- Yes, to some extent. But papers should be drawn from other countries. Too much Mozambique and Zimbabwe.
- A major component should be progress on Sector Investment Programme in the respective countries and this should provide an input in the discussion
- Facilitate to ensure all presentations are by PowerPoint
- Let's have a review of concepts in introductory part – at least alert participants on those likely to come-up
- Good participation throughout which means people are interested
- The sharing of various experiences from countries is very important
- The way forward
- PowerPoint presentations were super
- Use of diverse country and sector examples
- More participation of members
- Long and many presentations are sometimes boring
- The sharing of experiences with other countries
- Facilitation
- Coffee break
- Discussions in general
- The various types of teaching aids used, field trip etc.
- Quite good as it is. Organisation, moderation, etc.

- All
- Moderation and organization!
- Visual presentations
- Participants' participation and engagement and punctuality!
- Facilitator
- Time keeping
- Food
- "Secret friend" approach
- The mixture of presentations
- Group work
- Field work
- Open discussions
- Analyse the different experiences and extract from them what is useful
- Conference approach
- Experience sharing on progress made, this gives continuity
- Everything – Mix of participants
- Topics being discussed
- Some presentations are helpful and realistic
- Linking all the necessary elements in SIPS/SWAPS
- Focussed presentations
- Presentations by country participants and field visit
- General exchange of news
- Good discussions
- Good interactions
- Good leading questions
- Pretty good time – management give the circumstances
- Groups which will be organised and facilitated
- Working
- Presentation of case studies
- All things are in the right
- The interaction taking place among the participants
- Participatory orientation is good

What needs to be improved?

- Countries have to present their SWAPs (selected cases)
- Discussion on private sector investment short- and medium- term visions (selected cases)
- Having time to reflect on issues presented
- You need to request papers from country representatives
- Let's work out a workplan of activities up to next year. What should be the events and how should they be done.
- Ensure material presented are ready for participants
- Timetable
- To give more time for plenary discussion
- So far so good
- Available support information

- Allow more debates and reduced presentations
- Allow more group work
- Since not all participants are staying in the hotel, attempts should be made to end earlier each day
- Time to discuss some key issues
- Ask in advance to participants to [bring] cases and data
- More time should be allocated for the workshop in future
- Assist countries with follow-ups on what they should do as identified at the workshops
- Visual presentations→ less details
- Extensive plenary session
- More methodic “mix” (alternate plenary and short group sessions)
- Opportunity to share experiences in small groups to concrete aspects
- - Nothing -
- Provide enough time for field work
- Problem identification
- Concrete empirical evidence should be the basis for reaching consensus and making point recommendation
- Time keeping
- Time management – Some presentations are too long
- Make presentation realistic and interrelated not too abstract
- Time scheduling to be followed where possible
- Availability of presentation in reasonable time with presentation
- Time management of presentations
- Focus more on tomorrow than yesterday
- Next time have a public address system
- It is not really a training workshop
- Maybe needs sector/country groups to identify their needs and then ask resource person to assist
- Presented papers be made available as soon as possible
- Air – circulation
- Documentation and logistic back-up – copies of documents etc
- Fields visit needs a day and some information on economic analysis of enterprises in FDT would have been appreciated
- More sectors needs to be discussed other than focussing on agriculture
- The distribution of the paper presentation
- Reduce the time allocated to presentations
- Make it more of a discussion than teacher – paper forum
- Allowances need to be much improved

Final Evaluations

Overall the workshop was evaluated as “very good,” as seen in the following. (See Annex XI.B for the evaluation form.)

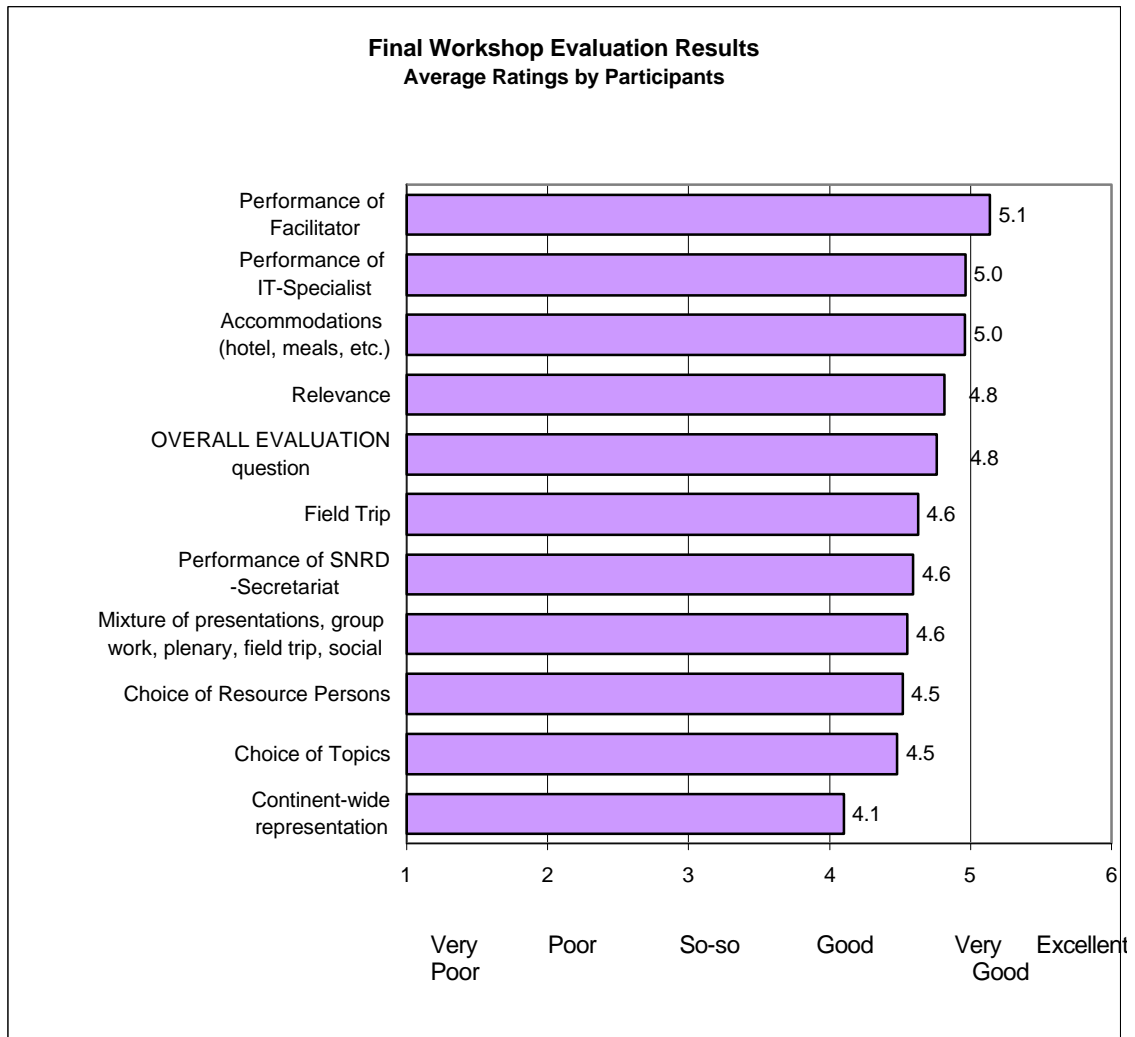


Table 1. Results: Final Workshop Evaluation

I. WHAT WE DO: Is the Training Workshop doing the right thing?

	Excellent (6)	Very Good (5)	Good (4)	So-so (3)	Poor (2)	Very Poor (1)	Total no. answers (excl. blank / NA)	AVERAGE SCORE	No. Blank or Not Applicable
1. Choice of Topics	1	11	12	1			25	4.5	4
2. Field Trip	7	8	8	3	1		27	4.6	2
3. Relevance	1	20	6				27	4.8	1
4. Choice of Resource Persons	1	16	9	3			29	4.5	0
5. Continent-wide representation	5	7	7	7	2	1	29	4.1	0
column totals	15	62	42	14	3	1	137	4.5	7
% of answers (out of 137)	11	45	31	10	2	1			

II. HOW WE DO IT: Is the Training Workshop doing things right?

1. Performance of Facilitator	9	15	5				29	5.1	0
2. Performance of IT-Specialist	6	17	3	2			28	5.0	1
3. Performance of SNRD-Secretariat	3	13	9	1	1		27	4.6	2
4. Mixture of presentations, group work, plenary discussions, field trip, social events, etc.	1	15	12	1			29	4.6	0
5. Accommodations (hotel, meals, etc.)	9	7	10				26	5.0	3
column totals	28	67	39	4	1	0	139	4.8	6
% of answers (out of 139)	20	48	28	3	1	0			

III. OVERALL

EVALUATION	4	15	9	1			29	4.8	0
% of respondents (out of 29)	14	52	31	3	0	0			

XI. Forms and Worksheets

A. Worksheets for Working Groups

In the initial group session on “Beyond the Public Sector”, four different worksheets were used for the four working groups. The focus was first to clarify the categories, definition, concepts and approaches for later work. Groups then used the (adapted) matrix for subsequent work on “Challenges of Decentralisation.”

Near the end of the workshop, all groups shared the same worksheet on “Winners & Losers.” The final group session on “The Way Forward” required no worksheet.

The Continuum: Public Good → Mixed Good → Private Good

SECTOR WIDE APPROACHES: STILL ON COURSE OR HEADING FOR COLLAPSE?

	Regulatory, Standard-setting, Policy, M&E <u>only</u>	<u>plus</u> some services for a limited time	<u>plus</u> some services	Other	Other	Other
Ethiopia						
Ghana						
Kenya						
Lesotho						
Mozambique						
South Africa						
Tanzania						
Uganda						
Zambia						
Zimbabwe						

BASKET / FUNDING MECHANISMS

	Budget Support	Program Support	“Buying into” a Program	Single-Donor Project Support	Planning/Program Design Support	Other
Ethiopia						
Ghana						
Kenya						
Lesotho						
Mozambique						
South Africa						
Tanzania						
Uganda						
Zambia						
Zimbabwe						

Farmers Organizing (Themselves)

SELECTED COUNTRIES: STILL ON COURSE OR HEADING FOR COLLAPSE?

	Government does it for them	Unions for all	Unions for Small / Large	Associa- tions	Cooper- atives	CBO's	Other
Ethiopia							
Ghana							
Kenya							
Lesotho							
Mozambique							
South Africa							
Tanzania							
Uganda							
Zambia							
Zimbabwe							

Options for Public-Private Partnerships

	Liberalized/ Enlightened Partnership	Government -led Interaction	Externally induced Interaction	Other	Other	Other
Ethiopia						
Ghana						
Kenya						
Lesotho						
Mozambique						
South Africa						
Tanzania						
Uganda						
Zambia						
Zimbabwe						

WINNERS AND LOSERS

Who might lose, and what can we do about that?	Public or private sector?	National or decentralized levels?	Remote or non-remote areas?	Donors or recipients?	Other?
Ethiopia					
Ghana					
Kenya					
Lesotho					
Malawi					
Mozambique					
South Africa					
Tanzania					
Uganda					
Zambia					
Zimbabwe					

B. Workshop Evaluation Forms

INTERIM EVALUATION

**I. WHAT WE DO:
Is the Training Workshop doing the right thing?**

What is good?

What needs to be improved?

**II. HOW WE DO IT:
Is the Training Workshop doing things right?**

What is good?

What needs to be improved?

Sector Wide Approaches: Still on course or heading for collapse?
SNRD, Harare, 13-17 November 2000

TRAINING WORKSHOP EVALUATION

I. WHAT WE DO:

	+						-
	Excellent	Very Good	Good	So-so	Poor	Very Poor	
Is the Training Workshop doing the right thing?							
1. CHOICE OF TOPICS							
2. Field Trip							
3. Relevance							
4. Choice of Resource Persons							
5. Continent-wide representation							

II. HOW WE DO IT:

	+						-
	Excellent	Very Good	Good	So-so	Poor	Very Poor	
Is the Training Workshop doing things right?							
1. Performance of Facilitator							
2. Performance of IT-Specialist							
3. Performance of SNRD-Secretariat							
4. Mixture of presentations, group work, plenary discussions, field trip, social events, etc.							
5. Accommodations (hotel, meals, etc.)							

C. Certificates of Participation



XII. Papers

Although not required, some speakers provided copies of formal papers upon which their presentations were based. These are included here.

A. Opening Address by the Minister of Lands, Agriculture And Rural Resettlement the Honourable J. M. Made

THE CHAIRMAN

RESOURCE PERSONS

TRAINING PARTICIPANTS

INVITED GUESTS

LADIES AND GENTLEMEN

Let me start by wishing you all a very warm welcome to Harare. I know that some of you have travelled quite a distance, but I hope that a good night's sleep has renewed your energies for the week ahead.

It gives me great pleasure to address you on this very important training workshop on sector wide approaches. This training workshop has a somewhat provocative subtitle: still on course or heading for collapse? Then again, as sector reform processes gain momentum in our respective countries, it is an important question to ask; "Are we on course?" I hope your work during this workshop shall bring us somewhat closer to the answer.

Since the mid 90s, sector-wide approaches have been promoted in response to the often-disappointing achievements of decades of development effort in crucial sectors, such as health and agriculture. In sub-Saharan Africa, Sector Wide Approaches and Sector Programmes are increasingly adopted as mechanisms for change and development. These forms of sector support aim to coordinate the different efforts in a given sector, in order to optimise the effectiveness of available resources.

While consensus is growing regarding the need for coherent, sector-wide approaches, the obstacles on the way are also becoming evident and we are beginning to realise just how complicated these processes can be. This workshop aims to provide a platform for implementers of sector reform, so that we can capitalise on experiences gained so far, to help us design and implement activities in our own countries.

This training workshop does not stand on its own but builds on a number of regional events that preceded it: An International Workshop on Sector Investment Programmes in Lusaka in February 1997 was followed by a Second International Workshop in Lilongwe later that same year. A Training Workshop on Sector Investment Programmes, similar to the present one, was held here in Harare in October 1998.

Finally, a regional forum on participation in sector programmes was held in Lusaka, in September last year. These events are beginning to form what can be termed "A regional debate on sector wide approaches".

During the coming days, we will not only hear of the experiences with sector reform in this country, but also from Zambia, Uganda, Kenya, Mozambique, Tanzania, Ghana and Ethiopia. I hope and expect that this workshop will contribute to the regional debate, for it is not a workshop in the classical sense with a teacher addressing the assembled students before him

(or her). Instead, in this workshop we are all teachers. Some of us have more experience than others, but we all have something to say.... and we should say it!

Some of our colleagues, such as the Zambian delegation, deserve our respect for having been at the forefront of sector reform. However, they themselves would be the first to admit that the road was not always easy, but instead has had many unforeseen pitfalls and bumpy stretches. Only a frank discussion of our problems, our struggles and our mistakes will help us to learn from each other. In this way, those of us who are at the start of the slippery slope towards sector reform will be better equipped to deal with what lies ahead.

I would like to take this opportunity to remind you that your responsibilities in the respective sector programmes in which you work, should not be underestimated. There was a time when much of the financial as well as technical assistance was channelled through a range of individual projects. When a project succeeded, its benefits tended to be restricted only to the project area. An advantage was, that when a project failed, it also, fortunately, failed only locally.

In contrast, where efforts within a sector are synchronised under a single nationwide programme our actions (or omissions) have further reaching consequences: A strong policy framework, followed by a committed and constructive implementation plan can provide a widespread boost to agricultural growth or to human health care. At the same time, however, poor sector reform management can compromise a country's development.

In conclusion, Mr. Chairman, I would like to congratulate the sector network rural development and GTZ for organising this training workshop and focusing attention on the most important issue for us in the millennium. I declare this workshop officially opened by expressing my fervent hope that it will deepen our insights into the processes of sector reform and strengthen our capabilities to steer these important and far reaching development efforts.

May your deliberations be honest transparent and fruitful. And do not forget to enjoy our beautiful countryside during your field trip and to sample our city life during your time off.

Thank you.

B. The Debate on Sector Wide Approaches: A 'State of the Art'

D. Dietvorst and W. von der Ohe

Introduction

The present workshop is a further step towards developing a regional network and consolidating a regional dialogue on sector wide approaches.

The process started with the first International Workshop on Sector Investment Programmes in Agriculture, which was held in Lusaka, Zambia, almost four years ago, from 12 to 14 February 1997. Sector wide programmes and approaches were a novel instrument, at the time and generated a lot of regional and international interest. The need for exchange was acutely felt, and already nine months later the Second International Workshop on Agricultural Sector Investment Programmes was held, this time in Lilongwe, Malawi, from 12 to 14 November of the same year.

The first training workshop on Sector Investment Programmes, and therefore the immediate predecessor to the present workshop, was also held in Harare from 28 September to 1 October 1998. By that time, participants to all these events had consistently put stakeholder participation on the agenda as an issue in need of further exchange. This then led to the organisation of a Regional Forum devoted entirely to that theme which was held in Lusaka last year, from 20 to 23 September 1999.

At the time of the first meeting in Lusaka 1997, only about 15 countries in Africa were preparing ASIPs; all of these were still in the formulation phase with the exception of Zambia's ASIP which had started its implementation in 1996. At the time of the Regional Forum last year, more than 40 sector programmes were at various stages of preparation and implementation throughout sub-Saharan Africa.

While the movement towards sector reform expanded, our regional debate has followed the process almost on an annual basis. A number of issues keep cropping up as areas of common concern, across countries and even across sectors. This means that the regional debate has gradually taken on more of a focus in trying to deal with these issues. This paper tries to highlight this, and other trends and patterns that can be drawn from the regional debate. Such an analysis also throws some light on what has happened in the process towards sector wide approaches, from their enthusiastic introduction in the mid 90s to the present *Still on course or heading for collapse?* key question.

