



Food and Agriculture Organization
of the United Nations

GUIDELINES FOR USING PROGRAMMATIC APPROACHES IN AGRICULTURE

PREPARED FOR:

**THE FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
AND ECOWAS**

GUIDELINES FOR USING PROGRAMMATIC APPROACHES IN AGRICULTURE

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FOREWORD

On 19 January 2005 in Accra Ghana, the Heads of State and Government of the Economic Community of West African States (ECOWAS) adopted the regional Agriculture Policy (ECOWAP). ECOWAP is the instrument for implementing the Comprehensive African Agriculture Development Programme (CAADP) steered by the New Partnership for African Development (NEPAD), in the Sub Region. It is meant to be the common framework for all regional and national initiatives aimed at promoting West Africa’s agricultural sector. Its operationalization, which started in 2006 with the adoption of its first action plan, is taking shape with the development of Regional and National Agricultural Investment Programmes (RAIP and NAIP) broken down into Detailed Investment Plans (DIP), with the participation of all stakeholders. The Food and Agriculture Organization (FAO) of the United Nations has partnered ECOWAS to support the preparation and further, the implementation of RIP, NAIP and DIP at regional and country levels.

In Cotonou, in April 2010, the ECOWAS Ministerial Committee indicated that a Sector-Wide Approach (SWAp) is the preferred way to implement RAIP and country NAIP. Indeed, it has been common practice for donors to negotiate individually with governments on preparing, financing and implementing specific projects within the sector, under typical donor-led processes. Effective management, sustainable sector development through increased coherence between policy, spending and results and the reduction of aid-related transaction costs are important concerns raised by ECOWAS and member countries for the successful implementation of RAIP and country NAIP. By recommending the use of SWAp ECOWAS intends to promote implementation approaches that lead to closer partnerships between government, development partners and other key sector stakeholders. Sector approaches seek to broaden government and national ownership over public sector policy and resource allocation within the sector. The design and implementation of the five cores SWAp components (partnership between stakeholders, developing sector strategic vision and direction, agreeing on a financial management system, setting-up accountability systems, and harmonization and alignment of stakeholder interventions) leads to more effective and sustainable management of sector development.

However, whereas good results have been recorded in health and education, sector approaches in Agriculture and Rural development have proved more challenging, in particular because of the importance of private investment and the essential role private/non-state actors play in the field of input and service provision.

Therefore, as a result of the commitment by donors to harmonize their assistance to countries under the Paris Declaration and Accra Agenda for Action, reflected in the commitments made in regional and national CAADP compacts, there is a need to enhance the capacity of countries to lead the implementation of NAIP using programmatic approaches. For that purpose, the partnership between FAO and ECOWAS has been enlisted to produce this guideline for using programmatic approaches in agriculture. Its wide distribution and further, the training of regional and national experts in the field of programmatic approaches, as well as advocacy activities, will foster the success of the CAADP implementation in ECOWAS member countries and other nations in Africa.

Signed:

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Mr. Musa Saihou MBENGA
Coordinator
FAO Sub-Regional Office for West Africa

Signed:

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ECOWAS

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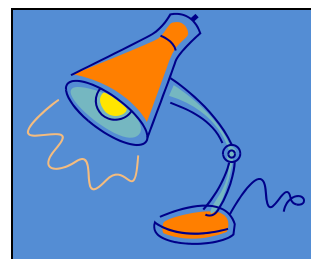
ABBREVIATIONS AND ACRONYMS

ADB	Asian Development Bank
APRM	African Peer Review Mechanism
AU	African Union
CAADP	Comprehensive Africa Agriculture Development Programme.
CAADP	Comprehensive Africa Agricultural Development Programme
DFID	Department for International Development (UKAid)
EC	European Commission
ECOWAS	Economic Community of West African States
FAO	Food and Agriculture Organisation of the United Nations
GDPRD	Global Donor Platform for Rural Development
H&A	Harmonisation and Alignment
JAS	Joint Assistance Strategy
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
MTEF	Medium-Term Expenditure Framework
NAIP	National Agriculture Investment Programme
NEPAD	New Partnership for Africa's Development
OECD	Organisation of Economic Cooperation and Development
PBA	Programme Based Approaches
PEAP	Poverty Eradication Action Plan
PER	Public Expenditure Review
PIU	Project Implementation Unit
PMA	Plan for the Modernisation of Agriculture
PRS	Poverty Reduction Strategy
SIP	Sector Investment Programmes
SWAp	Sector Wide Approach
TWGF	Technical Working Group on Fisheries
UNDG	United Nations Development Group
UNFPA	United Nations Population Fund
WHO	World Health Organization

1. AIMS AND AUDIENCE OF THE MANUAL

WHAT IS COVERED IN THIS SECTION

- The background to the Manual.
- The purpose of the Manual.
- An overview of the Manual.
- The audience.
- Summary of key points.
- Learning checklist.



BACKGROUND TO THIS MANUAL

Improving food security, nutrition, and incomes in Africa's largely agrarian economies are the interlinked goals of the Comprehensive Africa Agriculture Development Programme (CAADP). Established as part of NEPAD, CAADP was endorsed by the African Union Assembly in July 2003.

Agricultural growth is essential to the wider development of Africa for a number of reasons including:

- *Agricultural growth contributes more than any other sector to overall income growth in rural areas, where the bulk of the poor and vulnerable live and work.*
- *Agricultural growth contributes to growth in other sectors of the economy by creating demand for goods and services that are produced outside of the sector.*
- *Agricultural growth reduces overall poverty, hunger, and malnutrition by raising the supply of food while improving access to it through higher incomes in the rural and other sectors of the economy¹.*

AGRICULTURE AND GROWTH IN AFRICA

The vast body of research on economic growth and poverty reduction has shown that the most effective way to sustainably reduce poverty is to raise the productivity of, and returns from, resources on which poor people depend for their livelihoods. In almost all African countries, these resources are agricultural land and labour and off-farm rural labour. The relationship between the prevalence of poverty and the rate of agricultural growth among African countries is well documented. The fact that countries with higher agricultural growth exhibit lower poverty rates is not just a result of higher incomes in the agricultural sector. Evidence suggests that a US\$1 increase in farm incomes results in an increase of US\$1.50 - US\$2.50 in rural incomes.

Source: NEPAD (undated) Introducing the Comprehensive Africa Agriculture Development Programme (CAADP).

¹ Badiane and Rosegrant, 2006

Through CAADP, African governments are committed to raising agricultural productivity by at least six per cent per year. This is the minimum required if Africa is to achieve agriculture-led socio-economic growth. To achieve this, these governments have agreed to increase public investment in agriculture to a minimum of 10 per cent of their national budgets - substantially more than the four to five per cent average they commit today.

The ECOWAS Ministerial Committee has identified SWApS and other programmatic approaches as the preferred way of taking the development of agriculture forward.

PURPOSE OF THE MANUAL

The aim of this Manual is to help to strengthen the capacity of ECOWAS member countries to lead the implementation of their National Agriculture Investment Plans (NAIPs) using programmatic approaches. The main programmatic approach used as an example in the Manual is the Sector Wide Approach or SWAp. Other programmatic approaches can be used but the processes involved broadly mirror the SWAp process.

The Manual provides guidance on the key concepts and ideas around programmatic approaches and advice on moving a programmatic approach forwards.

It must be noted, however, that programmatic approaches are flexible partnerships that are context specific. As such the actual implementation process will:

- 1) Vary from one country to another;
- 2) Be negotiated between partners and adapted to their different perspectives; and
- 3) Evolve over time.

So this Manual can only outline a set of possible processes. The specific process which is followed will depend upon local circumstances. The manual cannot detail what will be required in each country or cover the detail of how specific systems in different countries will be affected.

OVERVIEW OF THE MANUAL

The Manual consists of 10 sections.

- Section 1: outlines the aims and objectives of the Manual;
- Section 2: introduces the concepts and language used in programmatic approaches;
- Section 3: explains how to develop a roadmap for a SWAp;
- Section 4: outlines the importance of partnerships in the process;
- Section 5: describes how to implement a sector baseline, develop a policy framework and develop plans for putting those policies into action;
- Section 6: outlines what is needed in terms of a financial management process;
- Section 7: describes the need for effective accountability;

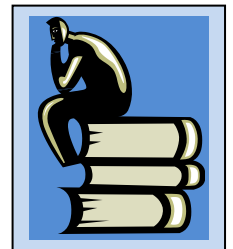
- Section 8: This deals with the harmonisation and alignment of systems and procedures between partners;
- Section 9: This provides some concluding remarks, and
- Section 10 : This provides a list of resources that will help wider understanding.