Trends and phases

Reviewing the workshop and forum reports, one can detect a number of broad, general patterns. In short, the following can be distinguished:

- From (multi-national) donors at the wheel to (national) implementers taking over: The initial events tended to be rather donor dominated. Not only with respect to organisation and participation, but also with respect to the agenda. However, gradually, issues with which implementers are struggling began to determine the agenda and national resource people took centre stage.
- From a focus on agriculture to a focus on operational challenges common to more sectors: The first two workshops dealt with agricultural programmes only. That seemed to be the logical entry point at the time, as most of the discussions dealt with programme-design. However, as more and more countries entered implementation phases, more practical questions began to

be asked, related to, for example, the decentralization of services and the participation of beneficiaries. These issues are not exclusive to agriculture, however, and the discussion became relevant to representatives from other sectors also.

- Regional debate versus international debate: As programme implementation progressed across sub-Saharan Africa and the regional debate began to be dominated by the nitty-gritty of implementation, large multi-lateral donors have begun to lose some interest in the discussion. (After all programme-*design* is more up their street than is programme-implementation). However, some donors have begun a debate on sector-wide approaches of their own, which makes that the issue, after having lost a bit of its glamour, has recently picked up on international interest. More on this later.
- The introduction of a poverty focus: Off late, the topic of poverty reduction has re-emerged at the top of the international aid-agenda. It received extra impetus following the debt-relief debate. The agreement reached being that substantial debt cancellations are to be linked to clear national poverty strategies. In keeping with the spirit of globalisation, not only debt relief, but also all future WB and EU lending will be based on poverty reduction strategies. This, of course, has something of a knock-on effect on our sector programmes, which will be discussed in the course of the workshop.

Donors at the wheel

The first two regional events, Lusaka and Lilongwe 1997, were rather donor-dominated. The first was co-organised by GTZ and the World Bank, funded largely by the latter. The second was organised by FAO, financed by DANIDA and the European Union. More seriously though, was that most of the paper presentations as well as panel discussions were by WB, EU and FAO staff, mostly flown in from headquarters. National representatives were invited (some of you were present) and to give 'country presentations'.

Focus on definition of Sector Programmes and pre-conditions for funding: Much of the discussion revolved around trying to define the Sector Investment Programme. This was done by the World Bank as follows: "A SIP is country's medium-term development program in a particular sector. It is based on a coherent sector framework and an appropriate institutional framework, and funds priority sector activities consistent with a country's medium-term expenditure program. A "sector" is defined by the scope covered by the line ministry. SIPs are prepared and managed by the country while donors are invited to support the program. An effective ASIP needs a sensible vision with associated strategies and guiding principles. It also requires a coherent sector policy framework on macro- and micro- policy dimensions. Implementing the ASIP needs an appropriate institutional framework" (Sellen, 1997:5).

- Pre-conditions are comprehensive and rigid: This definition immediately presumes a number of pre-conditions which, at least at the beginning, tended to be rather rigid. Pre-conditions for WB funding included:
- ASIPs should be based on a Medium Term Expenditure Plan (MTEP),
- designed in the context of a comprehensive Sector Policy Framework (SPF) and
- informed by a Public Expenditure Review (PER) and an Institutional Analysis to ensure that it has sufficient resources and is implemented through an appropriate institutional framework.
- Finally, adequate national macro-economic strategies should be in place.

- Donors call for more ownership by recipient: At the same time as laying down all the ground rules, donors called for more ownership by recipient governments.
- Recipients call for more flexibility of programme design: Recipients themselves, in the meantime, were mainly worried that they would never be able to meet those pre-conditions and rather feared a deadlock situation and, possibly, a postponed (or cancelled) fund flow. Country representatives therefore strongly urged for more flexibility in the programme design.

Implementers take over

As implementation of the various ASIPs and other sector wide strategies progressed, the flexibility of programme design increased almost by default. The original requirements were practically impossible to follow and so:

- Local, home-grown versions of sector reform developed: Some countries, such as Zambia, made institutional reform part of their ASIP, others, such as Zimbabwe, created a different programme for institutional reform to be implemented as a pre-ASIP phase (the Agricultural Services Management Programme). Zambia and Kenya adopted strong privatisation components, while Mozambique largely focussed on a re-organisation of functions within departments and levels of its line ministry.
- Ownership by the recipient grows: For better or for worse, these homegrown adaptations did lead to a greater sense of ownership by recipient countries. Although many of them may have started out with a World Bank blueprint, differing local circumstances forced them to dilute the original concept in an effort to adapt it to the realities in the field.
- Innovation and experimentation by implementers: has led to a wide range of 'intermediate options', 'temporary solutions', 'transit periods' and the like to critical questions such a funding arrangements and privatisation.
- Mistakes are made, lessons are learned: The implementation phase invariably turns out to be messier than the planning phase intends it to be. To policy makers (especially those from multi-lateral donors) this tends to be seen as an embarrassment and not something one would like to be associated with. However, we at the field know that you can't plough a field without getting dirty and so we stick with it. But 'sticking with it' should not mean accepting all that comes, but rather drawing lessons from it and improve in the future. The main reason why we are here this week.
- Multi-lateral donors lose confidence and interest: Ironically, multi-lateral donors such as the WB and the EU are evidently losing some interest in the sector approach just as their main requirement, more ownership by recipients, is being fulfilled. They may have left the driver's seat of this particular car, but signs are that they are looking for the next vehicle to sit behind the wheel. They seem to have found it in the Poverty Reduction Strategy Papers (PRSPs).

Initial focus on agriculture

The above means that, at the time of the introduction of ASIPs, the focus of our regional debate was not only limited to the agricultural sector, but within that, also restricted with respect to the purpose and scope of the programme. Whereas now ASIPs may be seen as an instrument towards overall agricultural growth and development, this was not always the case:

Initially, ASIPs defined the parameters of WB (EU) loans and because these concerned WB to government loans, this meant that the 'sector' was defined as the scope covered by the responsible line ministry. In effect, ASIPs were conceived as public expenditure programmes while much of the discussion in those days focussed on issues of policy and planning.

Broadening our focus

As time went by however, it was increasingly realised that development is not brought about by government alone, but needs the active participation of all stakeholders concerned. This led to the agricultural 'sector' being viewed more comprehensively to include all actors and stakeholders concerned. An ASIP therefore looked at how agricultural development could be promoted and fostered by creating an enabling environment in which all relevant actors and beneficiaries would be enabled to take on their responsibilities within the sector programmes. This could include that private service providers are enabled to deliver agricultural inputs and services, but also that farmers are allowed to articulate their needs. In realising this programme objective, the focus of the discussion now moved to operational challenges, such as how to decentralise, who to involve in what programme phase and how? Soon there came the realisation that these operational challenges are common to more sectors and representatives of health and education sectors began joining the debates from Harare 1998 onwards.

Operational challenges

So what are the operational challenges that keep coming back?

- Funding arrangements is a major one. The original concept of basket financing, whereby all donors would drop their contribution into a national basket has in practice proved impossible to implement. Fortunately, a number of intermediate financing arrangement have been developed and we shall hear of examples and experiences during the course of this workshop.
- Institutional reform, which was once promoted as a pre-requisite has proven to be a major stumbling block to programme implementation. Especially when this involves a substantial reduction of government staff, as is the case in most countries. It was extensively discussed during the last Lusaka Forum. The call for an external facilitation of the process is getting ever louder, and not just from outside the public sector. Even government representatives themselves say that it is difficult for them to decide over the fate of a long-term colleague.
- Stakeholder participation was the topic of the Lusaka Forum and the report (as well as a separate paper by D Dietvorst, 1999: both on display) outlines the findings of this discussion. The challenges to stakeholder participation differ depending on the programme cycle (e.g. planning, implementation, monitoring) and on the different levels (e.g. the national, the district or grassroots level). Another, more recent dimension is that of geographical areas, after it was found that fostering participation in remote areas needs a very different approach than that in well-connected areas.
- Decentralisation has been a tricky issue almost from day one. In short, we can say that in general decentralisation suffers from a lack of commitment from the side of policy and decision makers, the process lacks continuity (e.g. donors' funding starts and stops, stakeholder platforms are only supported for short periods of time) and the stakeholder platforms that have been established lack both capacity and resources

Annex: Sector Programs in Sub-Saharan Africa

Benin	1. Transport Sector 2. Population and Health	Mauritania	22. Health Sector Investment Project
Cameroon	3. Transport Sector	Mozambique	23. Second Health Project 24. National Water Development I Project 25. Education Sector Strategic Program Project (ESSP) 26. Agricultural Sector Expenditure Program (PROAGRI)
Côte d'Ivoire	4. Integrated Health Services Development Project	Niger	27. Health Sector Development Program Project
Ethiopia	5. Health Sector 6. Second Roads Sec. Development 7. Education Sect. Investment	Senegal	28. Health Sector Development Program Project 29. Long-Term Water Sector Project (LTWSP) 30. Second Transport Sector Project
Ghana	8. Health Sector Support 9. Highway Sector Investment Programme 10. National Functional Literacy Programme 11. Basic Education 12. Agricultural Sector Investment Project	Sierra Leone	31. Integrated Health Sector Investment Project 32. Transport Sector Project
Guinea - Bissau	13. National Health Development Programme	Tanzania	33. Second Integrated Roads Project
Kenya	14. Energy Sector Reform 15. Agricultural Sector Investment Programme 16. NARP II	The Gambia	34. Third Education Sector Program
Lesotho	17. Road Rehab. & Maintenance 18. Health System Support	Uganda	35. Road Development Program, Phase 1 Project
Madagascar	19. Energy Sector Development Project	Zambia	36. Health Sector Support Project 37. Agricultural Sector Investment Program (ASIP) 38. Road Sector Investment Program Project 39. Power Rehabilitation Project 40. Basic Education Sub-Sector Investment Program (BESSIP)
Malawi	20. National Water Development Project		
Mali	21. Health Sector Development Program		

C. Extension in a Changing Context: The Challenges of Public / Private Partnerships

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BACKGROUND

Following wide ranging consultations involving the Ministry of Agriculture, the donor community and the Department of Agricultural Technical and Extension Services (AGRITEX), an agreement was reached on a major agenda for institutional change across the ministry, its constituent departments and divisions. In the context of an emerging liberalised market economy, the whole ministry would be streamlined so as to better arrange for the management, regulation and delivery of services in a more effective and efficient manner.

The Agricultural Services Management Project (ASMP) was approved for implementation across the ministry with start up activities in 1997. The major donors supporting the project were the World Bank, European Union, the UK Department for International Development and GTZ.

SOME KEY EXTENSION ISSUES IN ZIMBABWE

The Department of Agricultural Technical and Extension Services (AGRITEX) is the main government institution responsible for agricultural extension in support of rural development and sustainable food production. Its main clients are the smallholder farmers.

Some of the key issues facing agricultural extension today include, but are not limited to, the following:

1. Increasing fiscal constraints, which call for a rationalisation of government services and an increase in funds generated from cost recovery and commercialisation. A comparative lack of business management experience and systems within many of the MOLA Departments calls for specialised training programmes to be instituted for all financial managers and accountants and for the respective operational staff.
2. Inadequate technology generation especially for the lower rainfall areas. Rectifying this gap is a long and comparatively expensive process. It calls for a co-operative effort by stakeholders, both government and non-government, a revitalising of the linkages between research and extension at all levels, and a re-examination of priority for resource allocation to ensure that dry-land agriculture is not neglected. The new ARC mandate will be a vital first step in resolving this issue.
3. A diluting of MOLA extension services over too wide a range of activities many of which are not central to the core functions of AGRITEX. This exacerbates financial resource constraints. The issue calls for a rationalisation of Agritex services, a focus on core functions and a streamlining of operations to ensure all the most cost-effective use of resources. It also calls for MOLA and AGRITEX to recognise that all their task is to ensure, to the extent possible, that the basic services are available to the farming communities but that these services do not necessarily have to be provided by AGRITEX or other MOLA providers.
4. Inadequate co-operation among and information flows between, key extension stakeholders. This issue requires the development of management information systems and database that can be made available to all stakeholders.

It also calls for the establishment of regular forums that enable the stakeholders to discuss extension and related agricultural issues. Linkages between MOLA service providers such as AGRITEX, DVS and DR & SS need to be strengthened and regularised. The considerable resources of the University should also be enlisted into the process.

5. The need to evaluate and support innovative means of improving services in the communal areas. Communal farmers and many small-scale commercial farmers lack many basic services such as reliable input supply and marketing and transportation. For a variety of reasons, many communal farmers have little contact with AGRITEX or any other extension or technical services. There will always be a proportion of farmers who do not wish to have contact, but research is needed to design alternative ways of providing services to these people. Communities need to feel the extension service is responsive to their needs.

6. The focus of extension should be on increasing farm incomes and reducing poverty rather than increasing production and output. This requires a much more diagnostic and analytical approach to advising farm families and rural communities. Such an approach calls for more qualified and better-trained staff.

7. The gender bias towards males in an agricultural economy where the majority of farmers (effectively) are females. Fewer than 7% of AGRITEX staff are females (see Annex 6). For a variety of reasons many women are reluctant to deal with male extension workers. This issue cannot be resolved easily or quickly, but increasing the number of female staff members should be a priority strategy for AGRITEX.

Moreover, AGRITEX is now operating in a new economic environment which, among other things, reassesses the role of government in providing services, recognises the private sector as the primary engine of economic growth, and exposes producers to market prices for goods and services.

The reassessment of the role of government, and the acceptance of the unsustainability of current levels of government expenditure, means that government institutions are being increasingly required to operate with lower budgetary resources.

Given this situation, it is not possible for government- financed services such as those provided by AGRITEX, to continue to operate as they have in the past. The limitation on the availability of resources and the changing demands and priorities of the farmer clients, requires AGRITEX to narrow the focus of its business and to provide quality services relevant to the farming community it serves.

AGRITEX and the communal farm sector now operate in a completely new enabling environment which calls for a customer oriented, flexible and responsive institution. Producers must now respond to market forces and adjust their systems and production patterns accordingly. In such an environment, it is the producers, subject as they are to market forces on a day-to-day basis, which change most rapidly. Service providers like AGRITEX must respond accordingly. Largely as a consequence of its past successes the Department has been slow to respond adequately to the new operating environment.

AGRITEX VISION OF THE FUTURE

Agritex must now not only change the focus of what it does, but must do it better, and more cost-effectively. The Department realises it must now focus more sharply on carrying out its core functions more efficiently. This will, among other things, call for the setting of clear strategic priorities and objectives, restructuring of the department, rationalisation of its activities, decentralisation of both general management, financial management and budgetary control, and exploring alternative and innovative means of delivering its services.

During the next five years, Agritex aims to undergo a transformation into an institution which:

- is mission driven with clear priorities and objectives;
- focuses on carrying out its core functions better and more efficiently;
- allocates resources to strategic priorities and delegates the responsibility for the management of those resources, and make staff and work units accountable for performance;
- provides highly efficient and cost-effective, demand driven services to its customers both in the private and state sectors;
- is result oriented and customer responsive;
- attracts and maintain a highly motivated, accountable professional staff which provides itself on quality;
- through regular forums and communication, draws on the co-operation, knowledge and experience of all stakeholders in the drive to provide ever more efficient and relevant services to customers; and
- encourage innovation and entrepreneurship and minimises bureaucracy.

AGRITEX aims to change the very culture of the institution to one of excellence where high professional standards are maintained at all levels, where the core values of success and achievement, quality performance accountability, professional discipline, concern and moral and ethical behaviour, have become institutionalised. A customer-first culture which institutionalises concern for customers and responsiveness to their needs and requests.

A culture characterised by delegation of authority and responsibility, where staff have much greater personal responsibility and freedom to operate but where they are made accountable for performance and the results achieved. A culture where excellence is fostered and rewarded. A culture which fosters teamwork, where managers are seen more as partners and key players in the striving to achieve results. A culture where staff have pride in being part of a dynamic institution that achieves results.

AGRITEX management have already instituted the process of change. The ASMP preparation process has created a greater awareness among staff of the need and likely direction of change. The process of delegating increased authority to the Provinces and Districts has already begun. A restructuring exercise involving the elimination or reduction in the number of specialist and supervisory positions, is currently being implemented.

AGRITEX recognises the formidable challenge it faces in achieving these aims. It also recognises that it needs external assistance within the context of ASMP to facilitate the changes.

PRIORITIES AND PROGRESS IN DEPARTMENTAL CHANGE MANAGEMENT TO DATE

Over the past two years, the department has embarked upon a number of initiatives so as to give effect to change across the department. Some of these initiatives included:

- Change management workshops to foster awareness among staff across the entire department on the implications and challenges posed by the new vision and roles for services management and delivery.

- Core Functions Analysis. This was a ministry-wide study that involved full consultation with the major stakeholders. The expectations on the core functions of each department or division of the ministry were spelt out by both government and the stakeholders.
- Stakeholder involvement at national, provincial and district levels through the establishment of stakeholder consultative panels to support a more client-driven and responsive service delivery system, including both primary and secondary stakeholders.
- Participatory extension approaches. These were piloted and operationalised firstly in Masvingo Province and now the approach has been adopted nationally.
- Team approaches. These extension teams would encourage greater subject matter specialisation among staff, there-by providing better and in-depth technical advice to the farmers.
- Study tours to Mexico and Chile to learn about new partnerships between the public and private sector in agricultural extension delivery systems.
- Financial management systems e.g. the Agricultural Revolving Fund (ARF) and the Public Finance Management System (PFMS).
- Corporate Image Studies. It was important for Agritex to know how it stood in the eyes of its clients before it could properly plan for its professional change and paradigm shift.
- Working with NGOs to pilot alternative approaches to innovation & services delivery for farmers.
- Pilots on service delivery (cost recovery and commercialisation are still to be tried including outsourcing of extension services).
- The whole civil service is implementing a performance management system based on the core functions of the different institutions and the key result areas of the individual officer.