AUDIENCE

The audience of this manual is anyone interested in understanding and using a programmatic approach. More specifically it is designed for decision makers and senior officials of Ministries of Agriculture and Ministries of Finance who are tasked with developing a NAIP. It is envisaged that departmental staff will use this manual to understand what they are a part of, assess their progress through the process and to prepare for the next steps.

SECTION SUMMARY OF KEY POINTS

- Agriculture is critical to Africa's development and to poverty reduction –it contributes more to income growth in rural areas than anything else.
- In many countries the potential for growth in agricultural productivity is high.
- Growth rates in agriculture productivity and poverty reduction are closely correlated.
- Growth in agriculture generates growth in other sectors.
- SWAps and other programmatic approaches have been identified as the preferred mechanism for taking the development of the sector forward.



LEARNING CHECKLIST

Key questions that can be used to explore the potential of the agriculture sector at the national level include:

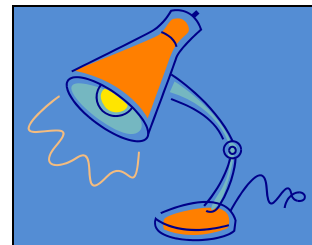
- How important is agriculture to the development of your country?**
 - How many people depend upon the sector for their livelihoods?
 - What percentage of the nation's poor depend upon agriculture?
 - What is the contribution of the sector to GDP?
 - What is the contribution to food security?
 - In what areas of the sector is most growth possible?
- What percentage of the national budget is spent on agriculture?**
- What is the agricultural growth rate nationally?**
 - How does this compare with other growth sectors?
 - What is the growth potential of the agriculture sector?
- What are the major trends and changes in the agriculture sector?**
 - Nationally?
 - Regionally?



2. INTRODUCTON TO CONCEPTS AND LANGUAGE

WHAT IS COVERED BY THIS SECTION

- A brief history of SWAp and other programmatic approaches.
- Definitions used in SWAp.
- What a SWAp consists of.
- Summary of key points.
- Learning checklist.



A BRIEF HISTORY OF SWAPS AND OTHER PROGRAMMATIC APPROACHES

In the mid 1990s there was considerable scrutiny of the way international development aid was being delivered. Aid delivery was mainly through fragmented, donor-driven, project-based approaches that often distorted policy implementation, with weak public expenditure management and through uncoordinated and costly (in terms of time and money) systems. Donors started to look at better modalities for aid delivery and one approach, adopted by the World Bank, was sector investment programmes (SIPs). These were designed to adopt a more strategic and coordinated response to sector needs – i.e. were more focussed at the sector level than at a specific project level.

The terminology has gradually evolved and the approach has changed from being a rather specific aid instrument with strong pre-conditions to a more flexible approach. By the end of the 1990s the alternative term “sector-wide approach” (SWAp) was widely used to describe these more flexible approaches.

In 2000 a study² of SWAp uptake identified 78 sector-based programmes, 32 in West Africa, 20 in Southern Africa and 15 in East Africa. Of these 10 were in agriculture, 22 were in education, 22 in health and 13 in roads and transport. But even at this stage there was considerable uncertainty about what constituted a SWAp.

The early thinking on SWAp had a strong financial and budgetary emphasis. This has changed over the years to become more concerned with development partnerships.

The evolving thinking around aid delivery, that was to be distilled into the Paris Declaration on Aid Effectiveness in 2005, reflected the experiences with SWAp as a more flexible approach. The Paris Declaration provides a framework for: 1) developing country ownership of development strategies, plans and policies; 2) the alignment of donors behind these objectives and strategies; 3) the harmonization of donor strategies, information sharing and common procedures; 4) a focus on results and their measurement; and 5) mutual accountability.

² Foster M., Brown A, and Naschold F. (2000). What’s Different About Agricultural SWAp? Paper presented at a DFID Natural Resources Advisers conference 10-14th July, 2000. ODI, London.

The framework provided by the Paris declaration was to be broadly implemented in line with the Millennium Development Goals (MDGs) and nationally through greater emphasis on Poverty Reduction Strategies (PRSs), sector-wide approaches (SWAPs), programme-based approaches (PBAs) and Joint Assistance Strategies (JASs).

Efforts³ have been made to define what was and was not a SWAp. Five main components that had come to be associated with SWAPs include:

1. All significant funding agencies support a shared sector wide policy and strategy;
2. A medium-term expenditure framework or budget which supports this policy;
3. Government leadership in a sustained partnership;
4. Shared processes and approaches for implementing and managing the sector strategy and work programme; and
5. Commitment to move to greater reliance on government financial management and accountability systems.

The presence of these five components and the degree to which they were being addressed became a means of defining how far a SWAp had been developed. Most fell short of fully incorporating all five components – this is not surprising given that SWAPs are an evolving process rather than an end product. In fact, in time, this “process approach” has started to become key to SWAp implementation. SWAPs are now seen very much as a process towards the better delivery of government services across a sector rather than a specific end-point – in the CAADP context they are concerned with how NAIPs are developed and implemented rather than the NAIP itself.

According to the UNDG Policy Network the objectives for implementing a SWAp are to:

- 1) Broaden ownership by partner Governments over decision-making on policy, strategy and spending;
- 2) Increase the coherence between sectoral policy, spending and actual results;
- 3) Reduce transaction costs through the use/ support of government procedures and gradual harmonization of donor procedures; and
- 4) Strengthen national institutions.

Perhaps more importantly, SWAPs are seen as a way to increase the efficiency and effectiveness of service delivery.

SWAPs were initially most common in highly aid –dependent countries and in the social sectors, particularly health and education where those sectors were seen as less complex and more predictable than environment and natural resource sectors. They were also sectors in which government played a predominant role in service provision as opposed to agriculture where the

³ See Walford (2003)

private sector dominates. Since then SWApS have broadened out to cover a much greater diversity of sectors, including agriculture, rural development, water and infrastructure, and to include more countries with lower aid-dependence such as India, Brazil, Mexico and Poland. To some extent the term SWAp has been subsumed by the term Programme Based Approaches (PBAs) which includes SWApS but which also addresses other wider programmes of support.

Assessments of improvements generated by SWApS include: those shown below⁴.

IMPROVEMENTS RESULTING FROM SWAPs

- **The development of comprehensive plans and strategies;**
- **Stronger links between budgets and plans;**
- **Better stakeholder consultations;**
- **Better donor co-ordination including the adoption of common procedures;**
- **Less administrative burden on governments from keeping track of fragmented projects.**

When reviewing the implementation of the Paris Declaration, the 2008 Accra Agenda for Action highlighted three major challenges to improve aid effectiveness: strengthening country ownership; building more effective and inclusive partnerships; and delivering and accounting for results. All of these relate specifically to the SWAp process.

DEFINITIONS

An important part of the process of implementing SWApS and other PBAs is an understanding of what is actually meant by the term. PBAs have been defined as follows:

DEFINITION OF A PBA

Programme-based approaches (PBAs) are a way of engaging in development co-operation based on the principles of coordinated support for a locally-owned programme of development, such as a national development strategy, a sector programme, a thematic programme or a programme of a specific organisation. Programme-based approaches share the following features: i) leadership by the host country or organisation; ii) a single comprehensive programme and budget framework; iii) a formalised process for donor co-ordination and harmonisation of donor procedures for reporting, budgeting, financial management and procurement; iv) efforts to increase the use of local systems for programme design and implementation, financial management, monitoring and evaluation (OECD, 2008).

Whilst very similar to the definition of a SWAp, PBAs are generally seen as being where SWAp principles are being followed but the scope is not sector-wide. PBAs are often less specific, less

⁴ See Handley, 2009.

sector-focused - however, they may address a sub-sector or they may go beyond a sector recognizing sectoral development plans as components of overall national planning processes e.g. poverty reduction strategies. Some programmes may be developed to specifically address cross-sectoral issues and might be located in central ministries such as Planning or Finance. It can also be seen from the definition of PBAs that the emphasis on *government* is less strong.

A SWAp should be seen as a specific form of PBA which deals primarily with a sector and is an approach which is led by government. There are many definitions of SWApS but they each start to give an indication of what a SWAp might be as shown below.

A DIVERSITY OF DEFINITIONS OF SWAP

A mechanism by which Development Partners collaborate to support a sector's development or reform programs that are based on a county's long-term vision for its (Sector) development.

Involving donor support to the development of an entire sector in a given country in ways that contrast with a project-based approach in which individual donors each support a particular set of activities within the sector (for example, building schools or roads). Ideally, sector wide approaches are developed by the government in consultation with all stakeholders and investors, including donor agencies. Under the leadership of the government, these parties work together to define an overall sector policy framework; priorities and objectives (i.e., strategy); performance measures; expenditure programmes; institutional reform and capacity building needed for implementation; jointly agreed management, reporting and accounting arrangements; and the use of common procedures across donors.