CONCLUSIONS

The delivery of extension services has long moved from public to being privatised for the large-scale commercial agricultural sector. It takes the form of commodity associations representatives and sales representatives. The results have been quite impressive. As the smallholder sector grows in sophistication and becomes more aware of its rights to demand services, the private sector should gradually but progressively take a greater role in service delivery from the public extension service. The role of the public extension service should thus become more regulatory and supervisory and involve setting policy guidelines and professional standards. The private sector then becomes the key provider of extension services to the smallholder sector as happened to the commercial sector. When this occurs the partnership between the public and private enterprise in extension delivery in a changing context will gradually be accomplished.

D. The Role of Zimbabwe Farmers Union in the Agricultural Services Management Programme (ASMP)

Sylvester Tsikisayi

1.0 INTRODUCTION

Zimbabwe Farmers Union is a farmers' organisation that represents farmers from the communal, resettlement, small-scale commercial and to a lesser extent large-scale commercial farming sub-sectors. The bulk of the membership (over 90%) resides in the communal area farming sub-sector. On average 250 000 households subscribe annually to the organisation although over 500 000 farmers are registered as members. ZFU's objectives are (a) to protect and advance the interests of farmers in Zimbabwe and (b) to promote and develop a viable agricultural industry to improve farmers' standard of living and enhance the contribution of the agricultural industry to the national economy.

Within the communal, resettlement and small scale farming areas, government plays a major role in the provision of extension and research services. The private sector and some development agencies do also provide some of the research and extension services but this mainly on a limited scale. The private sector's intervention is mostly on a commercial basis. On the other hand the government's service delivery system is mostly public funded with minimal input from the beneficiaries. Because the service is government funded there has been less accountability to the recipients who are the smallholder producers. Furthermore some of the service departments end up carrying out non-core activities at the expense of their core activities. For example in the extension department personnel ended up heavily involved in the management and distribution of drought relief packages.

Over the years both the quantity and quality of agricultural service provision to the smallholder farm sector has been on the decline mainly due to the decline in budgetary allocation coupled with the use of resources for

non-core activities. Implementation of the Agricultural Services Management Program(ASMP) sought to address this calamity by strengthening the capacity of the Ministry of Lands Agriculture and Rural Resettlement and its service departments to define priorities and enable them to perform their core-functions effectively. This is confirmed by the ASMP project description note, which states that "The project would significantly improve the availability and quality of agricultural support services for smallholder farmers by increasing the focus, efficiency and sustainability of operations in the public agricultural service institutions". It is envisaged that the ASMP process would greatly improve on relevance and cost effectiveness in service provision.

2.0 The Role of Zimbabwe Farmers Union in ASMP

Prior to the implementation of the ASMP the Union membership had already started grappling with a number of challenges that were being brought about by the new economic dispensation. The government of Zimbabwe adopted the Economic Structural Adjustment program in 1990. This new environment affected the production pattern of the majority of the smallholder farmers. Agricultural service provision from the public sector became erratic with the general quality failing to match the new requirements of farmers. In response to these challenges the Union initiated a number of farmer focused activities aimed at strengthening the various levels of the ZFU structures. Specifically capacity building and decentralisation initiatives were aimed at the creation of farmer representation structures that are capable of organising services required by members.

In addition the initiative was aimed at enabling the associations or clubs to effectively interact with both private and government service providers at their level to ensure that farmers get quality service.

The implementation of ASMP started at a time when the capacity building processes of the union was at its infant stage. In addition resource mobilisation was still underway with only a handful districts of the country having been selected as pilot areas. Despite these limitations the ZFU managed to play a role in the implementation of ASMP.

The reform process of the government service departments took into account the importance of involving the service recipients in the restructuring process. Review of the service delivery systems has been done through the stakeholder panels under each service department (i.e. Agritex, Veterinary and Research and Specialist departments). Zimbabwe Farmers Union is represented on these stakeholder panels. Within these consultative panels the role of ZFU representatives has been to advise where possible the impacts or effects on smallholder farmers of the proposed reforms within the various departments. Furthermore the representatives were expected to give counter proposals during the review process.

Participation of ZFU has mostly been visible at the implementation level. The role has centred on the following:-

- awareness creation among farmers with regards to the revised service delivery structures,
- farmer mobilisation to access extension services in groups
- farmer mobilisation in produce marketing and input procurement
- market information dissemination

3.0 A critical analysis of the ZFU Experiences in ASMP Participation

As stated earlier on the reform process of the government service departments took into account the importance of involving the service recipients in the restructuring process. While this involvement did provide tremendous opportunities for the smallholder farmers the question that immediately comes to mind is to what extent has this opportunity been used in terms of taking into account the circumstances of the clients? To answer this question it is important to give an overview of the ZFU experiences encountered in participating in the change process discussions.

First and foremost there was minimal consultation if not none in the design of the ASMP. Within the project description institutional reform and capacity building components have been the preserve of the Ministry and its departments. This assumed that ZFU as the client had the necessary capacity already to take part in ASMP. While institutional reform and capacity building taking place within the Ministry have been allocated resources the same cannot be said for ZFU where most of the restructuring and capacity building initiatives were still on paper. This has created a major weakness in implementing ASMP. A situation has been created in which farmers have not been able to correctly position themselves to take advantage of the opportunities arising out of these changes.

The ZFU experience in taking part in the discussions pertaining to the change process has not been comfortable in most cases. While the Union has been invited to many consultative meetings the impact of participation has been marginal given the capacity limitations.

One notable feature is that the ministry had a timetable to follow which did not give the Union sufficient lead-time to adequately prepare for the consultative meetings. The Union being a membership organisation covering the whole country needed sufficient time to widely consult its membership in order to establish a common position from which to negotiate with the Ministry.

Although implementation of ASMP commenced in 1998, the Union managed to organise a sensitisation workshop for ASMP in 1999 for the ZFU national council members who comprise of representatives from the districts of the country. This clearly demonstrates the fact that most of the so-called 'consultative meetings' have largely been informative meetings.

4.0 Conclusion

Admittedly considerable efforts have been made to involve stakeholders in the implementation of ASMP. The experience gained so far shows that most of the critical changes and decisions are done prior to the consultation process. For the recommendations from the stakeholders to qualify for inclusion they are only considered when they meet the pre-set conditions. For example recommendations could not be taken on board since Public Service Commission would have already made a decision on personnel to be engaged for a particular purpose.

Overall ASMP implementation has adopted a top down approach where the participation of the lower level structures has just been reduced to mere information meetings on new arrangements. Similarly the planning process failed to accommodate a bottom up planning process.

For any ASMP to be relevant it must take on board the bottom up planning process while at the same time due consideration should be given to lower level participation in the consultative process.

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E. Challenges of Decentralisation: Decentralisation in the Agricultural Sector in Ghana

MINISTRY OF FOOD AND AGRICULTURE

By Lena Otoo, Policy Planning Monitoring and Evaluation Directorate, MOFA

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List of appendices

Appendix 1:Chronology of the decentralization of MOFA

ABBREVIATIONS

AAGDS	Accelerated Growth and Development Strategy
AgSSIP	Agricultural Services Sub-sector Investment Project
AEAs	Agricultural Extension Agents
CIDA	Canadian International Development Agency
CD	Chief Director, MOFA
DFID	Department for International Development (UK)
DADU	District Agricultural Development Unit
DDA	District Director of Agriculture
DADOs	District Agricultural Development Officers
DCE	District Chief Executive
DCD	District Coordinating Director
DIC	Decentralization Implementation Committee
EU	European Union
GTZ	German Technical Agency
GOG	Government of Ghana
MIS	Management Information System
MTADP	Medium Term Agricultural Development Program
MTEF	Medium Term Expenditure Framework
MLGRD	Ministry of Local Government and Rural Development
MOFA	Ministry of Food and Agriculture
M&E	Monitoring and Evaluation
PSRP	Public Sector Reform Program
RADU	Regional Agricultural Development Unit
RCC	Regional Coordinating Council
RCD	Regional Coordinating Director
RDA	Regional Director of Agriculture
RDO	Regional Development Officer
RM	Regional Minister

1. INTRODUCTION

In an attempt by Government to find answers for economic transformation and sustained accelerated growth and development, a twenty-five year perspective plan for national development was launched in 1995. This was the Vision 2020 document of the Government of Ghana. In line with the objectives of the Vision 2020, the agricultural sector was to play a critical role in achieving overall economic growth and its consequent impact on poverty reduction and human resource development. Consistent with this critical role that the agricultural sector was to play, the Ministry of Food and Agriculture (MOFA) formulated the Accelerated Agricultural Growth and Development Strategy (AAGDS). The overall goal of the AAGDS was to provide a framework within which agricultural development policies and programmes in support of the Vision 2020 can be designed and implemented.

To implement the strategy, a sector wide approach was adopted as a potential alternative to the fragmented project-based support. Subsequently, the Agricultural Services Sub-sector Investment Programme (AgSSIP) was developed as one of the main instruments for implementing the strategy. The AgSSIP comprises inter-related thematic sub-programmes supporting and reinforcing the development of improved and demand driven agricultural services for rapid agricultural growth and poverty reduction. The overall organization and management structure for the implementation of the programme is to be consistent with Government's policy for local government and rural development to decentralize and devolve the power and responsibility of central government to the district administration promoting decentralized planning and implementation of development programmes.

2. MOFA'S DECENTRALISATION PROGRAMME

Background

Government of Ghana's decentralization policy forms the basis of the new Local Government system, which is premised on the assumption that development is that which responds to people's problems and represents their goals, objectives and priorities. That development is a shared responsibility between Central Government, Local Government, parastatals, non-governmental organizations and people who are the ultimate beneficiaries of development. The policy devolves central administrative authority to the district level, fuses governmental agencies in any given region, district or locality into one administrative unit, through the process of institutional integration, manpower absorption, composite budgeting and provision of funds for the decentralized services. It divests the centre of implementation responsibilities and transfers those responsibilities to the districts, assigns functions and responsibilities to the various levels of government.

Ministerial directive

In line with Government's policy on decentralization, there was a ministerial directive in July 1997 for MOFA to be restructured by devolving the delivery of services to the district level to facilitate grassroots participation and monitoring of agricultural policies and programmes. To this end, a number of measures were taken to accelerate the process. Among the measures were the following:

- development of a new organogram for MOFA;
- implementation of the Public Administration Reforms Decentralization Implementation Committee proposal;
- new roles for MOFA staff;

- delegation of management and financial authority to the regions and districts with effect from the 1998 financial year;
- posting of District Directors of Food and Agriculture.

Roles and responsibilities

The role of the technical departments at the central level was defined as that of co-ordination, monitoring and provision of technical support. The responsibility for management and implementation of projects and programmes was devolved to the regions and districts.

At each region is the Regional Agricultural Development Unit (RADU) headed by a Regional Director of Food and Agriculture (RDA). Under each RDA, there are Regional Development Officers (RDOs) who replace regional heads of departments. The RDOs are to report directly to the Regional Minister (RM) through Regional Coordinating Directors (RCD) of the Regional Coordinating Councils (RCCs). The RADU therefore is a department of the RCC.

At the District level is the District Agricultural Development Unit (DADU) headed by the District Director of Food and Agriculture (DDA). Under each DDA, there are District Agricultural Development Officers (DADOs). The DADU is a department of Food and Agriculture under the District Assembly. The DDA reports to the District Chief Executive (DCE) through the District Coordinating Director (DCD).

Line of communication

All correspondence from a National Director of MOFA to the regions must be addressed to the Regional Minister and the RDA and all correspondence from the RDA to the district must be addressed to the District Chief Executive and the DDA. All correspondence from the DDA to the region must be addressed to the Regional Minister and the RDA and correspondence from the RDA to the national level must be addressed to the Minister of Food and Agriculture. The RDA will at the same time report to the Chief Director (CD) at headquarters. The Technical Directors will communicate with the RDA through the CD. The RDAs and the Technical Directors will consult with one another informally on issues and matters of mutual concern.

Management and organizational structure of MOFA

Under decentralization, the management and organizational structure of the Ministry of Food and Agriculture (MOFA) changed drastically. As a result, the departments of MOFA at the national level have been re-grouped into four line and seven technical directorates. Line directorates include:

- general administration;
- human resource development and management;
- policy planning and monitoring and evaluation; and
- research, statistics, public relations and information.

Technical directorates are:

- agricultural engineering services;
- animal production services;
- crop services;
- extension services;

- fisheries services;
- plant protection and regulatory services; and
- veterinary services.

In addition, there are 10 regional agricultural development units and 110 district agricultural development units.

So far, MOFA has decentralized most of its functions to the regions and districts and appointed Agriculture Directors both for the region and districts to coordinate and implement policies, plans and programs of the districts. All technical directorates have been decentralized to the regions and districts. Though the line directorates have not been decentralized, it is expected that regions will take over the responsibility of financial, administrative technical management, as well as supervision of the implementation of all MOFA activities. As such, all regional staff would be responsible to the Regional Directors, thereby relieving the technical directorates at national level of the administrative responsibility for staff in the regions.

At the district level, all technical and production officers have been designated as Agricultural Extension Agents (AEAs). This staff would carry out field level tasks of MOFA, under the direct supervision of the District Directors of Agriculture with the assistance of the District Development Officers.

Mechanisms for generating feedback from stakeholders

Following the Ministerial directive on the implementation of MOFA's decentralization programme, a Decentralization Implementation Committee (DIC) was set up. The DIC, made up of selected national directors and chaired by a Deputy Minister of MOFA has the mandate to support the decentralization process in monitoring and sorting out problems arising from implementation. The DIC has made much progress through paying working visits to almost all the districts in the country. They have interacted with staff at the RADU and DADU and held workshops to review problems and consolidate issues. A handbook on decentralization has been prepared on tasks and responsibilities of the various categories of staff. The DIC has in its programme of work plans to hold a national workshop to review findings and recommendations and draw-up action plans to implement them.

3. CONSTRAINTS TO DECENTRALISATION AND RECOMMENDATIONS TO OVERCOME THEM

MOFA started implementation of Government's decentralization policy as of January 1998. However, the decentralization is constrained by many factors including lack of qualified manpower, finance, logistics and institutional problems.

As at now, District Assemblies cannot integrate MOFA staff and agricultural programs into their management because they do not have administrative and financial instruments and capacity to do so. Currently, the decentralization of MOFA is in fact deconcentration of decision-making and implementation to the field within overall MOFA control. Besides teething problems that occur in managing structural changes, the central directorates have not started discharging their role of policy formulation, coordination of national programmes, backstopping and training regional development officers, and monitoring and evaluation.

The following are findings and recommendations by the DIC through their field visits and workshops:

- The fiscal decentralization and handing over of human resource management to Local Government Service is still outstanding because of the interim situation of partial

decentralization where the Local Government Bill has not yet been passed by Parliament to empower the process.

- The institutional relationship between agricultural units and the local authorities is not clear. Crucial issues here are supervision of work and allocation of vehicles and staff houses.

Other weak areas are associated with:

- Human resource development (appointment, promotion, training, management, job descriptions of staff at all levels, incentive structure for payment of staff benefits);
- Line of command and communication;
- Linkages of decentralized activities with District Assemblies and the involvement of farmers in the planning and implementation of the sector strategy;
- Logistics (inadequate transportation for effective operation).
- Low level of logistics coupled with the new complement of activities (all former departments put together) has created difficulties for data collection. Data collected is not necessarily what is requested by the national level.

Specific recommendations include:

- The Ministry of Local Government and rural Development (MLGRD) should be represented on the MOFA Decentralization Implementation Committee. There should be regular coordination of MDAs on decentralization. Regular discussions will be a means of fine-tuning the process.
- District personnel should be given training in team building and collaborative efforts to enhance cooperation and transparency.
- Job descriptions should be reviewed and amended accordingly in the handbook on decentralization. This then must be made available to all staff.
- Ongoing efforts to harmonise open issues in data collection and M&E on national, regional and district levels should be continued and lead to concrete actions.
- Clarification in areas of devolution of financial control, human resource management and control over assets need preferential attention.

4. IMPACT OF DECENTRALISATION OF SERVICES, POTENTIALS AND HOW IT CAN BE IMPROVED

Impact of decentralization

MOFA activities at the district level are beginning to be seen within the context of rural development. Some DDAs have been collaborating with DAs in related activities. The DADUs are beginning to acknowledge responsibility for agricultural development in their districts and the RADU likewise have taken charge of regional agricultural development. Reports submitted by the RDAs for mid-year reviews on the performance of the agricultural sector clearly show a comprehensive compilation of all agricultural related activities in each region. National Directors are however not comfortable with their relationship with the RDAs and the DDAs. Whereas the latter welcome the opportunity to manage their local affairs, the national level is sceptical about successful implementation of activities and feedback to the centre.

Although financial authority had been delegated to the districts through creating cost centres for them, most districts have not been able to carry out regular activities because of inadequate releases. This cannot be attributed to decentralization problems, rather, a government financing problem causing disparity between budgeted amounts and actual disbursements. MOFA's decentralization has also taken place at a time when donor funded projects under the MTADP (1991-2000) were coming to an end. This has also compounded problems of funding. On the other hand, where there has been collaboration between DDAs and DCEs, District Assembly logistics from the common fund and other projects within the jurisdiction of the DCE have been extended to support agricultural activities.

The coming to an end of the MTADP also meant the preparation of the AgSSIP. With the transition in organization and management of MOFA because of decentralization, AgSSIP preparation has been at the national level. However, since stakeholder consultations from the grassroots were part of the process to prepare the sector strategy within which the AgSSIP is designed, it is expected that these activities should be in line with district plans.

Post decentralization, the role and functions of the central departments within MOFA have changed and it will take time for staff to adjust to their new roles.