A systematic approach allowing development partners to work together in partnership with a government by pooling resources to support sector/subsector-wide development in an integrated manner under the government's common policy framework. It requires good sector analysis, policy framework, and expenditure plan.

An approach to international development that "brings together governments, donors and other stakeholders within any sector. It is characterized by a set of operating principles rather than a specific package of policies or activities. The approach involves movement over time under government leadership towards: broadening policy dialogue; developing a single sector policy (that addresses private and public sector issues) and a common realistic expenditure program; common monitoring arrangements; and more coordinated procedures for funding and procurement.

A process where donors give significant funding to a government's comprehensive sector policy and expenditure programme (for example on health or education), consistent with a sound macro-economic framework. SWApS typically have a joint review mechanism and performance monitoring system relying on the government's own performance assessment framework.



Whilst these definitions do have a focus on the relationship between aid provision and the development process, a SWAp can be implemented without donor funding –it is, after all, primarily a way of providing integrated and effective service delivery across a sector. As can be seen, the definitions of SWAps often differ from each other –they also differ between countries reflecting the different institutional and political contexts in which they form. Efforts to standardise definitions often result in retro-fitting definitions to a diverse array of existing practices. This invariably requires a consensus over a number of different organisations and thus ends up being broad and all encompassing.

However, it can be seen that a SWAp describes a process and an approach to dealing with development in a sector. It does not define what sort of outcomes or policies are required for a sector.

WHAT A SWAP CONSIST OF

In spite of the differences between definitions some key features of SWAps can be identified:

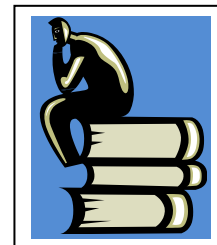
KEY FEATURES OF SWAPS

- **They are focused on a holistic view of a whole sector rather than parts of it;**
- **They have at their core a clear sector-wide policy and plan that has been defined by the government in consultation with a wide array of development partners and other interested parties;**
- **They are based on a partnership of mutual trust and accountability between government, donors and actors in the sector;**
- **Leadership of that partnership is provided by government;**
- **They are funded by a medium-term sector expenditure programme that reflects the SWAp plan and is contributed by government and by donors and which uses government finance systems;**
- **Donors' support for the sector is harmonized into a coherent approach;**
- **Donors' support for the sector is aligned with that of the government with common planning, management, reporting, and monitoring and evaluation systems that are driven by government systems.**

These are the essential elements of a SWAp and many of these are shared by PBAs to a lesser or greater degree. The SWAp is a useful example of a PBA that enables these different elements to be understood. The rest of the manual will address how these might be achieved.

SECTION SUMMARY OF KEY POINTS

- PBAs in general, and SWApS in particular, have been around since the 1990s.
- They have evolved over time from a more rigid, financial management tool to a flexible, evolving process that is now closely linked to wider development frameworks such as the Paris Declaration on Aid Effectiveness.
- Whilst definitions of SWApS differ over time and across institutions there is a growing consensus around the key characteristics: 1) they relate to whole sectors or at least sub-sectors; 2) they have a sector policy and plan which has been agreed by a broad partnership of participants; 3) leadership of the SWAp is by the government; 4) SWApS are multi-year and linked to wider national budgets; 5) they are based on mutual trust and accountability; and 6) where donor support is provided to the sector it is harmonised and aligned with government systems.
- SWApS are a flexible process not a product of development.
- The benefits of SWApS can be substantial, especially in terms of increasing the efficiency and effectiveness of development processes.



LEARNING CHECKLIST

Key questions that can be used to explore the concepts and language around SWApS include:

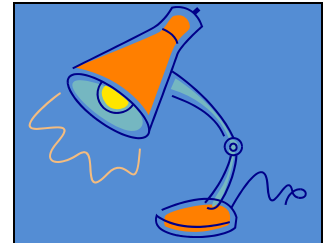
- In what sectors in your country have SWApS been developed?**
- To what extent have the six components of SWApS been incorporated into these SWApS?**
 - Do they cover the whole sector?
 - Do they have clear sector policies and plans that have been agreed by all participants in the sector?
 - To what extent is the process led by the Government?
 - How does the SWAp budget link to national multi-year budgets?
 - What reporting, review and impact assessment methods are used across the sector?
 - To what extent are donor systems harmonised with each other and aligned with those of government?
- What lessons can be learnt from their implementation?**
- What benefits have accrued as a result of these SWApS?**



3. DESIGNING A SWAP PROCESS

WHAT IS COVERED BY THIS SECTION

- Understanding what a roadmap is.
- Developing a roadmap.
- Identifying the component parts of the roadmap.
- Summary of key points.
- Learning checklist.



INTRODUCTION

The remaining sections of the Manual will explain the design and component parts of a SWAp. SWAps will be used as an example of programmatic approaches generally and the elements described in these sections can be adapted to fit programmatic approaches at the appropriate level.

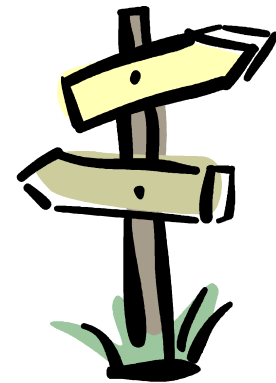
In this section a “roadmap” is developed to help to show what is included in a SWAp and what the various elements are of each component of a SWAp. This will help to conceptualise what a SWAp is in practical terms.

WHY DEVELOP A ROADMAP?

A roadmap can be used to:

- Build consensus on what needs to be achieved;
- Identify key resources and responsibilities;
- Allow progress to be monitored and changes made.

A road map should ideally not be too complicated – it is designed to help the SWAp participants agree the various stages and when they will be achieved. Ideally a roadmap should be represented by a diagram as this helps to summarise the process and make it visually clear.



The roadmap should help to define how much of a SWAp is to be developed: are all the main components to be included? To what extent are they to be included?

DEVELOPING A ROADMAP

As we saw above, a SWAp consists of a number of component parts:

- A partnership under government leadership;

- A clear understanding of the sector’s current status, a vision of the future, a policy framework to guide action and a plan to get there;
- A financing mechanism which addresses sectoral needs and is linked to wider national budgets;
- Systems of trust and accountability;
- Harmonisation of donor systems and alignment with those of government.

Each of these components can have a number of intermediate steps upon the route from the start of a SWAp process to a point where it can be considered as fully operational. An early key part of the SWAp process is defining where along the continuum for each of these components the SWAp aspires to get to. This will broadly define the roadmap but it will be a roadmap that needs to evolve as the partners are brought onboard and express their views and ideas.

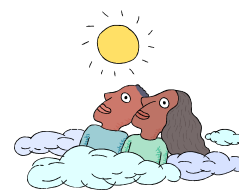
THE COMPONENT PARTS OF THE ROADMAP

The Five components of the SWAp roadmap are briefly outlined here.

1. **Partnerships:** A SWAp is essentially a partnership process led by government. It is crucial to decide early on which agency will lead the process. Important to this will be assessing the capacity of different partners to play their respective roles and the need for building that capacity. The next step will then be to decide who else will be involved and then to agree roles and responsibilities for key players to ensure that different players are fully engaged. Partnership means involvement and it will be necessary to define and establish mechanisms to allow that partnership to work effectively.



2. **Strategic vision and direction:** If a sector-wide approach is to be adopted then it is important that all the component parts of the sector are linked together to achieve a common vision of where the sector might be in some years’ time. This vision will need to link into wider visions for the nation’s development and to address the needs and aspirations of the different participants in the sector. Such a vision will need to be based on an understanding of where the sector currently is and what policy framework is required to best guide its development. The vision will need to be turned into clear plans.



3. **Financial Management:** An important part of any programmatic approach is the existence of a coherent financial framework and funding mechanisms that links the different elements of the programme together. In most situations this will be linked to the national budget and its management will follow national accounting procedures. This might involve all funding partners placing their financial support to the sector into this sector budget and agreeing to follow government audit procedures. However, a number of different funding arrangements can exist.



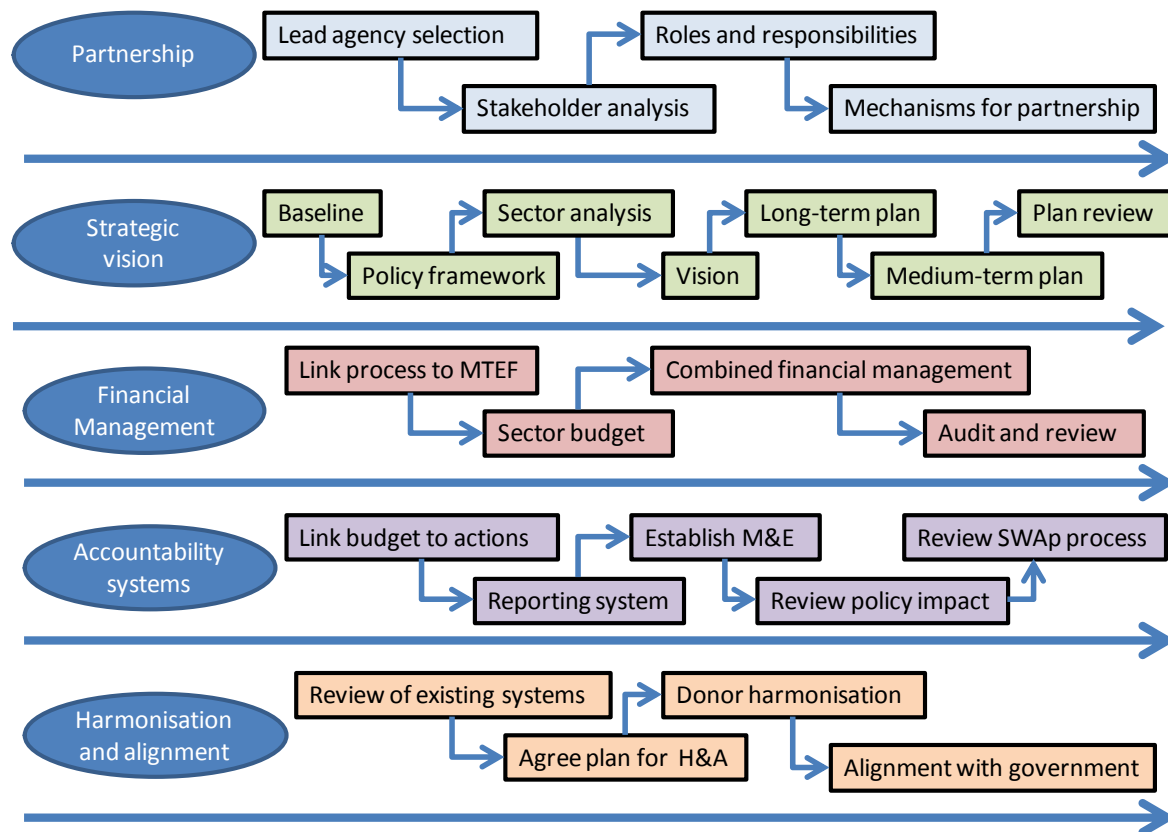
4. **Accountability systems:** Building trust is crucial to the success of the development process and a key part of that is accountability. This means linking budgets to key activities and developing effective reporting systems which can document the progress made. It also means establishing an M&E system that is able to monitor achievement of the outputs of both the PBA process and the deliverables according to the vision. M&E should also be able to monitor the impacts of the programme such that this information can feed back into ongoing programme design.



5. **Harmonisation and alignment:** Having similar systems across the programme will ensure more efficient operations. Ultimately this should move towards a harmonisation of donor systems, policies and plans, shared participation in those systems and alignment of those systems with those of government.



Each of these components is illustrated in the diagram below, which also shows the intermediate steps that make up each component.



Each of the five key components of the SWAp is mapped out to show a series of intermediate steps. Ideally these steps would all be completed in the SWAp process and they are outlined below.

The number of components in the roadmap and the extent to which each component is implemented will need to be negotiated over time with the different partners in the process. As

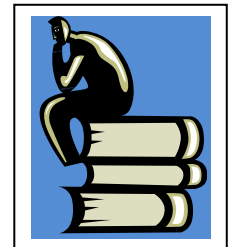
such, the roadmap is likely to go through numerous versions as the planning process and partnerships evolve.

The roadmap should ideally have key milestones attached to some of the components so that there is a clear understanding of when would be the best time for these to be achieved. It is also useful to try to attach responsibilities to each component so that different stakeholders know when they need to actively engaged. The Roadmap should also link into the Roadmap developed for the NAIP process after the Compact has been signed.

Whilst the Manual so far has been about SWAp in general, the remainder will describe each of the component parts of the SWAp and the intermediate steps.

SECTION SUMMARY OF KEY POINTS

- Planning the SWAp process and agreeing on the roadmap is a fundamental stage in the overall SWAp success.
- We have outlined the key components in the SWAp process – it will be important in the roadmap to decide which of these will be included.
- It will also be important to decide an appropriate time-table to achieve key milestones along the roadmap.



LEARNING CHECKLIST

Key questions that can be used to explore the roadmap process include:

- Why would a roadmap be important to your SWAp?
- Which components of the Roadmap would you incorporate into your SWAp?
- What milestones would you include?

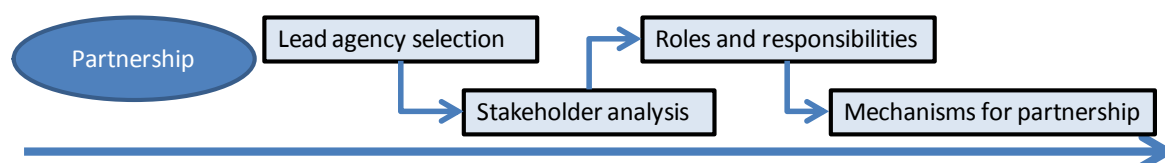
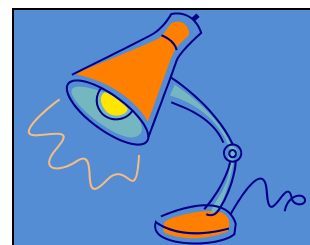




4. PARTNERSHIPS

WHAT IS COVERED BY THIS SECTION

- The importance of partnerships.
- Agreeing who needs to be involved.
- Developing mechanisms for partnership.
- Deciding who needs to lead.
- Summary of key points.
- Learning checklist.



THE IMPORTANCE OF PARTNERSHIPS

Whilst the government is often thought of as the main player in the agriculture sector, in reality in most countries the private sector drives the development process with government's main role being to create an enabling environment and providing services to help that development. Therefore, if development is to occur then government has to work hand-in-hand with a number of different stakeholders. Each has their specific role to play and each must play that role effectively if the sector is to evolve fully and effectively.

Whilst the overall responsibility for the design and management of a SWAp may be given to a government-based management team, participation by others has some important benefits that the SWAp management team should recognise and make use of:



- Stakeholders with an interest in a decision are likely to hold important knowledge not readily available to the planning team from other sources;
- Participation provides an opportunity for stakeholders to provide alternative perspectives on management objectives and processes used to achieve them;
- Participation can help to engender a sense of ownership by stakeholders over decisions which are made, which can be very empowering and can strengthen the success of the programme;



- The sense of ownership of the SWAp can foster a sense of commitment to the implementation of the work;
- Participation can start to build the relationships of trust needed for a healthy management system.

This requires building effective partnerships with a real sense of participation. There are many forms of participation and it will be important to agree which groups should have which forms of participation. As the CAADP process highlights there should be “government leadership but including ownership and responsibilities across a wider network of players such as parliamentarians, civil society and other actors”. It will be important to define mechanisms that foster stronger partnerships between government and the private sector in producers, traders and processors are to become really involved in the SWAp.

Keeping a record of the participation process, especially who is consulted and what form their participation took, will be an important part of transparency and this should be started early in the SWAp.

LEAD AGENCY SELECTION

The first part of the SWAp process, and a very important one, will be the selection of the lead agency. In some PBAs the donors may consider that the private sector or civil society organisations should be the lead agency concerned. In SWApS the government is usually the lead agency, and within government the process is mainly led by the lead sector agency. In the case of agriculture this would tend to be the Ministry of Agriculture. However, in some cases where the agriculture sector has to undergo major reforms, especially where those reforms require a down-sizing of the Ministry such as the privatisation of support services, production units etc., it may be more appropriate for the SWAp to be led by a Ministry at a higher level such as Finance or Planning (e.g. in Uganda the Plan for the Modernisation of Agriculture was initially spearheaded by the Ministry of Finance). This may also be true where there is a high degree of cross-ministerial coordination and cooperation which may be better achieved through the Ministry of Finance or Planning.

Even where the Ministry of Agriculture is the key ministry it is likely that many of the decisions will need to be made in close consultation with other ministries. **Appropriate mechanisms for inter-ministerial collaboration, consultation and cooperation should be carefully defined** in ways that also allow for **joint prioritisation** and **appropriate sequencing** of interventions, and collaborative approaches to implementation.

FORMS OF PARTICIPATION

It is important to realise that there are many different forms of participation including:

- **Contractual** (where people are paid to engage in the process);
- **Consultative** (where the planner consults, asks questions and extracts ideas and information from the stakeholder);
- **Collaborative** (the planner and the stakeholders work together to identify problems, visions, ways forward, and detailed road maps);and
- **Collegial** (where stakeholders are encouraged to take a much more leading role in the planning process).