Potentials of decentralization

The new reorganization of decentralization envisages the transfer of functions, means and competence to the local government from the central government, ministries and departments. This fuses agencies in one region, district or locality into one administrative unit. All these are conducive for the implementation of the programmes in several ways:

- coordinating institutions for executing sector wide activities;
- phasing out of parallel structures that exist for discrete projects;
- the District Agricultural Sub-committee to coordinate and steer agricultural activities and stakeholders;
- possibilities of direct allocation of funds to programme components at the local level;
- decentralized planning, implementation and decision making ensuring relevance of programme and beneficiaries ownership.

Improving decentralization

Besides parliament passing the Decentralization Bill and thus empowering the process, there are other ongoing institutional reforms that government is undertaking to improve the control environment of its public sector and other measures under the AgSSIP to support management that if coordinated properly, will work together to improve decentralization. Some of these are:

- The National Institutional Renewal Programme (NIRP) that includes the ongoing civil service performance improvement programme, the medium term expenditure framework and the public sector reform program. Although these are under one umbrella, the implementers do not work in a coordinated fashion.
- Central departments have identified activities in AgSSIP for which support is requested to recreate and strengthen capacity to deliver services. In support of this, MOFA is included in the first phase of a Public Sector Reform

Program (PSRP, 1999-2001), which will entail further evaluation of the scope of roles and responsibilities and reconsideration of staffing levels.

- Besides financial management measures under the MTEF to prioritise public expenditure against specific objectives and computerize accounting, AgSSIP is also planning a financial management package that will include training for all MOFA accounts staff up to the district level.
- The DIC plans to organize a national workshop on its findings and recommendations from the monitoring visits and workshops to come out with action plans to resolve MOFA decentralization problems. This workshop is likely to receive DFID support so is expected to come on soon.
- An M&E system will operate under the AgSSIP to generate feedback for sound management. Options include performance monitoring, beneficiary assessment and impact evaluation.

4. CONCLUSIONS

In conclusion, decentralization has several advantages for improved administration, greater coordination and focused assistance, all these leading to growth and successful economies. However, implementation has shown many weaknesses in areas of capacity in numbers and skills, funds, other logistics and the control environment. Incidentally, the need for change for accelerated growth introduces several reforms that actually reinforce decentralization. This goes to confirm its suitability for management. This has been the case in Ghana. Several measures not necessarily planned together, are working collectively but indirectly to address problems of decentralization. It will be useful to take stock of these activities and coordinate their implementation for maximum results.

APPENDIX 1. Chronology of the decentralization of MOFA

PERIOD	ACTIVITIES
August 1995	Task force on decentralization of MOFA inaugurated.
March 1996	Job descriptions for line directors prepared.
June 1997	Workshop on the implementation of MOFA's decentralization for national and regional directors.
July 1997	Ministerial directive on implementation issued.
August 1997	Ministerial directive on postings of DDAs issued.
October 1997	DDAs report at new duty station.
January 1998	Forum on implementation with RDAs, NDAs and donors.
March 1998	Orientation workshops.
June 1998	Handbook on decentralization.
June 1998	DIC meeting.
July 1998	Distribution of handbook.
July 1998	Performance agreement between DDAs and GOG drafted.
July-Oct 1998	DIC visit 2 districts each in all 10 regions.
October 1998	First DIC report.
Jan-June 1999	Workshops on decentralization.
Aug-Oct 1999	DIC continue monitoring visits.
July-Oct 2000	DIC continue monitoring visits.
*	Workshop planned to review findings and recommendations and establish plan of action for implementation.

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1. AgSSIP appraisal document, June 2000; Implementation arrangements.
2. Johann Hesse et al., February 2000; Support to MOFA's decentralization process; Summary of activities and findings.
3. Manual on the decentralization of MOFA, 1997.
4. Ministerial directive on decentralization, MOFA, July 1997.

F. Sectorwide Approaches in Practice: The Case of Education in Zimbabwe

Kees B. van den Bosch

1. The current situation

The current situation regarding the development of a sector programme should be seen within the context of its development over the past two years. There is, therefore a need for some background information about the initial stages.

Background

In January 1998 the Presidential Commission of Inquiry into Education and Training was inaugurated and started its work. This initiated a discussion between the two ministries of education and its main cooperating partners about education reform and the development of a sector programme. By mid 1998 only one of the two ministries, viz. the Ministry of Education, Sport and Culture (MOESC), committed itself to move toward a sector wide approach and this decision defined the sector: early childhood development (pre-school), primary- and secondary education. Since then a dialogue is being held between MOESC and its main co-operating partners Sweden/Sida, The Netherlands and the EC, later joined by DFID, UNICEF and GTZ.

In these early preparatory stages, it so happened that the EC, DFID and JICA/Japan initiated sector studies as a preliminary step to their possible involvement in the sector while MOESC participated in a relevant regional research project. These recent studies¹, added to the already existing body of sector work, led to the conclusion that there was no need for further sector analysis but that use should be made of the existing studies.

Another issue, the capacity of the Ministry, was addressed through a capacity study, requested by MOESC and financed by Sida², while the MOESC simultaneously developed a decentralisation plan.

A major stumbling block toward the development of a sector programme was the absence of a comprehensive education policy. In fact, since the 80's, education development in Zimbabwe has very much been hands-on and the policy area is very patchy. This approach has its merits, but it was felt that the time had come for a major policy reform. It was expected that the recommendations of the Presidential Commission would lead to a broad consultation and the formulation of an education policy. The MOESC, anticipating that development, proposed to strengthen its capacity in policy development and at that point in the dialogue an important decision was made. It was decided not to concentrate only on the development of a policy and strategic plan, but to develop an interim programme of 2-3 years that would support the policy development, the necessary capacity building and the gradual merger of ongoing external support. The latter was facilitated by the fact that Sweden and The Netherlands had already decided to merge their programmes, where appropriate.

¹ These studies are:

Cathy Gaynor, Education Sector Development Consultancy: Zimbabwe; DFID, August 1998,
Tracy Mudzi, Education in Zimbabwe, a situational analysis; DFID, September 1998,
Charles M. Nherera, Education provision in Zimbabwe; JICA, 1998,
Victor Levine et al., Review of the Education Sector in Zimbabwe, EC/IRT Associates, April 1999,
SACMEQ: The quality of education, some policy suggestions; MOESC/IIEP, 1998.

² Peter R.C. Williams, Robert W. Evans et al., Capacity Study of the MOESC; Deloitte & Touche, November 1998.
MOESC Strategy for the Decentralization of Education Functions; January 1999.

Also the need emerged of a more formal consultative structure between the ministry and its co-operating partners, and this provoked a discussion about the major stakeholders and how they could be involved in the dialogue. It was resolved that on the one hand the Presidential Commission was widely consulting all actors in society and on the other hand, the MOESC had already a formal structure for regular consultations e.g. with the Book Publishers and Booksellers Associations, the associations of urban and rural councils (owners of the large majority of the schools) and with the churches, the associations of Schoolheads and the Teacher Unions etc. Therefore it was decided to set up a small group with MOESC, Ministry of Finance and interested donors to jointly develop the sector programme led by the ministry. The wider education community would then be consulted through an Education Forum on a more ad hoc basis.

To date, the dialogue has led to:

- a. the formation of the Education Sector Development Group (ESDG) as the forum for consultation between MOESC, Ministry of Finance and the (prospective) cooperating partners. These are Netherlands, Sweden, DFID, UNICEF, GTZ/Germany, EC Delegation and WB. The ESDG is chaired by the Permanent Secretary of MOESC and joint Terms of Reference and a Code of Conduct were adopted. The Division of Policy/Planning provides for the ESDG Secretariat and for overall guidance and coordination of the process.
- b. the development of the Education Sector Transition and Reform Programme (ESTARP), as an interim programme of 3 years duration.
- c. MOESC to set up Task Forces within the MOESC to develop an ESTARP concept paper and programme components. Several joint seminars have been held.

Education Sector Transition and Reform Programme (ESTARP)

MOESC and its core co-operating partners have agreed to a sector wide approach and over a period of 3 years a sector programme will be developed through ESTARP, which consists of three parallel programmes:

- a. the development of a comprehensive education policy and a strategic plan (including a Medium Term Financial Framework) to implement that policy, as a follow up to the recommendations of the Commission of Inquiry into Education and Training,
- b. decentralisation and capacity building to enable MOESC (at national, regional, district and school level) to efficiently implement and monitor the strategic plan. This programme includes (i) enhanced financial budgeting, planning and management to handle increased external funding and (ii) the development of an education management information system (EMIS) and other monitoring mechanisms.
- c. strengthening some key sub-sectors through domestic and multi-donor financing which will include the merging of ongoing projects/programmes. In this context the MOESC has decided to focus on providing basic education at affordable costs and will target on keeping disadvantaged children in school, with special attention to the girl child. Also, the impact of the HIV/AIDS pandemic will have to be taken into account. Two sub-sectoral programmes are currently envisaged:
 - textbooks, school libraries and learning materials, through the existing but possibly modified per capita grant mechanism as used for Dutch budget support,
 - infrastructure, including furniture, for rural primary schools, particularly in large-scale commercial farming areas and communal lands.

In this way, ESTARP will in 2-3 years lead to a new education policy, a strategic plan to implement and monitor that policy, to enhanced capacity and to improved donor co-ordination through multi-donor support.

At present The Netherlands, Sweden/Sida and the EC Delegation have indicated interest in joint financing of ESTARP and the two bilaterals together contribute approx. 70% of all external funding to the sector. DfID, WB, Germany/GTZ and UNICEF are participants in the dialogue as possible future contributors.

The final ESTARP document, which describes the various components and the need for external support has still to be completed and the last 6-8 months a considerable delay has been experienced. This is mainly due to lack of capacity and conflicting interest within essential divisions of the ministry. With the operationalisation of the decisions there is also a growing misunderstanding about the concept of ESTARP and the development of a policy. Because of this delay some donors become impatient as they want to disburse money and fall back in the old habits of separate projects.

New and ongoing Dutch support

The Netherlands will actively support the process of a sector wide approach through

the development of ESTARP and will also contribute to the implementation of ESTARP.

For the implementation of ongoing activities during the period 2000-2003 an amount of NLG 12.825 million is available while a new allocation of NLG 22 million for the period 2000- 2002 (3 years) has been approved in support of ESTARP.

Ongoing activities are being clustered or merged. For example, the Dutch supported Better Schools Programme (BSP) has become the national programme in Zimbabwe for all in-service training and professional development of the teachers. It will become part of the sector programme and a mechanism for the co-ordination of other projects in the same domain.

The Dutch support to Early Childhood Education and Care (ECEC) is coming to an end as a separate activity but will continue under the Better Schools Programme. Similarly, the Science and Mathematics Education In-service Teacher Training (SEITT II), implemented by the University of Zimbabwe, will strengthen the Better Schools Programme in the area of natural sciences and will gradually be integrated.

The HIV/AIDS in school prevention programme has been supported by the Netherlands through UNICEF since 1993. Since last year, in 1999, this project facilitates the setting up of a HIV/AIDS co-ordination unit within MOESC. This unit is expected to co-ordinate all efforts in the sector, seek funds and ensure that HIV/AIDS becomes part of ESTARP as a crosscutting issue. These examples show how Dutch projects are gradually being brought under the umbrella of (sub-)sector programmes. Sweden/Sida is doing the same and the Dutch support to textbooks and learning materials for primary schools is now being done together with Sida through pooling of resources.

2. Constraints

A number of constraints were experienced during the last two years and they tend to increase and cause more delay once the development of the programme becomes more concrete. As long as the partners are in the preparatory phase and in the policy dialogue, things move smoothly but as soon as a strategic plan or programme has to be developed under the leadership of the Ministry, the limitations of that ministry as well as of the donors, are increasingly being felt. Old project behaviour flourishes again within the ministry and donors begin to re-apply the same old habits and procedures and strong leadership is essential in this

confusing and crucial phase, but often lacking. But in the case of Zimbabwe, the very purpose of the transition programme (ESTARP) is to encounter these problems in the early stages and tackle them in that phase, rather than circumventing them. It is expected that in this way the major problems have been solved by the time the sector programme is in place, which will then accelerate the implementation. But in the meantime there is undesirable delay, which requires intensive dialogue and monitoring and the danger increases that donors start hiring consultants on their own, as the EC did already, even hiring MOESC staff.

The constraints can be clustered under two headings: lack of capacity and donor behaviour.

Limited capacity

Early 1999, under pressure from IMF/WB, the Government of Zimbabwe embarked on a public sector reform (PSR), which led to the rapid retrenchment of large numbers of civil servants, and MOESC had to take a big share. The MOESC was confronted with having to meet targets within very short time, which did not allow for proper planning. The result was that many of the best staff accepted the retrenchment packages (to find employment elsewhere, like multilaterals) and left the ministry. The exercise came in several waves, unplanned and steered by the Public Service Commission with little influence from the Permanent Secretary. This process has severely eroded the capacity (qualitatively and quantitatively) of the ministry. It seriously jeopardized and later stalled the implementation of a Capacity Study, which aimed at redefining the core functions under a decentralisation programme. The MOESC is committed to the decentralisation process, started to contract out certain services (hostels, cleaning, etc.), handed over schools to local authorities and wanted to strengthen district Education Offices, but was often tied up or even called back by the Public Service Commission or the co-ordinating ministry (Local Government) for going too fast. One can imagine the chaos and confusion and this was and is not the ideal environment for MOESC to develop a sector programme and doing business with donors in a different way.

Another factor is the increasing resistance against a sector programme within the ministry itself. Some Directorates are reluctant to give up their little 'kingdoms' and do not see the challenges of interdepartmental co-operation. Others reject the sector programme development because it brings fewer fringe benefits than the traditional project approach.

A bureaucracy is conservative and the development of a sector programme, which should be the ministries' core business, unleashes unpredictable forces of resistance that are often not easy to discover and to tackle and certainly not to foresee.

Under these circumstances high demands are made on leadership capacity and in Zimbabwe this was and is sometimes falling short. But it is too easy for donors to blame the ministry. Donors are part and parcel of this problem, because they are the ones who have in the past insisted on projects that contributed to the fragmentation of the ministry and deviated the ministry from its core functions, which is to manage the sector.

Donor behaviour

Fortunately, in Zimbabwe the donor scene in education is easy to oversee. Netherlands and Sida are the major (and like minded) donors, but even then intensive discussions between the two are needed (on average the two meet once a week) and the delegated responsibilities to Embassies by the Dutch are a clear advantage over Sweden/Sida. Other funding agencies are implementing and managing projects (GTZ, UNICEF) or/and have very small projects (France). DFID participates in the dialogue and hopes to come in when the sector programme is in place.

It is a serious constraint that donors are too impatient, because of the fact that their performance is judged by their ability to disburse funds in a certain period of time and

according to certain procedures. That particularly applies to the EC Delegation, which at a certain point in time hijacked the process and was the first one to violate the agreed (EC model!) Code of Conduct. A special case is UNICEF, which hardly participates in the dialogue and continues to develop its own (5 year) co-operation programme .

All this adds to the confusion within the ministry and makes it important to be alert all the time. Donors can cause all kinds of unexpected hick-ups and these can best be overcome by playing each other's 'watchdog'.

G. Sector-wide Program Approach to Development: Country Experience of Ethiopia on Major Achievements & Challenges

Mazenkia Makonnen

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INTRODUCTION

The Education and Health Sector Development Programs (ESDP & HSDP) are two programs presented by the Ethiopian Government to its development partners based on the recently formulated education and health policies and strategies of the country. The programs were formulated with full cooperation between Federal and Regional States, taking into consideration realistic priorities and sustainability. They are designed in a comprehensive manner, with a 20 years strategic perspective, 5 year rolling plan and sufficient room for flexibility. The two programs were further developed with active cooperation and assistance from a wide section of the multilateral and bilateral development partners. Starting with the formal submission of the ESDP and HSDP to the Consultative Group meeting in December, 1996, a series of technical workshops, seminars, site visits and appraisal missions were held to refine and enhance the program contents. This preparation phase was a very fruitful exercise in learning by doing for both Government and Donors.

It must be clear at the outset that the SDPs are sector-wide programs and not projects, and as such will require a different approach both from Government and Donors. The key for successful program support is agreement on program objectives and targets and the process by which these objectives and targets will be reached. The SDPs are also intended to operate, as much as possible, within the regular framework of Government and Donor structures and procedures. This would imply a greater degree of coordination and harmonization of procedures on the part of donors as well as government. Naturally, all these features will make the new approach rather complex, but it is hoped that it would be an effective mechanism for developing a sector and a better framework for aid management. Through greater degree of flexibility by all parties concerned, there is no reason why a harmonized procedure acceptable to most stakeholders cannot be worked out and utilized to its best advantage. The end result of such an endeavour is expected to be an efficient, effective and satisfying partnership in development. Based on the existing problems of aid management and aid effectiveness, the GOE is committed to the principles of the new approach and resolves to adapt to its practices. It would also very much like to encourage and invite its partners in development to accept and widely participate in the process.

The purpose of this document is, therefore, to clarify the basis for the proposed procedural changes and to provide general guidelines on Governance, Financial Management, Procurement Management, Construction Implementation, Community Participation and Monitoring Review and Evaluation Procedures, during implementation of the two programs. It is hoped that it would create a common understanding to the implementation arrangements by all stakeholders, including donors and those directly responsible for implementing the programs. This summary description and its allied reports, regulations, directives and manuals should be the reference points for new donors approaching negotiation, as well as for those already supporting the programs. It is expected that different stakeholders will need different levels of detail and focus and to this end only general descriptions are given in the text and more details and sample formats are presented in the main documents.

Finally, procedures will have to evolve and adapt during implementations and as such continuous consultation and the utmost flexibility from all parties will be required to refine them as we go along.

PART I

EDUCATION SECTOR DEVELOPMENT PROGRAM

BACKGROUND

Ethiopia is the second populous country in the Sub-Saharan Africa. It has a Gross Domestic Product Per Capita of US\$ 110, which is only a quarter of the average for the region. Education has a vital role to play in the development of a country. The education sector in Ethiopia is greatly under-developed. As a result, access to schooling was one of the lowest in the world. In 1994, a new education and training policy was adopted to change the state of affairs and is since being translated into a general education strategy and an action plan.

Total enrolment at all levels of the education system is about 5 million of which about 4.5 million are in primary. There are gross disparities in educational opportunities between regions, urban/rural and gender and the gap is more pronounced at the higher levels. The internal efficiency of the system, as measured by the dropout and repetition rates is also low.

The quality of education has further deteriorated during the last two decades mainly due to under-funding, scarcity of instructional material, overcrowding of classrooms and declining of quality of teachers and lack of motivation scheme to teachers. The curricula tend to be theoretical and do not relate to real life, particularly for the sciences and technical and vocational areas.

In general, the education system in Ethiopia was inundated with a number of problems needing immediate attention. The major ones amongst these are; a narrow base, low retention rate, extremely small vocational and tertiary training opportunities, unacceptable quality and relevance of the curricula, gross regional and gender disparities, centralization and inefficiency in administration and low level of community participation.

ADDRESSING THE PROBLEMS

To address the needs for education, the Government has embarked on a set of political, economic, and social reforms that include the 1994 adoption of new education and training policy. The goal is to restructure and expand the education system and to make it more relevant to the present and future human resource needs of the country. The new policy statement focuses on the following major areas of reform:

- Expanding access to primary education equitably;
- Restructuring the education system;
- Changing the curriculum to increase the relevance of education to communities;
- Improving the quality of education through out the system.

PROGRAM DESCRIPTION

The Education Sector Development Program(ESDP) is a general education strategy and an action plan to translate the new policy statement into action. It covers the first five years (1997/98-2001/02) of the 20-years education development strategy.

ESDP was launched in 1997/98 with Government funding and supported from ongoing donor assistance. The preparation and submission of a framework to the Consultative Group meeting

in December 1996 preceded the formulation of the program detail. The Federal and Regional States elaborated the program with active participation by Multilateral and Bilateral donor partners.

ESDP is a sector-wide approach to the development of education. It is believed to enhance the benefits accrued from the limited resources by avoiding sources of inefficiencies and unnecessary duplication of efforts. On the other hand, it would require a lot more coordination of procedures on the part of donors as well as the Government. This departure from the usual project approach is believed to bring about efficient, effective and satisfying partnership in development and better management of aid.

MAIN GOALS AND TARGETS

- Increasing primary enrolment from 30 percent to 50 percent;
- Increasing girls' share of enrolment from 38 percent to 45 percent;
- Improving quality of education by providing textbooks for each child in core subjects, improving educational facilities, and improving teacher training;
- Making schooling more relevant by reforming the curricula;
- Make schools more efficient by reducing the number of children dropping out or repeating classes.
- Ensuring the responsiveness of TVET and tertiary level education and training to the needs of development through appropriate curricular and other reforms.

COMPONENTS

The Education Sector Development Program is divided into eight components for programming, budgeting and implementation purposes. There are also other issues that cut across all components:

1. EXPANSION 7 UPGRADING OF PRIMARY EDUCATION

Expanding the opportunity of primary education to the relevant age groups and hitherto deprived communities is the main goal of this intervention. About 2500 new primary schools will be built mostly in rural areas and 3000 existing schools upgraded and renovated. Nearly 4.0 million new students will have classroom space. The increase in school space will be complemented by improvements in quality of education delivered. This includes the provisions of better-trained teachers, more relevant curricula and more books and improved school environments. Using local languages in primary schools will also enhance the retention rate by helping children adjust to school more easily and learn better thereby improving the internal efficiency of the system.

2. IMPROVING THE QUALITY OF SECONDARY EDUCATION

While expanding primary education is the priority in ESDP, secondary education will also benefit. Limited number of new secondary schools will be built and overcrowding in the existing ones eased by building additional classrooms. Other quality enhancing measures such as curriculum revision, upgrading the quality of teachers, putting more books and equipment in the schools will be undertaken. The general direction is to start putting into practice the new policy on secondary education which ensures better access, improved equity and better relevance without losing sight of minimum internationally acceptable standard.

3. RESTRUCTURING AND REVAMPING TECHNICAL AND VOCATIONAL EDUCATION AND TRAINING

The objective of this component is to train skilled manpower of good quality and standard with the appropriate number and mix to satisfy the growing demand of the economy. The TVET programs have failed greatly to serve the needs of the economy in the past. Steps are being taken to improve the relevance of the curricula so, that graduates can be equipped with skills satisfactory to the job market. Training of lower level technicians mainly for the agriculture, industry and construction sectors will be given emphasis in the short to medium term. Designing new and flexible curriculum and reorganizing the TVET system in line with the new policy will be among the lead activities. Upgrading the facilities of the existing T/V schools in view of the change in direction and emphasis and building targeted numbers will also be undertaken. More involvement by the private sector is envisaged in this area.

4. TEACHER TRAINING

Teachers are one of the most important determinations of quality of education. Training of new teachers and upgrading the ones on the job through in-service programs is the objective of this component. In accordance to the national standard set; a certificate from TTI for teachers of grades 1-4, college diploma for grades 5-8 and university degree for higher levels are required and as such teacher training programs will be updated and existing teachers will be upgraded, qualifying them to teach in their respective levels. Recruitment and training of new teachers with the appropriate gender mix will be pursued. In-service training through distance education will be broadened as cost-effective strategy, to give teachers in remote schools, specially women who have difficulty leaving their families for professional growth.

5. ADULT AND NON FORMAL EDUCATION

Adults and out of school children will be reached through non-formal education. Courses will be developed for basic education to reach those who never had an opportunity to go to school; functional literacy and numeracy for youth and adults; post-literacy programs for new literates and school dropouts, by utilizing distance education as the main medium for reaching this segment of the population. Adults will also be provided with basic life skills using Community Skill Training Centres.

6. DISTANCE EDUCATION

The education system in Ethiopia has had the benefit of an extensive transmission network served by well-developed educational broadcasting system. Educational radio programs supplement classroom teaching in primary schools. Secondary schools are also benefiting from a less developed educational television program. Both the radio and the TV. programs will be strengthened by the ESDP. Staff at the centre and regions will be trained and materials and equipment supplied. The use of distance education will further be expanded to include courses in basic education, functional literacy, continuing education and in-service teacher training.

7. REVITALIZING TERTIARY EDUCATION

The expansion of higher education will be limited to meeting the immediate needs of the country for educators, engineers, health workers and public administrators. But restructuring and enhancing the quality of education would be given precedence. This is to be accomplished by revitalizing curricula, upgrading existing colleges by refurbishing their facilities and establishing new faculties and colleges. Investment in higher education by the private sector will also be encourage.

8. CAPACITY BUILDING

Strong institutional capacity both at Regions and Centre is needed to successfully implement ESDP. Capacity building in the areas of educational management, planning, finance management, procurement, monitoring and evaluation and reporting will be undertaken. Head teachers and other school officials at all levels will be given training in education management. The capacities of the Institutions responsible for examination, educational media and curriculum will also be improved.

SOURCE OF FUNDING AND PROGRAM COSTS

The projected cost of ESDP is US \$1,799 million (about 12.2 billion Birr), which will be financed by a combination of domestic and external funding. The Government is committed to finance 73 percent of the program cost

PART II

THE HEALTH SECTOR DEVELOPMENT PROGRAM

BACKGROUND

Ethiopia has the second largest population in Sub-Saharan Africa. More than 85% of the population live in rural areas. It has a Gross Domestic Product per capita of US \$110, which is about a quarter of the average for the region. The health status is extremely poor relative to countries of comparable income in the region. Primary health care coverage is only 45 percent. Wide spread poverty, low educational level and poor access to health services along with other diverse conditions have contributed to the burden of ill health. In 1993, a new health service policy was adopted to change the state of affairs and is since being translated into a general health strategy and an action plan.

The leading causes of the burden of disease are communicable diseases, peri-natal and maternal conditions and acute respiratory infections followed by malaria, nutritional disorders, diarrhoea and STDs including HIV/AIDS.

Health care delivery institutions are few in number, unevenly distributed and in a general state of disrepair. The quality of care suffers from inappropriate manpower and inadequate provision of drugs and medical supplies.

The health care system in Ethiopia has been highly centralized and as a result lacked any meaningful participation of the community or the private sector. Despite the purported direction of primary health care with six tiered systems, priority in practice was given to curative rather than preventive and promotive care.

ADDRESSING THE PROBLEMS

To address the major development problems of the country, the Government has embarked on a set of political, economic and social reforms that include the 1993 adoption of new national health policy. The goal of the health policy is to restructure and expand the health care system and to make it responsive to the health needs of the less privileged rural population, which constitute the overwhelming majority productive force of the nation. The new policy direction focuses on the following major areas of reform :

- Expanding access to community-based primary health care services of acceptable standard in cost-effective manner;
- Restructuring the health care delivery system;

PROGRAM DESCRIPTION

The Health Sector Development Program (HSDP) is a general health care strategy and an action plan to translate the new policy statement into action. It covers the first five years (1997/98-2001/02) of the 20-year health service development strategy. The HSDP was launched in 1997/98 with Government funding and supported from ongoing donor assistance. The preparation and submission of a framework to the Consultative Group meeting in December 1996 preceded the formulation of the program. The Federal Government and Regional States further elaborated the program with active participation by multilateral and bilateral donor partners.

HSDP is sector-wide approach to develop the health care. It is believed to enhance the benefits accrued from the limited resources by avoiding sources of inefficiencies and unnecessary duplication of efforts. On the other hand, it would require a lot more coordination, flexibility and harmonization of procedures on the part of donors as well as the Government. This departure from the usual project approach is believed to bring about efficient, effective and satisfying partnership in development and better management of aide.

- Increasing primary health care coverage from 45 percent to 60 percent;
- Increasing immunization coverage from 67 percent to 80 percent;
- Decreasing infant mortality rate from 128/1000 to 95/1000;
- Decreasing maternal mortality rate from 500-700/100,000 to 450-500/1000,000;
- Increasing contraceptive coverage form 8 percent to 15-20 percent;
- Expanding community based health care of acceptable quality by making appropriate manpower, drugs and medical supplies available in a sustainable manner;

PROGRAM COMPONENTS

The Health Sector Development Program is divided into eight components for programming, budgeting and implementation purposes. There are also other issues that cut across all components. Gender mainstreaming is key among the cross cutting issues.

1. SERVICE DELIVERY AND QUALITY OF CARE

Quality and coverage of the promotive and preventive as well as curative services are to be enhanced. Expansion of coverage takes place by reorganizing the health services into a four-tier system believed to be more practical and functional. Vertical health programs such as Malaria, MCH, TB and Leprosy, Family Planning will be integrated into the health service delivery system allowing a comprehensive management of health issues. Moreover, health services will be delivered in static and outreach sites supported by integrated surveillance system for major illness and epidemics. Quality improvements shall emphasize on improving the technical competence of personnel, regular availability of essential drugs and the supply of medical equipment appropriate to each tier. The institution level services shall be supplemented by health education on communicable diseases, nutrition, reproductive health, ad promotion of personal hygiene and awareness about environmental health. New emphasis shall be given to prevention and management of sexually transmitted diseases particularly HIV/AIDS. These interventions are expected to significantly reduce the burden of diseases and bring about behavioural changes.

2. HEALTH FACILITY REHABILITATION AND EXPANSION

The intervention will include rehabilitation of existing facilities and construction of new ones. 216 new primary health units (PHCUs), 12 district hospitals (DH), 5 zonal hospitals (SH) will be constructed, furnished and equipped over the five years. More than 215 health facilities will also be rehabilitated and refurbished. Attention will also be given to the development of strategies to address the health care needs of the pastoralists. This will markedly increase access to health services in rural areas by bringing the health facility nearer to the community.

3. HUMAN RESOURCE DEVELOPMENT

The aim of this intervention is to provide the health delivery system with an appropriate mix of personnel in line with the new minimum standard services. Rationalization of existing categories of personnel and increasing the supply of manpower are the main strategies to achieve this. Additional training facilities and trainers guided by the appropriate curricula will be organized to produce the new cadre of health personnel. The productivity of existing personnel will also be raised by the provision of strong and appropriate in-service training and efficient management.

4. STRENGTHENING PHARMACEUTICAL SERVICES

Sustainable provision of pharmaceuticals can have far-reaching impact on the provision of adequate services and quality of care. About 30 percent of the basic drug requirement of the country could be made available from local sources. The goal of this component is to make available a regular and adequate supply of effective, safe and affordable essential drugs of high quality. Sustainable supply of the required drugs and medical supplies is to be ensured through the recently transformed public enterprise "PHARMID" and private firms that are being established at an encouraging rate. Moreover, other small pharmaceutical factories are also being opened which would enhance the availability of some medical supplies.

5. INFORMATION, EDUCATION AND COMMUNICATION (IEC)

The goal of this component is to strengthen IEC intervention countrywide. Different communication channels will be developed and used in a sustained way, to increase the health knowledge, improve the attitude and change the behaviour of the potential users of services. The planned intervention, which includes, the provision of facilities, materials and training of appropriate personnel, will strengthen the capacity of MOH and Regions in the production of IEC materials. The effectiveness and impact of the IEC in terms of promoting the level of awareness of the population about the nature and cause of diseases and the preventive aspect of health care will be closely monitored and evaluated.

6. STRENGTHENING HEALTH SECTOR MANAGEMENT AND MIS

Improving the skills of health managers in the areas of policy formulation, planning and budgeting, financial management, program implementation and monitoring and evaluation is the objective of this component. Pre-service curricula for health professionals training will be revised to accommodate management courses and those on the job will be trained through in-service programs. In addition to the management training, devolution of appropriate management authority to institution level will be instituted and the participation of the community encouraged. Establishing an effective management information system (MIS) will facilitate decision-making at all levels. A system of regular analysis of disease patterns, health related demographic changes, improvements in health care services and health status, and emergence of epidemics and new diseases will be instituted. Capacity in data gathering, processing and dissemination will be strengthened at all levels.

7. MONITORING AND EVALUATION

A monitoring and evaluation system provides the basis for improving, redirecting or correcting program/project implementation so that achievement of the set objectives is made possible. The purpose of this components is to establish an integrated monitoring and evaluation system for continuous and periodic assessment of progress in HSDP implementation. The system will also be used to monitor improvements in service delivery, quality of services as well as evaluate the impact, effectiveness and cost-effectiveness of the HSDP interventions. Appropriate monitoring and evaluation system will be designed and capacity in the utilization of the system developed at all levels during the program period. Operational research and thematic studies will support monitoring and Evaluation.

8. HEALTH CARE FINANCING

Improving the efficiency of resource management by the public sector and identification of additional and new sources of revenue are the objectives of this component. Old and new areas of health care financing will be studied for their potential to generate additional resources and their likely impact. The formulation of the Human Care Financing Strategy will be finalized, systematically implemented and closely monitored for its effects. The financial management and accounting procedures of the health care delivery institutions shall be revamped to benefit from efficiency gains, to improve cost recovery and to generate additional income for the institutions.

SOURCE OF FUNDING AND PROGRAM COSTS

The total estimated cost of HSDP is Birr 5,002 million (About US \$ 738 million) and is to be financed by a combination of domestic and external funding.

PART III: IMPLEMENTATION ARRANGEMENT

3.1 Governance

3.1.1. The governance framework for the SDPs attempts to take account of all relevant stakeholders and as such is bound to be complex. Decisions cannot be taken in one place, or even arranged in a single simple hierarchy, and to this extent simplifying the decision-making process and cutting the administrative burden is vitally important. This can only be achieved by harmonizing procedures, rationalizing on requirements, using as much as possible regular Government channels and pooling of resources. Nonetheless, an acceptable, participatory and transparent management of the process is mandatory.

3.1.2. In keeping with the principle of operating within the regular structures of Government, the implementing agencies of the programs are respective sector Ministries at the Federal and the Bureaux at the Regional level. Overall financial management will be the responsibility of the Ministry of Finance (MOF) and the respective Finance Bureau at the regions (RFB). A federal and regional joint donor-government steering committees are set up to oversight and coordinate the implementation process and to advise the government on matters related to the two programs. The planning and program departments in the respective sector ministries and bureaux shall act as Secretariats to the Central and Regional Joint Steering Committees (CJSC & RJSC). The sectoral Secretariat to the CJSC will have a pivotal role in ensuring overall coordination and monitoring. Other technical committees, consultative groups and discussion forums shall be established as required. Regular joint supervision missions and review meetings will be held for each sector separately.

3.2. Community Participation

3.2.1. A community can be defined as a group of people living together in a specific area sharing similar socio-economic experience. Community participation is a development strategy in which the beneficiaries are active participants at all the stages of the development of a project and its execution, i.e. identification of project, selection of a site, supervision of work, provision of labour, as well as appropriate utilization, management and maintenance of the final product. It requires wilful involvement of the community in matters that affects or impinges on the economic and social well-being. The benefits of community participation in the development, execution and utilization of a project are wider sensitisation, increased awareness, inclusiveness in development efforts, efficiency in implementation, local capacity building and assurance of sustainability.

3.2.2. Community participation can be in the form of parents committee, members of a management board, members of a steering committee friends to an institution and as members of an ad hoc committee for a specific activity of the project. Guidelines for community participation shall be developed and disseminated.

3.3 Financial Management

3.3.1. The term financial Management is used to cover the stages of disbursement, payment for service, reporting, accounting and auditing that take place after expenditure has been authorized.

3.3.2. The GOE has set itself uncompromising standards of financial management. It believes and independent studies have confirmed that the basic systems are already in place to ensure adequate control of public funds. What is required at the moment is strengthening the system and modernising its structure, introducing an active resource management, establishing accountability for performance as well as fiduciary control, timeliness in and accuracy of financial reports and ensuring adequate capacity in all regions and at all levels of administration, are some of the important challenges. An updated financial legislation has already been promulgated and is put into practice. Among other things, the new legislation makes it obligatory to bring all public funds, including aids in kind as well as financial grants, within the scope of the consolidated fund and budgetary process.