Which form is adopted in the SWAp will influence how people engage and are empowered by the process.



In many cases the lead agency may not have sufficient capacity to implement the SWAp on its own. In response to this, donors may be inclined to step in and engage more directly with the process in order to get the SWAp moving as quickly as possible. Such good intentions often result in the formation of a Programme Implementation Unit (PIU) staffed by consultants that report to donors. Government should resist this level of involvement otherwise there is a real possibility that the process becomes donor-driven. It is better to move slower but to try to build internal capacity as quickly as possible. This can be done through the use of consultants but they should be used to facilitate the SWAp process and to build capacity **not to assume control of the running of the SWAp**. An institutional assessment to manage the SWAp process may be needed which incorporates a plan for capacity development. Doing this early in the process will avoid capacity issues later.

WHO NEEDS TO BE INVOLVED? – STAKEHOLDER ANALYSIS

There are many groups that need to be involved in the SWAp process. Identifying these different stakeholder groups is not always easy to do but is a very useful activity to start and to evolve over the SWAp process.

Early SWAps were carried out in sectors where the role of government was very central to the implementation of the sector in that they were the “producers” of sector outputs. These sectors included health and education where the State actually generates most of the outputs from the sector. Agriculture is different in that in most countries, the private sector generates the outputs from the sector and government provides a more supportive and enabling role. This invariably means that more stakeholders are involved and the initial partnership process becomes more complex.

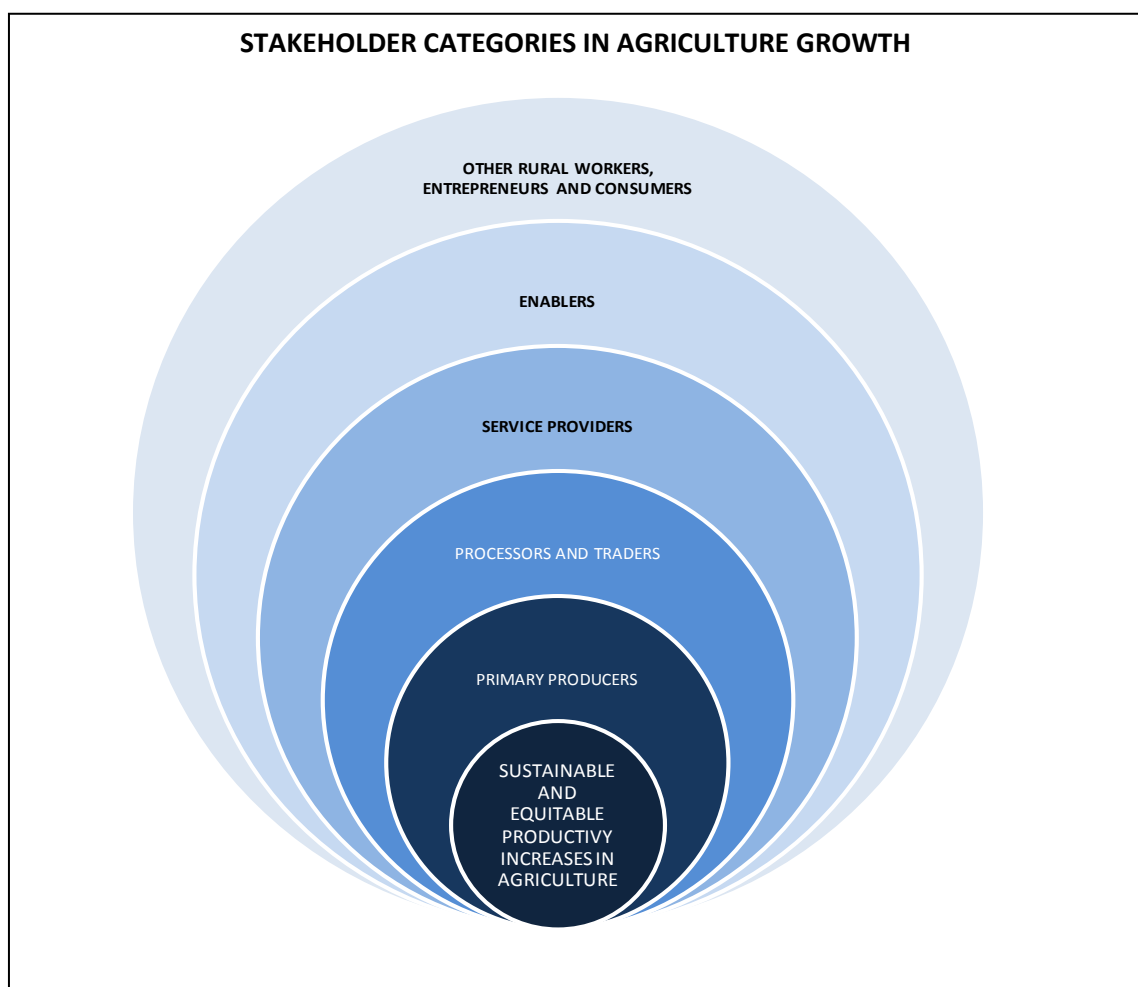
One way to start to identify stakeholder groups is to develop a stakeholder analysis diagram as shown below. Here the positions of the different stakeholder categories reflect how directly they impact upon the aim, shown at the centre, of increasing equitable and sustainable development of the agriculture sector. Stakeholder categorisation might change in different contexts but as a starting point it provides a basis for discussing the different groups of stakeholders concerned.

Examples of the different stakeholders under each group might include:

- **Primary producers:** these include the men and women who actually produce agricultural products – mainly small-scale farmers, fishers, livestock herders, farm labourers and more commercial operators. These groups will differ between crop types/ animal products, location and commercial size. They will also include subsistence producers and there will be a need to ensure that gender, cultural and age differences are taken into account. Often these will be represented by producer organisations.
- **Processors and traders:** processors and traders add value to primary production through transforming the raw materials, adding packaging, moving to markets or promoting the products. Again they may be small-scale or large-scale operators. Often women are involved as either small-scale processors or traders, or as workers in processing plants. Often these will be represented by processor and trader organisations.



- **Service providers:** these include credit providers; packaging suppliers; fertiliser and seed suppliers; ice makers and chill storage operators; extension workers and community health workers; suppliers of boats, nets and ice; vets; fish seed suppliers for aquaculture; pond/farm construction workers; knowledge providers such as researchers in government , academic institutions or private sector research companies; training agencies; government enforcement agencies; and inspectors. Civil society organisations will also be important for helping the producer and processor/traders to form representative groups, for ensuring the upward and downward accountability of the SWAp process and for ensuring that people’s rights have been addressed. In many cases civil society organisations may also be involved in empowerment, capacity building and the provision of credit to the poorer groups involved in the sector.



- **Enablers:** these include: institutions whose role is to enable the agriculture sector to operate effectively by regulating behaviour and practices, especially trade, water resources, transport and energy; planning ministries and departments who provide the wider vision, policies and priorities for development., and finance ministries and international aid agencies that provide the budgets for the different enablers and some of the service providers to operate. Clearly the ministry of agriculture will play an important role in



providing direction, sectoral plans, policy instruments, knowledge, regulation, guidance and financial incentives to enable the sector to function effectively.

- **Other rural workers, entrepreneurs and consumers:** One of the agriculture sector's strengths is its contribution to stimulating rural growth in non-farm activities – it in effect acts as a growth pole to other sectors. These other workers and entrepreneurs are important in the way they affect input and output markets in agriculture, and affect the cost of labour, access to infrastructure, and provision of support services. Consumers of agriculture products have also been included in this group. They have implications for both domestic food security and for export earnings.

All these different groups are potentially important to the development of the sector, and it is essential for a SWAp process to be successful that they are adequately represented in the planning and implementation of the SWAp. Therefore, identifying which role each of these groups has in the SWAp process will lead to mechanisms for their involvement. It will also be important to make choices about the levels of participation in the consultation process.

MECHANISMS FOR PARTNERSHIP

There are a number of ways of bringing different groups together.

- An important early step of building partnership is developing a **shared understanding of the agriculture sector and its potential for development** as a significant component of wider national development and poverty reduction.
- **Sharing knowledge and awareness about the SWAp process** can help to build consensus around what is needed and how different stakeholder groups can be included.
- **Identifying and documenting different roles and responsibilities** in the SWAp process can help to maximise the effectiveness of the inputs of the different stakeholders in what is likely to be a highly complex process
- A **Memorandum of Understanding (MoU)** may be written up to guide the roles, responsibilities and expectations within the SWAp process e.g. in the Tanzania health sector. These are generally less complex than **Codes of Conduct** but aim to be more specific in the commitments of different stakeholder groups.
- **Principles** for cooperation can help people to see the rationale for the SWAp process and the key factors driving the decisions within it. In the Kenya health sector the SWAp principles include:



KENYA HEALTH SECTOR SWAP PRINCIPLES

- Ensuring national ownership and leadership;
 - Developing a common development framework;
 - Aligning support with the GOK's development agenda and use its systems and processes;
 - Strengthening national capacity;
 - Developing and using Common Working Arrangements;
 - Ensuring predictability of development partners' support;
 - Ensuring mutual accountability;
 - Respect for human rights, equity, democratic principles and good governance;
 - Ensuring the mainstreaming of poverty reduction, equity, gender, governance, anti-corruption measures, HIV/AIDS and environmental issues;
 - Recognizing the cooperating partners as full and equal partners.
- A **Code of Conduct /Practice** can be used to spell out the principles for intervention in the sector and how that might be achieved. In Cambodia a Code of Conduct for Responsible Fisheries was developed by the Fisheries Administration to engender a sense of partnership and collaboration with all stakeholder groups in the sector. In Mozambique the Ministry of Health developed a Code of Conduct for its SWAp setting the basic rules of engagement for the MOH and its partners - the agreement makes explicit reference to the intention of government to set up a SWAp. The Global Donor Platform for Rural Development (GDPRD), which was created to support aid effectiveness in agriculture, is translating the principles of the Paris Declaration into a Code of Conduct for Donors in agriculture.

In Tanzania a Code of Conduct describes expectations and commitments on the sides of all parties (Government of Tanzania and Development Partners) which endeavour to improve the efficiency, effectiveness and impact of the health sector by increasing overall transparency; improving predictability and allocation of financing; reducing transaction costs and the administrative burden placed upon the government; and better coordinating multiple inputs and activities which serve sector objectives⁵. The Code does not constitute a legally binding instrument, but reflects the commitment of all parties working in the health sector.

⁵ (http://hdptz.esealtd.com/fileadmin/documents/Key_Sector_Documents/Induction_Pack/Code_of_Conduct_March_2007.pdf)



- **Regular forums or groups** where partners come together can be used to review progress and to share ideas and jointly resolve problems. In the Mozambique health sector a Sector Coordination Committee was established to bring development partners together twice a year to review reports and recommendations, address issues relating to policy and plans, and to review forward planning proposals. A SWAp Forum was also formed to allow government and partners to work together to address key issues. This was supported by working groups that dealt with specific issues.
- In Cambodia the Fisheries Administration formed a **Technical Working Group on Fisheries** (TWGF) that was jointly chaired by the Director of Fisheries and a representative of the lead donor to the sector. The TWGF held meetings every two months to bring partners together to discuss development aims and objectives, investments in the sector, and harmonisation and alignment of procedures. The TWGF also held several wider forums during the year to open discussion on key issues to a wider audience. The TWGF was supported by a Secretariat based in the Department's planning division, which included national and international consultants providing support to the Ministry.

CODE OF CONDUCT FOR RESPONSIBLE FISHERIES IN CAMBODIA

The fisheries sector in Cambodia was supported by a diversity of donors, lending agencies, research agencies and NGOs all with different aims and objectives with little coordination, communication and cooperation. This was leading to confused development, partial policy implementation, limited impact and wasted development resources.

To address this, the Fisheries Administration developed a *Code of Conduct for Responsible Fisheries*. This built upon the FAO Code of Conduct but localized it for the predominantly small-scale operators in the country. It provided a set of common principles and approaches to the development of the sub-sector, a common and agreed basis for cooperation and joint action for fisheries development, management and conservation in Cambodia. This goes beyond current policy and law, and goes much further than existing short-term plans, and is not restricted to a narrow set of aims of any institution or group. It helps the different stakeholders in the sector work much more closely together using common principles and approaches.

The document covered topics such as 1) linkages to national and international law and policy, 2) principles for development in the sector; 3) guidance for engaging in policy making and planning; 4) transparency and accountability; 5) partnership and involvement of different stakeholders; 6) a range of technical guidance on issues such as employment conditions, sustainable development, resource management, production and post-harvest activities; 7) the integration of the sector with wider development; and 8) the generation, sharing and use of knowledge in the sector.

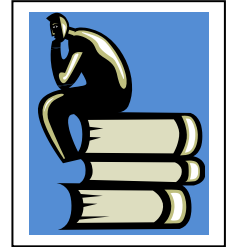
All of these methods (information exchange, MOUs, roles and responsibilities, principles, codes of conduct and Technical Working Groups and Forums) can help to define the different roles of stakeholder groups, support buy-in to the process, gain longer-term commitment and hold



stakeholders to account. Some may already exist as part of the normal development process and can be built upon to assist SWAp implementation.

SUMMARY OF KEY POINTS

- Given the diversity of stakeholder groups in agriculture, it is very important to form sound working partnerships with these different groups.
- In agriculture the main operators are the private sector, engaged in production, processing and trade. Other key groups include service providers, the institutions such as government that create the enabling environment, donors and rural workers, entrepreneurs and consumers.
- The lead agency in a SWAp will tend to be government but this may not always be in the Ministry of Agriculture – sometime it may need to be at a higher level.
- Mapping these different groups and identifying their relative importance and influence, and their roles and responsibilities in sector development, can be a useful way of identifying who needs to be involved in the SWAp.
- Bringing those potential partners together can be supported in different ways. Some of these may be building on existing mechanisms for supporting partnerships but all of which need to be shaped to suit the objectives of the SWAp.





LEARNING CHECKLIST

Key questions that can be used to explore the way we bring partners together include:

- Who are the key stakeholders involved in agriculture in your country?**
 - What are the key stakeholder groups?
 - What are their roles and responsibilities?
 - What is their relative importance and influence on the overall aims of the sector?
- Which would be the best institution to take the lead in the SWAp process and why?**
- What mechanisms are already used to support partnership in agriculture development and how can these be adapted to suit the SWAp process?**
- What new mechanisms would most help strong partnerships in your country?**
- What lessons can be learnt from SWAps in other sectors?**

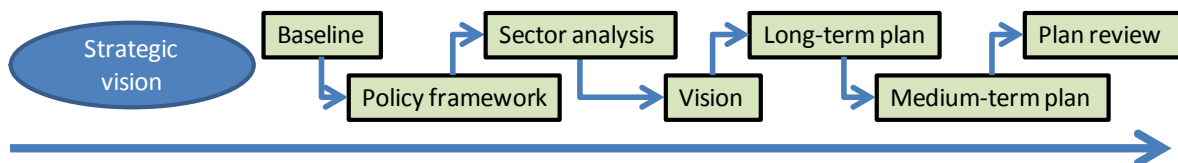
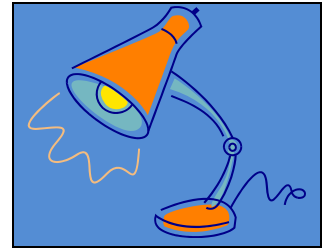




5. STRATEGIC VISION AND DIRECTION

WHAT IS COVERED BY THIS SECTION

- Deciding how wise a SWAp should be.
- Developing a sector baseline.
- Developing a policy framework.
- Building a vision for the sector.
- Developing a long-term plan.
- Developing a medium-term plan.
- Reviewing the plans.
- Summary of key points.
- Learning checklist.



INTRODUCTION

A key starting point in the SWAp process is to decide which areas will be covered by the approach. Will it be a sector-wide approach covering all of agriculture? Will that include crops, livestock, fisheries and forestry? Will it cover the whole of the National Agriculture Investment Plan or will it address some component of this such as fisheries or livestock? In some countries these may be considered as separate sectors and a SWAp would be applied to each. Whatever the area covered by the programme it is necessary to define this clearly in advance. However, it is also important to be sufficiently flexible to allow the different stakeholders to contribute to this process.

Whichever areas are covered, in the process of developing the agriculture sector it will be necessary to have a clear understanding about where the sector should be heading over time. Without a clear endpoint, or vision, of what is to be achieved then there will be no clarity of what needs to be done and why it needs to be done.

But even before defining an end point, it is necessary to understand where the sector currently is and how it got there. This needs to be placed in the context of the key policies, obligations and



mandates that the country is committed to because these will decide the scope and direction of the vision. Once we have these two points – a start point and an end point – and an understanding of the policy issues, it is possible to plan a way forwards.