3.3.3. Although Regional States have a substantial degree of autonomy, the Federal Government takes the lead in setting financial management standards. The Regions are also required to report their expenditures in the formats and at the times specified by the Ministry of Finance. The MOF has overall responsibility for the management of public funds, including federal subsidies to the Regional States. The Federal Office of the Auditor General (FOAG) is the supreme audit institution of Ethiopia, with responsibility for auditing all Federal funds, including subventions to the Regional States. It is responsible directly to the Council of Peoples Representative (CPR).

3.3.4. As has always been the case, all aid agreements are negotiated at the Federal level. However, historically different donors were following different disbursement procedures and aid management. It is the governments desire that the disbursement is done through Finance bodies (i.e. Channel 1). This will avoid fragmentation of financial management, ensures that MOF has the full picture, avoids wastage and unnecessary duplication of effort and allows government to concentrate its scarce financial management manpower in the financial bodies instead of trying to build up a variety of accounting capabilities in sector agencies.

3.3.5. The Ethiopian budget system separates recurrent from capital expenditures, the underlying principle being to distinguish the continuing running costs of government services from the discrete investment expenditures that add to government assets. This is a very important distinction from the standpoint of ensuring sustainability of any program or project.

The GOE naturally prefers aid that is in the form of budget support to the sector, and which does not have to be tracked to a specific project or activity. However, it is prepared to come to an amicable arrangement with donors till general agreements are reached and a harmonized system is adopted. Likewise, existing agreements will be honoured and accommodation made within the law for ongoing cooperations, but it would be in both partners' interest to review their disbursement channels.

3.3.6 In practice, all Federal and Regional offices are required to submit, monthly reports on expenditure. These reports are conditions of further disbursement. Quarterly and annual financial reports are also collated by different bodies as part of a progress report in the implementation of projects. To the maximum extent possible, these regular financial reports will be used as the basis for financial monitoring of the SDPs. However, it is intended to supplement the standard system, if necessary, with special reporting arrangements to ensure adequate tracking.

3.3.7. Auditing of Regional expenditure is constitutionally the responsibility of Regional Auditors-General (RAG), though regions are able to delegate responsibilities to Federal Government. In any case, the FG has the right to instigate audits of all federally-derived funds, which include all international aid. Since the SDPs have been prepared as an integral program covering all Regions and the Centre, it has been agreed that an overall annual audit will be undertaken, to cover all elements of the program, i.e. central and regional, recurrent and capital, donor and locally funded. Internal audit mechanisms will also be set to continuously monitor financial management and proper adherence to financial and procedural regulations. It has been agreed to appoint the FOAG as the independent auditor for the two programs.

3.4. Procurement Management

3.4.1. The objective of a procurement procedure is the acquisition of required goods and services in the most economic, efficient and transparent way possible. Like any other activity in a project, procurement planning is also very important for the timely implementation of programs. Procurement can, of course, be done individually or can be packaged. The advantage of packaging, particularly in an integrated program, is the minimization of cost both in unit price and processing time. However, delay in implementation can occur and is an important consideration in the choice of a procurement arrangement.

3.4.2 The starting point in any procurement is the preparation of a bid document, which is basically the specification for the goods/services required. The content, arrangements and volume may vary according to the size and type (equipment, civil works, consultancy, ICB, NCB, etc.) of procurement to be done, but it should be clear, comprehensive and that the goods/services are described with sufficient details to form the basis for competitive bidding. In the standard situation, after the bidding documents have been prepared, notices will be given in the appropriate media with sufficient instructions and documents should be ready for sale from the dates the notices are printed or announced in the media. The fee should not exceed the cost of producing and delivery of the bid document.

3.4.3. Bid opening and evaluation procedures should and will comply with internationally accepted standards and shall be done in a transparent manner with provision for protest and redress. For major public procurement, a joint civil society-government tender oversight body shall be established and maintained throughout the program period. The major elements in the bidding process are the formation of a tender committee, opening of bids in the presence of bidders, staged and detailed evaluation of bids, the determination of the three successful winners of the bid and notification of the top winner.

3.4.4. Once the evaluation process is complete and the winners are identified, the successful bidder is promptly notified in writing and the contract form is sent with the notice. After the signed contract is returned from the successful bidder, the unsuccessful bidders shall be

notified. The remaining essential part after the award of contract is the administration of the contract which would naturally vary with the type of contract. The details of the procedure and current regulations, directives and manuals will be available on request.

3.5. Construction Implementation

3.5.1. The construction of any institution for social services need to comply with preset criteria for selection of a site, environmental considerations, gender sensitivity and good practice in the construction process such as supervision of work, payment procedures and reporting on progress.

3.5.2. Because of the integrated country-wide approach to the program and the advantages of a minimum standard to control the quality of institutions to be built, it has been agreed upon to provide the Regional States with drawings, technical specifications, typical details, alternatives and guidelines related to climatic zones, ground conditions, building materials, sample conditions of contract, bills of quantities and mechanism for site supervision. These documents are available for interested parties on request. It must be pointed out that a plan for preventive maintenance of each institution and the involvement of the community during implementation and thereafter is in place and it is expected to assure cost effectiveness and sustainability.

3.6. Textbook Provision

Ethiopian today has a textbook provision mainly run by the public sector. It is envisaged that there will be a gradual move from the present situation of dominance by the public sector towards private publishing and provision of textbooks in line with the principles of market economy. In order to achieve this objective it is intended to take some measures during the present five-year sector development program. Some of the major actions shall include the adoption of a textbook market, the replacement of producer subsidy by consumer subsidy and the development of a private publishing and printing capacity.

3.6.2. Since the vital components of privatisation are not yet in place, it is intended to move gradually and in phased manner. In particular, the envisaged capacity expansion and gaining of experience of the Ethiopian publishing and printing industry can be foreseen to take time. The speed at which individual regions move through the transition will also depend on the availability of the appropriate capacity and private sector interest.

3.6.3. The timely and sustainable provision of pharmaceutical can have a tremendous impact on the quality of care and confidence in the health service of a country in general. Most of the drugs utilized in Ethiopia are purchased from outside sources, but there is an old drug factory which covers about 30% of the basic requirements of the country. Recently, one drug factory is opened in the northern part of the country and it is facility distribution. Other small pharmaceutical factories are also being opened which would enhance the availability of some medical supplies.

3.6.4. Production, procurement and distribution of drugs, medical supplies and reagents have recently been solely done by a public body, EPHARMICOR, but this has been altered now by separating and changing the production and the purchasing branches into public enterprises. PHARMID is thus at present the major importer, procuring and distributing agent both for the public and private sector. It has a number of branches throughout the country and the experience necessary to assure a sustainable supply of the required drugs and medical supplies, particularly if it improves on some of the bottlenecks it manifests at the moment. Private firms can also engage in the production and supply of drugs and there are encouraging signs that they will once again play a significant part in the sector, though still limited to urban centres.

3.6.5. It is expected that during the present five years of the program period the major purchaser and distributor of drugs would be PHARMID, particularly for external purchase. There could be economic of scale and relative efficiency for the regions by purchasing together. However, it is important that the Regions gradually build their capacity to acquire their supplies starting with local purchase and distribution.

3.7. Monitoring, Review and Evaluation

3.7.1. The purpose of a monitoring and evaluation system is to support the further planning and decision making that takes place during program implementation at different levels of management. The key characteristics are accountability, learning and development. The information needs of different stakeholders in the programs would vary according to their roles and responsibilities in management and implementation. A quality information should not only be able to produce information according to the specific needs of the stakeholders but must be adequate, relevant, accurate, timely and useful. Moreover, for the system to have clarity and be maximally useful, terms such as goals, objectives, inputs, outputs, reporting, monitoring, review and evaluation as well as concepts related with assessing performance, namely efficiency, effectiveness and impact, must have common understanding by the stakeholders.

3.7.2. The key elements for a successful program management and implementation are a hierarchy of objectives, a set of concrete and measurable indicators, quantifiable outputs and an acceptable level of performance. The agreed indicators are the most important management tool for monitoring, review and evaluation purposes. Indicators are always directly linked to the objective setting of a program. Moreover, a complex and diverse program such as in the education or health sector, would require a comprehensive set of indicators for assessing the system level performance and resource allocation and utilization, quality of service delivery and the management process and the outcome of the program. For every indicator, base-line data as well as annual targets need to be established.

3.7.3. Monitoring of the SDPs will be based on quarterly and semi-annual monitoring and reporting cycles. To facilitate the use of information in decision-making, all reports will present cumulative information for a full year. The annual plans to which achievements are compared will also be presented in the reports in a summarized form to facilitate the assessment of performance. Current reporting formats can be found in the appropriate manual.

3.7.4. The quarterly reports need to focus on efficiency of implementation and its main contents must be progress in production of planned outputs, implementation of activities, utilization of inputs as well as information on actual expenditure (both capital and recurrent) during the reporting period. The responsibility of the quarterly report and monitoring is that of the implementing and supervising institutions.

3.7.5. The role of the semi-annual monitoring and reports is to provide information on the effects and impacts of implementation to all stakeholder, including external funding agencies. It should focus on outputs and indicators at component and program levels, with the first semi-annual report describing the progress by each component while the second giving information on program performance and the progress in relation to goals and core indicators. The responsibility of the semi-annual report is that of the Regional and Central Secretariats while the consolidated semi-annual report on the sector performance and comparison between the Regions is that of the Central Secretariat.

3.7.6. A review process provide an important opportunity for stakeholders to take stock, reflect on the whole program, exchange views and learn from experience, with a view to problem-solving and possible reorientation of the program. The responsibility for arranging an annual joint review mission and a meeting of all stakeholders immediately following it will be that of the CJSC. The preparation must include writing of a terms of reference, recruitment of a review team, making available background documents for the review mission and arranging

the joint meeting for stakeholders. The most important system, sustainability of the program and identification of needs such as technical assistance, an in-depth study of a problem or program evaluations.

3.7.7. Finally, occasional impartial and independent evaluations are an important supporting element to monitoring and reviews. The preparation for the mission could be similar to that of the review process but must be done jointly with donors. The results of reviews and evaluation will be appropriately disseminated to stakeholders and in a timely fashion.

PART IV: CHALLENGES: AN OVERVIEW

4.1. Ownership and Priority Setting

Ownership of a development program by the people who commit themselves to the realization of the program objectives, and at the end benefit from the outcomes is a key success factor in SDPs. In a situation where there is disparity in the level of development and distribution of resources among different political geographical areas, the issues of equity, access, needs and capacity become major development agenda.

The challenge becomes, therefore, developing a partnership that can stand up to the needs and expectations of the rural poor in priority setting. This, of course, would require the willingness of all interested parties to support interventions that are based on agreed needs and realistic targets commensurate with the capacity available at the grassroots.

4.2. Harmonization and Coordination

These two concepts are central in the design of SDPs. The program approach demands a multi-sector, multi-agency collaboration in terms of developing shared goals, pooling resources, using common implementation arrangement. It takes time for institutions/agencies to leave their "flags" and harmonize their strategies, approaches, project design and implementation procedures of finance, procurement, etc. When the progress made in harmonization is weak, coordination of the management of SDPs becomes complex and challenging.

Given the complementarity of harmonization and coordination a workable mechanism of SDP implementation should be considered as an important factor in deepening partnership.

4.3. Networking Sector-Wide Performance Data

Monitoring and evaluating the success or failure of SDPs should be based on a comprehensive and reliable database. This task becomes a challenge as a result of information being kept and not shared by individual executing agencies. Agencies with a strong tendency to use their own criteria of performance measure and tailored format for reporting, overload implementers with their specific requirements on one hand, and make comparability of data difficult, on the other hand.

Ethiopia's experience in meeting this challenge is introducing National Health Accounts, Health Care Financing Strategy, Education Cost Sharing Strategy and Networking with institutions that coordinate the activities of the private sector, non-governmental organizations, bilateral and multilateral donors.

4.4. Coherence of Reform Policies

Institutions and agencies initiate and develop policies that they believe will serve their mission. SDPs require an integrated and complementary approach in policy development to achieve synergy and stronger impact from their implementation. This challenge can be met if coherence in the process of policy development is considered an important tool of decision-

making. Partners should play an important role in identifying linkages among reform programs and avoiding anomalies that could jeopardize development objectives.

4.5. Resource Mapping and Flow of Funds

A major area of resistance in supporting SDPs is the concept of "common basket" or "pooling resources". This challenge is more complex than the other challenges. In order to translate SDPs into a program of expenditure, all partners should be willing to put their resources into one channel. Planning and budgeting can then be done on the basis of resource mapping that satisfies the interests of donors as well as matches resources with activities.

SDPs, commonly implemented on the basis of medium-term rolling plans, should be supported by a Public Expenditure Program. For this purpose project profiles, resource needs and sources of funding should be mapped and subscribed.

As a result of funds not going to a consolidated budget, the flow of funds for different subprograms or project profiles becomes erratic. This is a major challenge of synchronizing the planning and budgeting process of SDPs. As a transitional strategy, Ethiopia has agreed to use three different channels for the flow of donor funds. However, the financial management and tracking of disbursement is still too cumbersome, and transparency is undermined.

4.6. Systemic Management of Change

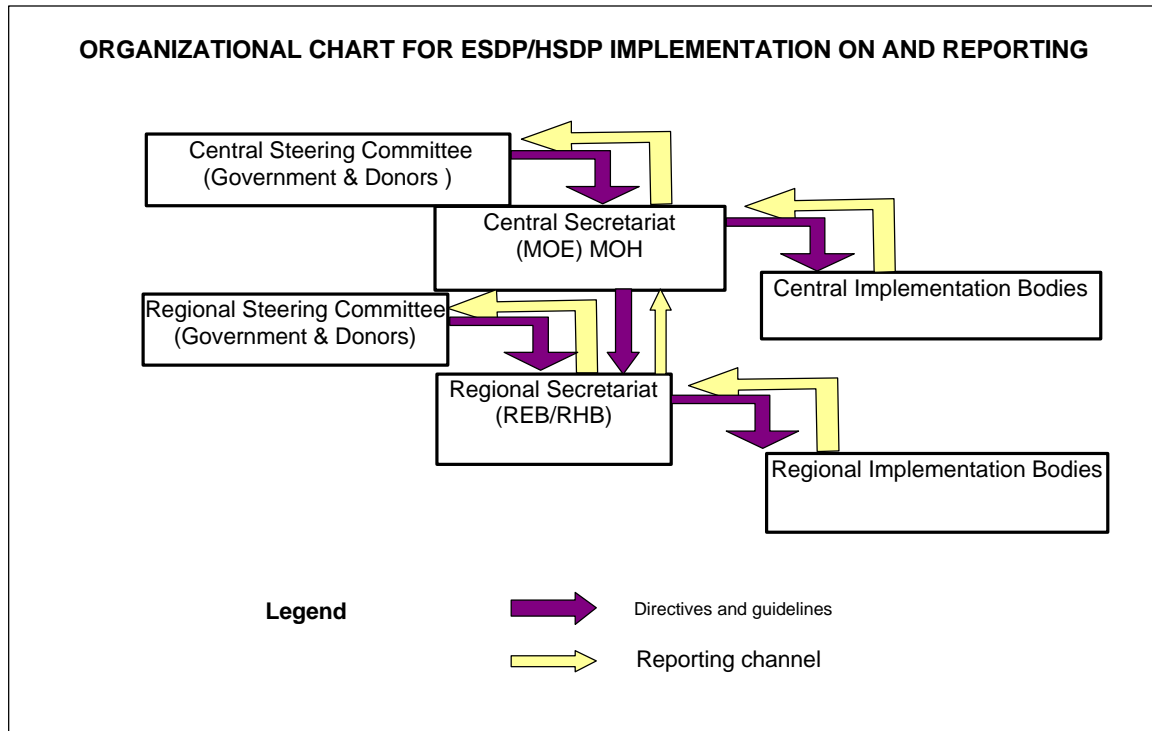
SDPs in Ethiopia have ushered in a new orientation to the management of development programs. Their implementation should be conceived as a process involving three important stages, i.e. a learning process sensitisation stage, and consolidation (institutionalisation) stage. This process is best managed if SDPs are canvassed within the bigger and systemic process of reforms and changes.

Policy objectives, strategies and programs should achieve internal consistency and serve national development goals. For instance, SDPs are envisaged to impact on poverty reduction, environmental protection, respect for human rights, etc. It is, therefore, a challenge to pursue SDPs objectives in the context of a comprehensive Development Framework (CDF) in order to maintain the dynamism of change and ensure the sustainability of the programs.

Within the concept of partnership and participatory development, the empowerment of people to manage matters that affect their lives is a basic essence. Empowerment in SDPs is manifested in a tangible way through capacity building in all its senses. The Capacity Building Initiative for Africa would serve to meet the challenge of systemic management of change.

SDPs are, undoubtedly, complex but the expected outcomes can offset the transitional apprehension. Creating the enabling environment is an important step to see the light at the end of the tunnel. Shared vision and mission, forward looking strategic leadership and knowledge-based program management would keep us on the right track.