DEVELOPING A SECTOR BASELINE

The starting point will be to understand the sector as it currently is. This requires implementing a baseline or situation analysis – this is likely to include where the country is in terms of the four pillars of the CAADP:

- Extending the area under sustainable land management and reliable water control systems;
- Increasing market access through improved rural infrastructure and other trade-related interventions;
- Increasing food supply and reducing hunger across the region by increasing smallholder productivity and improving responses to food emergencies;
- Improving agricultural research and systems to disseminate appropriate new technologies, and increasing the support given to help farmers to adopt them.

RESEARCH METHODS

This stage of the planning process involves gathering a lot of information. Some of this will be available in **reports and studies**, or **government statistics**. Other information may be collected through interviews with **key informants**. However, people's impressions or memories of events are subjective interpretations of events and it is important to **triangulate findings** by **validating** with different sources. **Focus groups** can provide useful discussions, especially when guided by **semi-structured interview** techniques. Site visits are also very important and there is a wide array of **participatory rural appraisal** and **rapid rural appraisal** techniques which can be used. Formal primary data collection through **household surveys**, cost and earnings surveys, **resource surveys**, beach landing **catch surveys** can all yield good information but are often costly and time consuming to implement.

The baseline lays down the current state of knowledge of the sector. It does not need to be too detailed but it does provide a useful statement of the starting point for reform. The agriculture sector consists of a number of different but interacting components. Important elements in this baseline include:

- **Outcomes of the sector:** the contribution that the sector makes to national development objectives such as food security, employment, poverty reduction, biodiversity conservation, gross domestic product and exports;
- **Different stakeholders involved in the sector:** this should consider the different social/economic classes including the poor; how men and women differ in their needs and aspirations; the roles of different ethnic groups; how age affects involvement; and how



people from different geographical areas participate (reference can be made to the stakeholder analysis in section 4);

- **Divisions of the sector into different levels of activity:** this should reflect the diversity of the user groups ranging from subsistence and small-scale operators to commercial and industrial; different product production systems for livestock, fisheries, crops etc., and considerations of primary (producers), secondary (processors) and tertiary (service providers such as credit providers) areas of activity;
- **Different geo-bio-physical conditions:** this can cover soil types, water bodies, mountain ranges, deserts, forests, elevation;
- **Seasonal factors:** such as those affecting the production in different areas (such as precipitation rates) and extremes that have developed into significant hazards/disasters;
- **Agricultural production and growth levels:** indications of productivity over time will provide useful planning information;
- **Land tenure and patterns of land use and access:** including formal and informal property rights, systems for ownership and rental;
- **Institutional organisation:** of the government, private sector, and civil society and capacity levels in each to accommodate change; this will also include a description of the enabling environment such as laws, regulations and policy instruments (such as financial support, information) and the service provision to support the sector (especially ongoing projects or other development initiatives);
- **Exiting governance arrangements:** for example resource management measures, decision making processes, representative organisations; and
- **Transportation and marketing:** of the production, both domestically and for export.

This baseline should not only include a description of the current status of the sector but it should also begin to explore the sector's potential.

DEVELOPING A POLICY FRAMEWORK

The policy framework will be closely linked to the baseline description of the sector. This will provide the broad direction for development of the sector and will identify clear priorities that need to be included in future plans. The policy framework will also help link the NAIP to wider agricultural development strategies agreed regionally, particularly the CAADP principles.

Whilst there are many options for moving ahead and increasing the sector's contribution to the achievement of national development objectives, a range of other policy influences will determine where the priority should lie. The Ministry of Agriculture's scope of the possible actions is largely determined by wider policies outside of the control of the sector itself. This sub-section outlines the



main influences on sectoral policy. The key influences that can guide the way in which the agriculture sector develops include:

- The Constitution;
- National policy priorities;
- International commitments;
- Agriculture sector priorities;
- The mandate of the institutions concerned;
- The policies and plans established in other ministries, departments and agencies; and
- The needs and aspirations of the people who depend upon the sector – especially farmers, processors, traders and exporters.

These are outlined below.

The Constitution

The national constitution may lay down clear guidance in terms of the human rights of the citizens of the country. It may also articulate clear principles of administrative justice such as who should be involved in decision-making and what systems exist for resolving disputes. It may afford priority to specific sectors, recognise the value of indigenous knowledge or specifically make reference to the role of women. It may also define the rights which different people have in relation to agriculture or to land ownership or use. These need to be understood and incorporated into the policy framework.

National Policy Priorities

It is very likely that there is a wider national policy framework that addresses the political aspirations of the government and reflects the needs and aspirations of the people as a whole. One of the main objectives in the development process is likely to be the government's commitment to poverty reduction. There may also be policy statements regarding other aspects of the Millennium Development Goals. This policy framework may also highlight other priorities for development such as growth, decentralisation, education, fiscal and monetary policy, banking regulations, health, food security, employment, land and water rights, and export earnings. It may also make reference directly to the Agriculture sector. Building strong bridges with national planning and finance ministries can help later in increasing the budgeting priority of agriculture SWAp.

MILLENNIUM DEVELOPMENT GOALS

1. Eradicate extreme poverty and hunger;
2. Achieve universal primary education;
3. Promote gender equality and empower women;
4. Reduce child mortality;
5. Improve maternal health;
6. Combat HIV/AIDS, malaria, and other diseases;
7. Ensure environmental sustainability;
8. Develop a global partnership for development.



International Commitments

No country operates in isolation from its neighbours and the wider global economy. There are international forces that influence what can and should be done nationally. There are many international conventions, such as the Convention on Biodiversity and the Convention on International Trade in Endangered Species, human rights conventions, regional disaster risk management agreements and approaches to climate change. There are also bilateral or multilateral trade agreements that determine how governments can act. The CAADP also offers a framework for moving ahead in the agriculture sector that provides guidance for national governments. Likewise the Regional Agricultural Policy for West Africa (ECOWAP) defines its vision as:

“A modern and sustainable agriculture based on effective and efficient family farms and the promotion of agricultural enterprises through the involvement of the private sector. Once productivity and competitiveness on the intra-community and international markets are achieved, the policy should be able to guarantee food security and secure decent incomes for agricultural workers.”

Its general objective is to:

“Contribute in a sustainable way to meeting the food needs of the population, to economic and social development, to the reduction of poverty in the Member States, and thus to reduce existing inequalities among territories, zones and nations.”

This is broken down into seven specific objectives focusing on:

- Food security for people in the region;
- Reducing food dependence and achieving food sovereignty;
- Involving producers in markets;
- Creating jobs with guaranteed incomes in order to improve living conditions and services in rural areas;
- Intensifying production systems in a sustainable manner;
- Reducing the vulnerability of West African economies by limiting factors of instability and regional insecurity; and
- Adopting appropriate funding mechanisms.

These need to be considered whilst developing a policy framework.

Agreements under the Paris Declaration for Aid Effectiveness may also predetermine donors' commitments to a SWAp, although what donors have agreed to at an international level is not always adhered to at the sectoral level.



Agriculture Sector Priorities

Many agriculture sectors will also have pre-established priorities that have been defined by past action, consultation or experience. These will need to be considered as an important input to the policy framework. Key to their relevance will be the level of evidence that supports these as priorities. There may be a need to review these policies to ensure they create an enabling environment for the private sector and for foreign direct investment as well as regional trade.

In addition there are international and regional guidance in the sector that should be closely considered when developing a policy framework. CAADP's aim is to help African countries reach a higher path of economic growth through agriculture-led development. CAADP's ambitious and comprehensive vision for agricultural reform in Africa aims for an average annual growth rate of 6% in agriculture by 2015.

THE GOAL OF CAADP

The main goal of CAADP is to help African countries reach and maintain a higher path of economic growth through agriculturally-led development that reduces mass poverty, food insecurity and hunger. As targets for a successful implementation, the CAADP takes on the Millennium Development Goal (MDG) of reducing poverty and hunger by half by 2015, through the pursuit of a 6 percent average annual growth in the agriculture sector and allocating an average of 10 percent of national budgets to the sector.

The program is a strategic framework to guide these and other investments across four specific pillars, as well as investments in strengthening institutional capacity across the pillars:

1. Extending the area under sustainable land management and reliable water control systems;
2. Improving rural infrastructure and trade-related capacity for market access;
3. Increasing food supplies and reducing hunger;
4. Agricultural research and technology dissemination and adoption.

The programme is meant to be implemented at the country level, based on priority areas that are identified through regional implementation planning meetings and country roundtables and outlined in region-specific and country-specific compacts and investment plans, respectively.

Furthermore the ECOWAS Regional Agricultural Investment Programme (RAIPs) and National NAIPs focus on six thematic areas that combine three ECOWAP thematic areas and the four CAADP Pillars:

1. Improved water management;
2. Sustainable farm development;
3. Improved management of the other natural resources;



4. Development of agricultural chains and market promotion;
5. Institution building; and
6. Reduction of food insecurity.