ANNEX -1: ORGANIZATIONAL CHART FOR ESDP/HSDP IMPLEMENTATION ON AND REPORTING



ANNEX : 3

SDPs PERFORMANCE: A SNAP-SHOT

SECTOR/ INDICATOR	ANNUAL PERFORMANCE		
	BASE LINE	1997-98	1998 -99
ESDP			
Gross Enrollment			
• Primary	34.7	41.8	45.9
• Secondary	8.4	8.9	9.7
Infrastructure			
• Primary Schools	10,394	10,752	11,051
• Secondary Schools	369	382	386
Student : Teacher	42	47	51
Student: Book	5.1	5.3	5.2
Share of Expenditure	14.5	13.8	15.3
HSDP			
• PHS Coverage	48.5	51/0	52.4
• Potable Water	23	25	32
Infrastructure			
Health Posts	2,451	3,133	3,280
Health Centers	257	276	304
Hospitals	87	90	100
Pharmacies	197		272
Drug Shops	148		243
Rural Vendors	1,460		1,858
Health Workers			
Specialists	314	279	300
General Partitions	1,169	1,124	985
Health Officer	30	75	144
Nurses	4,114	4,774	5,485
Paramedics	1,788	1,772	1,989
Share of Expenditure	5.8	6.0	6.4

H. Towards Successful Stakeholder Participation: Acknowledging Winners and Losers in Programme Design

Désirée Dietvorst

Since 1997, a series of regional events have helped to establish a regular platform of exchange between implementers of sector reform programmes from a growing number of African countries. In the course of these events a number of concerns keep cropping up, relating among others to the facts that at every stage and at every level of the process there are winners and losers. Failure to take this into account prevents effective partnership in programme implementation and eventually leads to dead-ends and grinding halts.

Sector programmes share a common objective of cost-effective public sector spending. They tend to be growth oriented and rather than doing everything everywhere (as used to be the paradigm of many governments) they make expenditure choices. For the agricultural sector, this has led to a withdrawal of government resources from services that are best provided by the private sector (e.g. Zambia and Kenya) or a re-focusing of public resources in a geographical manner, namely by concentrating on areas of high potential (e.g. Mozambique). Cost-recovery measures are a feature of social sector programmes also, as expressed by the introduction of hospital and school fees under health and education sector programmes.

In this changing context, effective participation is a means to achieve the dual aims of a coordinated resource use (i.e. from a fragmented to a cumulative impact) based upon an optimal utilisation of complementary qualities of all partners concerned.

Partners in conflict

The public versus the private sector

To streamline government structures and to make its resources go a longer way requires a redefinition of roles between the public and the private sectors. Therefore a Core Function Analysis (CFA) of the responsible line ministry is a critical component of most sector programmes. Institutional reform should be an early station in a programme trajectory. It is also widely acknowledged to be the phase where programme progress risks to come to a halt. Thus far, the CFA and associated reform measures are considered the domain of the ministry concerned. However, a question increasingly raised is whether the ministry really is the most appropriate stakeholder to facilitate a process from which it perceives to loose.

Earlier programme concepts tended to include an assumption that activities released by the public sector would automatically be absorbed by the private sector (e.g. the World Bank's 'nature does not allow a vacuum'). Meanwhile, it is realised it is not this simple and that the private sector does need to be strengthened to help it take on its responsibilities under a Sector Programme. Certain key issues keep coming up:

- Conflict of interests: Weak governments are not served by strong and articulate private sectors. Comparison of country experience shows that many ministries responsible for Sector Programmes perceive the private sector as a threat rather than a partner.
- Inadequate public sector reform has had a debilitating effect on private sector establishment and development. However, to try and involve the private sector while concurrently maintaining a large contingent of permanent-pay-roll staff often means that resources intended for private sector contracts continue to be spend on staff salaries. Service provision suffers as an overall result.

- Unclear public-private sector boundaries are a growing constraint. In Zambia, the lack of a strong private sector network led to the adoption of a 'transition period' during which civil sector staff is allowed to act in a private capacity to enable the transfer of government responsibilities. This led to non-transparent tendering procedures and a situation that is difficult to reverse.

The combined effect of these constraints leads to a continued trickle of free or subsidised services and inputs: Either through official government channels or in the form of hidden subsidies to semi-private (or semi-public) enterprises. This creates unfair competition and an un-level playing field, which prevents the private sector from getting a foot on the ground, particularly in areas of limited demand.

Isolated versus non-isolated areas

It is often argued that vulnerable, resource poor stakeholders are at risk of loosing out in a sector programme context. A fear is that (horizontal) crosscutting concerns such as poverty and food security are difficult to address through a complement of (vertical) sector programmes. While it is hard to judge the impact of a sector programme on a vulnerable (often non-articulate) stakeholder group, data are available on an area basis. Zambia's agricultural programme showed that the withdrawal of government services had left people in isolated areas in a service-vacuum with negative repercussions on food security.

Mozambique's ProAgri focuses on high potential areas. The programme's objective to realise maximum gain on investments can be justified in a context of limited public means coupled to a need for rapid growth. However, this does not need to imply that the low potential areas are cut-away from development efforts all together. When (human and capital) resources are pooled across sectors, the contribution per sector may be acceptable while the accumulated total available is sufficient to carry out highly targeted action in low potential areas.

National versus decentralised levels

Sector programmes have introduced two important measures to promote a more demand-driven service provision: a decentralisation of decision-making and the involvement of stakeholders in planning and decision-making.

Decentralisation commonly refers to planning, less often to financial management. Stakeholder platforms are established at different levels and programme planning is intended to be a 'bottom-up' process with a cross-section of stakeholders' views represented in the ultimate programme. However, sector programmes place enormous responsibilities on decentralised levels, which bear no relation to their capacity or even potential. At the same time, experience shows that an effective channelling of resources to lower levels and to ultimate beneficiaries is difficult. Many resources tend to be used at national level for human capacity building, transport and office equipment. Though these are key-components of a management structure, they are only a means to an end, not an end in themselves.

Community versus the public sector

Where grassroots level stakeholders used to be rather passive recipients of (government) services, they are now expected to almost formulate the programme. However, this is neither feasible nor realistic. Much of what comprises the Sector Programme depends upon national level coordination and planning. At the same time, stakeholder platforms established under sector programmes suffer from a lack of capacity, limited operational means, and a lack of continuity.

In a liberalised market-context, communities need to redefine themselves into active and informed clients of a range of service providers (one of which may be the public sector). In

addition, privatised services may need to be accessed higher up the service provision chain, requiring some organisation of demand and supply at grassroots level. Capacity building at a community level is crucial in enabling these stakeholders to assume their changed role.

Effective strengthening of stakeholders creates an environment in which different actors can take on their responsibilities as well as articulate their rights. It represents the most sustainable route towards greater accountability and transparency. However, although informed and vocal stakeholders may benefit a demand-driven development process, their interests may not always coincide with those of the government and support to their strengthening may not be feasible from within a public sector managed budget.

Can partnerships be fostered by effective programme design?

For sector programmes to be successful, their design has to include an acknowledgement of

- the conflicting interests of stakeholders within a sector
- the difficulty to support stakeholders outside the public sector while the locus of management and financial control is with the government and
- the vulnerable position of people in remote areas in a liberalised environment.

The following are suggestions towards integrating a response to these concerns into sector programme design.

Allow for external facilitation of Core Function Analyses

The call for external facilitation of institutional reform is getting louder. Even senior civil servants admit that their ability to preside and decide over the fate of (long-term) colleagues is limited. In Zimbabwe independent consultants have been contracted to assist the Ministry of Agriculture's institutional reform and organisational development. In Kenya, a private consultant company was hired to develop 'public sector exit plans' and 'private sector entry plans'.

Add a geographic dimension to the Core Function Analyses

In the course of sector programme implementation, a situation may occur in which the public sector re-claims non-core functions from the private sector following a negative programme impact on vulnerable groups and thereby jeopardises private sector development gains. In order to prevent this from happening, it is proposed to introduce an area-sensitive core-function analysis, at the start of implementation. Rather than assessing a public sector's core functions only on an activity-by-activity basis, an area perspective needs to be added. For certain groups of activities one can then define the required public-private sector mix of responsibilities along an axis from centre to periphery or for different geographical area categories such as non-isolated and isolated, high or low potential areas.

For example, marketing tends to be considered a clear private sector responsibility and is classified as a non-core function in a public sector's CFA. However, in areas with sparse private sector networks, there may justifiably be a public sector role, as long as this supports private sector growth, e.g. through (contracting out) research on potential market crops and the dissemination of market information.

A further opportunity is that this strategy of private sector strengthening can be linked to the process of public sector reform. Public sector staff that have become redundant, can be helped to capitalize on their experience by government tendered contracts covered under the Sector Programme budget.

Assess the scope for a horizontal, regional Sector Programme fund.

A close review of Sector Programmes and their components can distinguish between, what can be termed, 'negotiable' and 'non-negotiable' activities as follows:

- Non-negotiables: Activities which represent government core-responsibilities, need national planning and coordination and can be implemented in a top-down manner;
- Negotiables: Activities in which the budget foresees but whose inclusion in a sector programme is optional and can be made dependent on locally identified priorities. Implementation is demand-driven and based on a bottom-up process.

First, the role of local stakeholders can then be defined as responsible for the planning, coordination or implementation of the 'negotiable' Sector Programme component. The limited and more practical responsibilities of stakeholder platforms can then be matched by more targeted, cost-effective and feasible capacity strengthening programmes. Second, budget procedures related to the resources allocated to these activities would need to be amended to give decentralised levels the flexibility to set and address their priorities. A way of doing this would be to remove the funds for 'negotiable' activities out of the vertical sub-programme structure and to relocate these funds into a horizontal crosscutting budget to be divided over the districts (e.g. using indicators of local need and potential).

The budget for non-negotiable activities would continue to be managed by the responsible line ministry and would represent a true public sector investment budget. This budget would be clearly and closely related to the core-functions of the responsible ministry and its departments. This review of activities and associated relocation of the budget presents district staff and stakeholders with a more realistic view on the amount of funds that actually can be decided upon at local levels and the kind of activities that fall within the responsibility of local stakeholders.

Review the locus of Sector Programme (financial) management

An appropriate locus of management should be identified. It is important that sector programmes continue to be sector-wide in scope, and are not limited to the action radius of the responsible ministry (ministries). The Sector Programme budget, therefore, should include funds to strengthen stakeholders outside the public sector. These may need to be labelled non-public sector funds and should be made accessible across sub-programmes. Whether this creates the need for a locus of management outside the responsible ministry is probably a matter of investigation on a case-by-case basis.

In conclusion...

For stakeholder participation to become the driving force of development as is envisaged in a sector reform programme, we have to acknowledge, and subsequently accommodate, the varying and often conflicting interests of different stakeholders. Adopting the 'politically correct' assumption that 'since development programmes are in every one's interest they should be supported by all' is rather closing our eyes to the realities of programme implementation. Experience shows that national governments are not always the best facilitators of every programme stage or component. However, this does not need to turn into a 'killing factor' of programme progress. Alternatives to the common sector programme set-up, with a near total leadership by the responsible ministry, may have been explored insufficiently. This paper has attempted to present potential adaptations to sector reform programme design that take some of the obstacles towards true partnership into account.

I. Balancing Stakeholder Interests in the Animal Production & Health Sub-programme, Zambia

P.G. Sinyangwe and N.J.L. Clinch

Introduction

SIPs are designed to achieve significantly greater programme efficiency through the harmonisation of state and donor investments within the relevant sector. The harmonisation of investment is accompanied by adjustments in the institutional and operational frameworks of the sector leading to increased overall sectoral efficiency and effectiveness. These improvements are often characterised by changes in the roles of the institutional groupings: the public sector, the private sector and the non-profit sectors, and in changes in the relationships between donor and recipient governments, between service providers and service recipients and between producers and regulators.

In this change process, individual organisations, individual institutions and individual persons will emerge as winners and losers but, critically, the overall winner must be the programme, the sub-programme or the component and its intended beneficiaries or target group. If this is not the case then the SIP or its component is failing to achieve its goal.

APHsP, ASIP, Zambia

The Animal Production and Health sub-Programme is one of a number of sub-programmes within the Zambian Agricultural Sector Investment Programme. The sub-programme is endeavouring to identify and implement a more cost-effective and efficient mechanism of livestock service delivery to enable the broad range of livestock keepers to increase overall production and, consequently, to increase the contribution of the livestock sector to GDP. This is being attempted through a variety of institutional tools including privatisation, commercialisation, the use of public/private partnerships, sanitary mandates, structural reorganisation, market stimulation and industry promotion.

Stakeholders, beneficiaries and target groups

Individual groupings of stakeholders are often broadly divided between the public sector, the private sector and the NGO or non-profit sector. Within these groupings there exist smaller distinct groups whose interests are often quite different. For the APHsP these include commercial livestock producers, traditional livestock producers and keepers, commercial service providers, non-profit service providers, civil servants, investors, livestock product processors, and livestock product consumers.

At the level of an individual sub-programme, key beneficiaries and target groups are clearly identified and their needs should be targeted. For the APHsP, livestock producers and keepers are the key beneficiaries with the activities of the other stakeholder groups directed towards stimulating the endeavours of the producers. Ideally, the success of this primary beneficiary grouping will reflect on the success of the programme and have knock-on effects on other stakeholder groups.

However, the reality is that different groups will have different interests and some will benefit disproportionately from the changes in position and responsibilities and this can lead to a perspective of winners and losers.

Winners and losers

The perception of winning and losing can, of course, vary. For the interests of the sub-programme the perception must relate to the stated objectives and can be measured using identified indicators. Winning can be perceived as a quantifiable achievement of stated targets and losing perceived as the converse of that.

For individual stakeholder groups, organisations or individuals, the perception of winning and losing may be very different and with increasing private sector interest and clear profit motives, the reality is that winning and losing is measured in terms of financial gain. Unfortunately, in SIPs, access to public funds (whether they originate with donors or Government) is often the measuring stick and programmes that alter the operational framework of the different sectors (like the APHsP), winning and losing is perceived as a competition between animal health and animal production, private individuals/companies and civil servants, the commercial sector and the traditional sector.

The public sector versus private sector is a particularly damaging concept with civil servants perceived as losing out to private companies as more and more work is contracted out to the private sector and the demand for civil service reorganisation increases. Since it is often these civil servants who are making the fundamental decisions on policy reform and implementation, conflicts of interest arise and real change is often compromised. Likewise, the views of the private commercial sector can be distorted by vested interests.

Consequently, in the environment of a public sector investment programme, there is little likelihood that producer interests will be to the fore. It is more likely that the interests of the public sector or the commercial private sector will take precedence and it is difficult to avoid the conclusion that the primary beneficiaries of SIPs are infrequently the intended target groups. For the APHsP, the livestock producers and keepers views must remain paramount, but it is often that these groups are often inadequately catered for or even represented and end up on the losing side whichever perception you choose.

Checking Up

To ensure that there is overall gain and that there are more winners than losers, effective programme monitoring is critical. An effective M&E system is essential with indicators of the livestock industry as well as indicators of poverty reduction backed up by action from leaders to redress the situation if things are going astray. To support this within APHsP, an independent support process in the form of a Technical Advisory Group (TAG) and a Private Sector Development Unit ensure that the broad policies of the sub-programme are being adhered to and that the interests of all groups are being considered. In addition, steering bodies with broad stakeholder representation such as the ASIP APHsP Implementation Committee provide guidance and group specific lobby groups such as the ZNFU, the Peasant Farmers Associations are able to apply pressure if they feel their interests are not being adequately addressed.

Poverty Reduction

Zambia has produced a National Poverty Reduction Action Plan (NPRAP). It is intended that a Poverty Reduction Strategy Paper (PRSP) will be completed by early 2001. It appears that poverty reduction is considered as the major crosscutting in the country's development in its position as a "supra-sectoral" strategy. As such, there is little argument that it should cut across all SIPs and sub-programmes thereof.

However, the cursory attention given to livestock production and health within the NPRAP document leads to the conclusion that the subject is better handled at SIP or sub-component level. The higher the organisational level, the more superficially the subject is treated. By

insisting that individual sub-programmes incorporate a poverty reduction focus in the same way that gender and environmental sustainability are handled, it is more likely that impact will be achieved.

It appears that, whilst decentralisation is often promoted to allow local, stronger, management, critical issues such as poverty reduction end up being managed at supra-SIP level.

Conclusions

Given the broad range of stakeholder involvement in most SIP sub-programmes and the wholesale changes that are central to most programmes, it is inevitable that some groups will benefit more than others, that some will "win" and some will "lose". However, only if the perspective of "winning and losing" is taken at sub-programme level can a realistic assessment of victory be made.

Of concern is the reality that the perceptions of "winning and losing" are made at individual levels and that these perceptions can lead to distortions within policy development and implementation. To address these concerns, independent support mechanisms must be put in place and the interests of all stakeholder groups be heard at appropriate fora.

For an effective poverty reduction focus to be achieved the sub-programme must incorporate the strategy as a key component of its policy framework and adjust its target groups and programmes accordingly. The danger with the establishment of a Poverty Reduction Co-ordination Department (PRCD) is that, in the same way that "gender issues" are conveniently dumped on the "Gender Officer", so poverty reduction will be seen as the responsibility of the PRCD.

J. Poverty Reduction Strategy Programs as an Alternative to Sector Investment Programs: The Case of Kenya

J.W. Gachanja and Stephen Wainaina

1. INTRODUCTION

Kenya's primary Development Goal is to achieve a broad-based improvement in the standard of living and the well being and welfare of all Kenyans. The critical challenge facing Kenya today is to raise the rate of economic growth to begin to reduce poverty, which has been rapidly increasing for the past five years. Kenya's economic growth rate declined from an average of 5-8% in 1970's to 4.2% in 1980's and to an average 2.3 percent in 1990's which is below the average population growth rate. It is projected to be a low 1.5% in the year 2000. As a result of this deceleration in the average economic growth the living conditions of the vast majority of Kenyans have stagnated or worsened, and they cannot now afford basic food, shelter, clothing, medical services clean water and education. Therefore the Government has realized that its immediate priority is to restore and sustain rapid economic expansion necessary to reduce the incidence of poverty. Simultaneously the Government intends to take same short-term measures to address some critical causes and manifestations of poverty.

After realising the failure of past policies and development plans to reverse the declining trend of economic growth the Government has set out to formulate renewed strategies that Kenya will adopt to reduce poverty and specifically the measures that Kenya will adopt that will be implemented in the medium term 2000/01-2002/03. To this end the Government is in the process of formulating a Poverty Reduction Strategy and has currently produced an Interim Poverty Reduction Strategy Paper as well as a medium Term Expenditure Framework (MTEF) 2000/01-2002/03. The Strategy outlined in the IPRSP the Government has produced is

expected to be used by Government as a National Planning Framework upon which detailed sectoral priorities, programmes and allocations will be developed with hard budget constraints determined by projections of economic performance. The (MTEF) will provide the avenue for implementation. The strategy is well linked with the National Poverty Eradication Plan, which is a long-term vision document earlier prepared by the Government. This was followed by the creation of the Poverty Eradication Commission (PEC). Kenya's Interim Poverty Reduction Strategy has five basic policy objectives:-

- To facilitate sustained, rapid economic growth
- To improve governance and security
- To increase the ability of the poor to raise their incomes
- To improve the quality of life of the poor and
- To improve equity and participation.

This brief outlines the process and progress that has been made towards the formulation of the poverty Reduction Strategy Paper, its linkage to Sectoral strategies and the challenges faced by the government in formulation of these Poverty Reduction Strategies.

2. Consultative and Participatory Process

In recognition of the importance of using a consultative and participatory process in formulating Kenya 's policies, national objectives, priorities, programs and projects, the Government decided to use a consultative and participatory approach with all stakeholders in its formulation of the Poverty Reduction Strategy. The objective of the wider consultation and participation is to ensure that there is broader consensus on policies and that local values and needs are internalised effectively in policy initiatives. The goal will be seek more effective implementation of those policies and initiatives which enjoy broad national support. The Government therefore initiated a broad-based process of consultation with all stakeholders on the approach and policies to be implemented to achieve higher economic growth and to significantly reduce poverty. The process of consultation started formally in 1998. Initial consultative were held within Government Circles in a series of events in form of Workshops for senior Government officers (at permanent Secretary level and above) where Economic performance and Public Sector Management Issues were discussed. The workshops also discussed Public Expenditure Review Report (1997). In these discussion forums a weak linkage was noted between the Annual government Budgets and national policies as articulated in the National Development Plan, Sessional Papers, Policy Framework Papers and Public Investment Programme. Discussions identified the lack of clear functioning process for prioritisation of Government Expenditures and recommend the implementation of comprehensive public sector reforms and adoption of a Medium Expenditure Framework as a mechanism to implement national objectives and policies. Reduction of poverty and improvement of the well being and standard of living of all Kenyans emerged as the national priority from these initial consultations. It was recognised that the central focus and primary objective of macro-economic and sector policy programs and projects must be to reduce poverty. From these beginnings the preparation of a poverty Reduction Strategy Paper Started and its currently continuing using a broad consultative and participatory approach to generate home grown strategies and policies for reducing poverty in Kenya.

The Government began the process with the preparation of Poverty Reduction Strategy Paper (PRSP) and by establishing a Medium Term Expenditure Framework, which is intended to serve as the mechanism for implementing the new strategy. In 1999 a Secretariat and Six Sector Working Groups were constituted as follows:-

- Public Administration
- Agriculture and Rural Development

- Human Resources Development
- Physical Infrastructure
- Trade, Tourism and Industry
- Public Safety Law and Order

In addition, a Macro working group was also created to prepare

- Macro-economic projection.

The Secretariat and the working groups are working closely with Line Ministry 's departments and other agencies to define development vision; objectives, priorities, strategies and finally programs and projects. Consultations have taken the form of workshops seminars and meetings at National, District, and locational level to critique, enrich and strengthen the PRSP draft document prepared by the Government. Target Groups for consultations include Government Officials, Members of Parliament, Development Committees, Non Governmental Organisations, the private sector, civil society, churches, opinion leaders, cooperative association, professionals, among others.

This process is expected to culminate in a final comprehensive Poverty Reduction Strategy Paper (PRSP), expected to be issued in the first half of 2001.

PROGRESS OF PRSP FORMULATION

<u>Date</u>	<u>Event</u>
April 1998	<p>Workshop discussions at Senior level on Economic Performance and Public Sector management.</p> <ul style="list-style-type: none"> - Discussion of Public Sector Review of October 1997. - Endorsement of Public Expenditure Review report findings and recommendation to introduce a Medium Term Expenditure Framework as the mechanism to implement national development policies and objectives. <p>Mbagathi Consultative forum held to review economic performance, achieved by President Daniel Arap Moi. Meeting noted weak linkages between annual Government Budgets and national policies. Meeting identified lack of clear and functioning process for privatisation of Government Expenditures. Meeting agreed on to set measures to reverse the economic decline.</p> <p>Mbagathi II Forum was also held later in the year to review progress.</p>
October 1999	<ul style="list-style-type: none"> - Senior level government officers workshop which recommended full adoption of comprehensive public sector reforms; implementation of MTEF in the 2000/2001, Budget which was later approved by the Cabinet in December 1999. - National priority for the Government identified as Reduction of Poverty and improvement of well being and standard of living for all Kenyans.
December 1999	<ul style="list-style-type: none"> - Government established a Medium Term Expenditure Framework Secretariat and Six Sector working Groups who started the preparation of the Poverty Reduction Strategy Paper in consultation with line Ministries/departments and other agencies.

- February 2000 - Production by Government of a Preliminary Draft of the Interim Poverty Reduction Strategy Paper (2000-2003.)
- 15-18th March 2000 - Official Opening by Ministry of Finance National of the Stakeholders Consultative Forum on the Interim Poverty Reduction Strategy Paper and the Medium Term Expenditure Framework 2000/02-2002/03.
- Emergence of several cross cutting issues at the end of the forum. These were:-
- . . . Need to enhance and build partnership and participation of Kenyans in decision-making
 - . . . Gender mainstreaming
 - . . . Need for affirmative action on vulnerable groups
 - . . . Need to improve education and health
 - . . . AIDS as an issue affecting all Kenyans
 - . . . Security and good governance as a priority action
 - . . . Need to improve infrastructure
 - . . . Weakness in monitoring and evaluation of policies and development programs
 - . . . Need to decentralise the consultation process to districts and communities.
- June 2000 - Production by the Government Draft Interim Poverty Reduction Strategy Paper 2000 B 2003, having incorporated to a certain degree the concerns of the National Stakeholders Consultative Forum.
- The draft contains a participation Plan targeting districts and Communities, provinces, national level, parliamentary level, private sector, development partners, women and public media. (budget)
- After participation plan final draft of Revised PRSP will be produced.
- October 2000 - The Sector Working Group are reconstituted with the six sectors being maintained, but with a sector on National Security (curved out of Public Safety), Law and Order and an eighth sector on Information Technology being created. The independent Macro Working Group is also Maintained. Also established are National Steering Committee composed all Ministries and Stakeholders including NGOs, Development Partners, Professional Associations, Professionals and other Key Stakeholders. This forum's activities are to be guided by the Cabinet Economic Committee led by the Vice President and will report to the cabinet. The District Consultation Forum is also launched to work under the District Consultation Committees.
- November 6 2000 - Launching of the District Consultations by Minister of finance.

3. Highlights of the Interim Poverty Reduction Strategy paper.

The formulation of the Interim Poverty Reduction Paper is discussed under the following Topics.

3.1 Poverty in Kenya Today:

The overall national incidence of poverty stood at 52% as in 1997. Major characteristics of the poor include landlessness and lack of education. The poor are clustered in certain socio-economic categories that include small farmers, pastoralists in ASAL areas, agricultural labourers, casual labourers, female headed households, lie physically handicapped, skilled and semi-skilled workers, HIV/AIDS orphans and Street children. Inequitable access to means of production, reduced access to economic goods and services others are causes of poverty.

3.2 Macro-Economic Stability

Kenya 's macro-economic strategy for the next three years is aiming at progressively increasing per capita Gross Domestic Product Growth to at least 2.5-3 percent per year on a sustainable basis, keeping inflation below 5 percent; and maintaining import reserves cover to 4 months. This will be achieved on condition that visible progress is made in the area of governance so that the corruption faced by the private sector is reduced and public resources are effectively allocated toward improving infrastructure and security; allocation of resources is improved through broadening of the scope of structural reform including improving the regulatory environment affecting the priority area of agriculture which has direct implications for poverty alleviation; the government plays a pro-active role in facilitating the expansion of the private sector and assists the private sector gain access to export markets and attract foreign investments.

3.3 IMPROVING GOVERNANCE

Other macro-economic measures to be taken include acceleration of ongoing tax reforms to improve investment environment, immediate priorities to improve Governance are targeted at reducing corruption through Kenya Anti B Corruption Authority and tightening controls.

3.4 Raising Incomes For the Poor

To be achieved mainly through agricultural growth. Immediate priorities have been identified as streamlining regulations; creating effective agricultural service; establishing an effective and efficient marketing system for agricultural produce; the promotion of rural non-farm employment; Rehabilitation of all physical infrastructure and overcoming the existing shortfall in electricity supply.

3.5 Improving Equity and participation.

This is a fundamental Item of the Interim Poverty Reduction Strategy Paper and all policies for poverty eradication encourage the involvement of more people in the production process in order to spread benefits to a wider section of the population.

SECTOR POLICIES AND PRIORITIES

Sector Policies and Priorities are detailed under the broad sector categories of

3.6 Physical Infrastructure:- This includes roads, energy, information, transport and communication, building and construction, development of water supplies. The focus is on rehabilitation of infrastructure, increasing access to alternative forms of energy; and expansion of infrastructure in order to facilitate growth.

3.7 Human Resources Sector:- This includes the subsectors of education, health, issues on population, labour and unemployment, shelter and social security. Intentions are directed at focussing resources on improving the provision of and access to basic social services particularly education and health that are mostly needed by the poor.

3.8 Agriculture and Rural Development:- This includes the agricultural subsector focussing promotion of food security; promotion of the income and employment generating crops/agricultural products; and development of ASAL areas. Other subsectors included in the sector are water supply and Forestry Subsector and the issue of Access to Land and Security of Tenure.

3.9 Tourist, Trade and Industry: Under this sector strategy focus pertains to reducing major infrastructural differences; High Interest Rates; an administratively burdensome and costly regulatory environment; a legal and judicial system which does not enforce contracts transparently or reliably; Failures in Government in management of Trade and Institutional policies. Focus is also directed at improving consultative process with the private sector.

3.10 Public Administrative Sector: Priorities in this sector involve accelerating the ongoing Public Sector Reform; Local Government Reform and Parastatal and Reform.

3.11 Other cross cutting areas addressed include improving public safety; law and Order and Finally the monitoring and Evaluation approach for Kenya 's Poverty Reduction Strategy. The approach to monitoring and evaluation is intended to include both traditional monitoring approaches of collecting data on target indicators coupled with stakeholders participatory monitoring.

A sector dealing with National security was also been carved out of this sector. It will handle the military, National intelligence and other related areas.

3.12 Information Technology Sub-sector

A new sector has been created to deal with information and information Technological issues in the development process. It will deal with the issue of information policy, e-commerce and matters to do with both software and hardware aspects including importation policy, legal issues, taxation and information exchange.

Both the Poverty Reduction Strategy and the process of its articulation represent Government 's commitment to change. This change is in the focus of Kenya 's national development to bring about a concerted effort to reduce poverty. It is worthy noting that the strategy brings together past efforts of structural and financial reforms; liberalisation; privatisation; governance and aims to comprehensively implement issues pertaining to these policies as opposed to the piecemeal approach employed previously. The strategy also brings together all sectors and resources in its effort to reduce poverty in a unified approach.

4. Drawing Parallels Between the Kenyan Reduction Strategy Approach and Kenya Agriculture Sector Investment Approach.

Both approaches have the following common elements among others:-

- (i) Use of the stakeholder consultative and participatory approach in the formulation process aimed at installing greater ownership.
- (ii) Both use Analysis of Public Expenditure Review and Sector Policy Framework.
- (iii) Both depend on a stable macro-economic status.
- (iv) Vision B Both approaches have to project mental pictures of each sector at some time in future while the PRS approach also projects overall growth economic rate at some future time.

- (v) Both are concerned with improvement in system performance indicated by such criteria as efficiency, sustainability, accountability.

These similar elements among others exemplify that both Kenya Sector approach and Kenya poverty Reduction Strategy are working to a certain extent, towards similar goals and that the major differences appear to be the level of operation and depth of analysis.

The Poverty Reduction Strategy embraces to a certain degree Sector investment issue and provides an over arching framework connecting Sector approaches with overall national development initiatives. The opportunities which may finally be provided by the Poverty Reduction Strategy Framework such as Sector wide institutional framework; widened scope of consultative and participatory approach could be exploited to further objectives of the sector investment strategies and programs. With the poverty Reduction Strategy trying to comprehensively address all relevant issues to tackle the poverty problem refined, prioritised sectoral policies which will have the greatest impact on economic development may not be easily identified without deeper involvement of the sectors.

5. Some challenges for the Kenya Final Poverty Reduction Strategy paper.

Emerging from the content of PRSP and the participation forums already held the following are seen to be major challenges for the Final Version of PRSP.

Development Problem

- Provide a deeper analysis of the nature and scale development problem, including a detailed review of the poverty problem and long-term vision.
- The degree of stakeholder participation and how to get quality results from stakeholders with limited capacity for participation in policy issues. Experience has shown that it is easier to involve some stakeholders in planning and implementation than in policy generation.

The Interim Poverty Reduction paper (IPRSP) does not spell out regional development strategy for the productive sectors nor service sectors.

Existing Strategies, National Action Plans, Programs and Projects:

The IPRSP does not comprehensively address how the Poverty Reduction Strategies will deal with the existing strategies, plans, programs and projects. Although the past efforts have failed to impact positively on the country 's development, they might have useful learning experiences. Most of the pressing problems addressed in resent documents have however been take up in the IPRSP including the linkage with NPEP.

Sectoral Proposals:

Sectoral proposals are seen to require deeper analysis with regard to existing situation and provide more sharply focused sector policy proposals.

Institutional Arrangements

Institutional arrangements will have to be clearly defined in the final PRSP particularly considering the many cross-sectoral issues involved. The cross sectoral issue, have in addition not been adequately dealt with in the MTEF process.

Economic Development and Resource Availability

Since resources are inadequate the final PRSP of necessity must set out a critical set of macro-economic, cross-sectoral and sectoral strategies capable of triggering a certain desired level of development

Comprehensive economic indicators have also to be set out.

6. Immediate Way Forward

Careful implementation of the recently launched critical stage of stakeholders, consultations and participation for priority Strategies since everything else i.e. programs and project will finally depend on the strategies set. This step will also provide base for long-term vision, which is expected to be articulated in the forthcoming ten year National Development Plan.

XIII. PowerPoint Slides of Presentations

On the following pages are miniatures of the slides presented by the various resource persons:

- A. **Keynote Address: The Debate on Sector Wide Approaches: A ‘State of the Art’**
W. von der Ohe and D. Dietvorst
- B. **Financing the Sector Approach in Uganda: Challenges and Constraints** P. Ngategize
- C. **Financing the Agricultural Sector Investment Programme, Zambia (basket vs. project funding)**
Mukutu / van Dixhoorn / A. Mwanaumo
- D. **Financing the Health Sector Reform Programme, Tanzania (central & decentralised baskets)**
O.M.E. Kisanga
- E. **Extension in a Changing Context: The Challenges of Public-Private Partnerships in Zimbabwe**
R.J. Chitsiko
- F. **The Farmers’ Development Trust in Zimbabwe** L. Tendengu
- G. **Enhancing Public-Private Sector Partnerships through Consultative Processes in Zambia**
M. Mwanaumo
- H. **Maximita Approach in the Privatisation and Commercialisation of Agricultural Services in Kenya**
M. Mutua Kihu
- I. **Challenges of Decentralization within the Health Sector Reform and SWAPs in Tanzania**
O.M.E. Kisanga
- J. **What Worked & What is Still Needed in Decentralising Agricultural Services in Ghana**
L. Otoo
- K. **Comparing Decentralisation in the Health and Agriculture Sectors in Mozambique**
Y. Wane
- L. **Sector Wide Approaches in Practice: Education in Zimbabwe** K. van den Bosch
- M. **Sector Policy and Program Formulation: The Education Sector in Mozambique**
W. Schreiber
- N. **Sector-wide Program Approach to Development: Country Experience of Ethiopia**
M. Makonnen
- O. **Towards Successful Stakeholder Participation: Acknowledging Winners and Losers in Programme Design**
D. Dietvorst (Presented by N. Clinch)
- P. **Balancing Stakeholder Interests in the Animal Production & Health Sub-programme, Zambia**
P.G. Sinyangwe and N.J.L. Clinch
- Q. **PRSP as an “Alternative” to SIPs/SWAPs? – The Case of Kenya** J. Gachanja
- R. **Select Key Findings** W. von der Ohe
- S. **What’s Different about Agricultural SWAPs?³** F. Naschold

³ The inclusion of the last set of slides by Felix Naschold requires an explanation, as it was not part of the actual workshop programme. Both in the Introduction to this Training Workshop and in the following discussion, it was observed that the focus of concern has seemingly widened over time – from ASIP to SIP/SWAP. Two types of justifications were mentioned. The first centred around the *similarity* of sectoral programmes in agriculture/rural development to sectoral programmes in other sectors such as education, health, infrastructure and in the social sector – in terms of donor coordination, ownership creation, bottom-up project cycle management, basket funding issues, impact monitoring, etc. The second justification centred on the *difference* between agricultural SIPs and other sectoral programmes – compared with the education and the health sectors, for example, agriculture sector programmes have many more “actors” involved in the provision of services. Other factors need to be considered as well. The workshop facilitator, therefore, referred to a recent study by ODI on the subject and promised the participants to include in the documentation an ODI PowerPoint presentation on the subject.