These initiatives need to be carefully considered when defining sector priorities, especially the technical best practices laid out in the Pillar Framework Documents.

The mandate of the institutions concerned

The mandate, as defined by law, of each of the government institutions involved in the sector will to an extent influence what can or cannot be done within a SWAp. It will also influence what the respective roles and responsibilities are of the different players may be.

The policies and plans established in other ministries, departments and agencies

The livelihoods of people who depend upon the agriculture sector also interact with other sectors. The banking sector is concerned with financing growth, the transport sector with moving produce to markets, the water sector with irrigation systems, the health and education sectors with the human capital involved in exploiting opportunities in the sector, the environment sector with wider operating conditions and climate change, the energy sector with rural electrification and the business sector with creating the conditions for business growth. When emergencies occur there are also disaster risk management strategies which cut across different sectors. Many of these sectors will have their own policy objectives and priorities and it will be important to discuss with them the implications for agriculture growth and thus for sectoral policy. This will also involve ensuring that there is harmonisation between the priorities of different ministries to achieve the vision for the sector.

The needs and aspirations of the people who depend upon the sector – especially farmers, processors, traders and exporters

If nothing else a SWAp should be a consultative process where the needs and aspirations of the people who depend upon the sector for their livelihoods are being considered in the policy framework. It will be necessary to consult widely on not only the policies for the sector but also the plans and the way those plans are being delivered. Establishing a process of dialogue at the policy framework stage can help to build relationships and trust that can be very useful during the accountability stage later in the SWAp process. The different needs of **men and women, small-scale and large scale systems**, and those in **different parts of the country** will be particularly important.

Considering all the above, a set of mandate-specific options for the agriculture sector should be developed by integrating policy influences on the sector's potential and the way in which these may interact with opportunities available to the sector. The above process will also identify areas which are important to the sector but that need to be done in cooperation with other ministries/departments and agencies. Mechanisms will need to be established (if they do not



already exist) which allow this cooperation to take place. In some cases it may be necessary to reconsider and even change the roles and responsibilities of different ministries.

SECTOR ANALYSIS

Having implemented a baseline and created a policy framework, the next stage is to look at key strategic areas of the sector. This will start to emerge from the previous components and might be around key sub-sectors, levels of technology, stakeholder groups, or geographical areas. Using a SWOT analysis for each of these key strategic areas is one way of achieving this analysis.

SWOT is short-hand for **S**trengths, **W**eaknesses, **O**pportunities and **T**hreats. A SWOT analysis is a fairly simple but effective way of assessing the sector and for pointing to ways for improving it. A SWOT analysis can be done for the whole of the sector/sub-sector or split into several SWOTs covering different parts. It can be done with one group of representatives of the different stakeholder groups or a number of SWOTs can be done with different groups and combined later.

One way of representing the findings of a SWOT is through the use of a SWOT matrix as shown below:

SWOT Matrix

STRENGTHS: 1. 2. 3.	WEAKNESSES: 1. 2. 3.
OPPORTUNITIES: 1. 2. 3.	THREATS: 1. 2. 3.

The **strengths** are those aspects of the sector and policy framework that can be built upon to achieve growth through current production, processing and marketing activities. The **weaknesses** are those things that currently constrain the sector from developing and that need to be overcome. These will include disparities in the sector such as those across geographical boundaries, gender, ethnicity and gaps in the legislation. They may also be policies that do not support growth in the sector. The **opportunities** are those areas where growth is possible but which are not being fully exploited at the moment, both domestically, such as high potential areas, or internationally such as regional market penetration. **Threats** tend to be external factors that could possibly constrain growth in the future and which need to be overcome if the sector is to grow. **Increasing disaster risk**



and **climate change** are two major considerations, along with **global fuel, other inputs and food prices, political instability, and cross-sectoral externalities** (dam building, mining, urbanisation). One way of bringing these SWOT components together is outlined below:

1. List the current status of the sector in terms of its contribution to national development objectives such as: poverty, food security, employment, foreign exchange and economic development.
2. For each of these areas, identify the **opportunities** that exist for positive change from the SWOT analysis.
3. Then identify the **strengths** that can support taking up those opportunities in each area.
4. Then consider how this may be constrained by the **weaknesses** of the sector. It may be possible to overcome some of these weaknesses but others may be really big problems that are difficult to overcome. It is important to understand these weaknesses in each area as they will eventually inform the strategies which are developed to implement the sector policy.
5. It is also necessary to identify the **threats** that the sector faces and that will affect the ability to take up the opportunities. These threats are often external to the sector itself (such as climate change) but emphasise the need to collaborate with other ministries, departments and agencies to overcome them. Threats need to be continuously monitored through the SWAp process to enable a rapid and effective response if those threats become a reality.

The SWOT analysis should be captured in a narrative form that explains the significance of the SWOT points and shows the linkages between them, for example how strengths and opportunities can overcome weaknesses and threats to provide a strategy forwards. To assist the ongoing discussions this can be presented around the key strategic areas of the sector.

The policy framework can then be used to identify priority areas of intervention emerging from the SWOT. It should also be noted that the policy environment may need to change to address weaknesses identified in the SWOT analysis. Issues that arise in the policy framework during the analysis need to be highlighted and resolved. The need for stronger inter-ministerial harmonisation and for increased private sector investment are particular policy areas that might need to be enhanced to increase the effectiveness of the SWAp process.

ESTABLISHING A VISION FOR THE SECTOR

This sector analysis should begin to create a broad vision for the sector which defines what the possibilities for development. Much of the vision will be determined by a **mix of sector potential policy priority**. The extent to which the visioning process is taken beyond this will largely be determined by time and funds – participatory visioning processes are expensive and time consuming. Often resource constraints will necessitate that this visioning process is done by the management team, in partnership with other key stakeholders, followed by wider consultation on the vision that emerges.

The visioning process below outlines how this might take place. The objective of this visioning is to build a description of a future agriculture sector around the strengths of the nation inspired by its past successes and the experiences of nations with similar agro-economic conditions. It is based on:



1. Appreciating and analysing past success and best practices (see previous sub-section) within the sector and of the potential identified in the SWOT analysis;
2. Recognising the priorities, commitments, scope and direction which the policy framework creates and what it means in terms of the vision;
3. Working with stakeholders to develop ideas for a vision for the agriculture sector based on priorities for social equity, poverty reduction, economic growth, environmental concern and good governance as defined by the wider policy framework;
4. Generating descriptive indicators of development by which success could be measured in achieving the vision in say 5 or 10 years time;
5. Synthesising the findings of this process; and
6. Validating the vision with the different stakeholder groups – this will include planners, other sector ministries, donor partners, the private sector and civil society.

The products of visioning have to be reasonable and achievable. There is no point visioning a future that cannot be delivered under any real circumstances. However, it is worth encouraging participants to develop a vision that is ambitious so that the participants in the sector are stretched and all agree that it is a challenge worth aiming for. What that Vision delivers in terms of the agriculture sector priorities, as defined by the wider policy and plans for the country, will be an essential part of its design.

Gaining consensus on the Vision will rarely be easy but it is crucial to moving the SWAp forward. Moreover, if broad agreement can be reached it will foster a commitment across partners, encourage synergy in the strategies adopted and promote greater understanding of subsequent policies, plans and implementation of these plans. It will also promote donor engagement with the process.

A key issue in designing the visioning process will be the identification of representatives of the different stakeholder groups within the sub-sector who can realistically participate in the visioning process. Verifying the extent to which the interests of different stakeholder groups are effectively represented by sectoral associations will be important. Inevitably, there will be some groups that are poorly organised and represented and particular attention may need to be paid to these groups to ensure that their concerns and priorities are incorporated into the process. For example, small traders and processors involved in the agricultural sector, particularly women, may well lack effective representation and careful work to engage them in voicing their vision for the future may be required.

The process of building a strategic vision would, ideally, involve facilitating different stakeholder groups to develop **their** visions then progressively bringing these groups together at different levels to identify points of convergence (and divergence) in their visions and identifying common elements that can be incorporated into a strategic vision for the whole sector. Clearly, this process can be time-consuming and resource intensive. Compromises may be required in order to maintain momentum in the SWAp process. For example, if different stakeholders are well-represented



through producer associations or federations, these representatives might be engaged in establishing a “draft” vision for change in the sector which can become a basis for moving forward.

However, it would be important that this draft then be thoroughly validated with stakeholders at the grassroots and that there be mechanisms in place for adapting and refining the vision over time.

DEVELOPING A LONG-TERM PLAN

A SWAp process needs to have a plan that it can support. SWAps are efficiency, collaborative, integrated processes by which plans are delivered more effectively. Therefore a plan is essential to the SWAp process and to the delivery of the Vision for the sector. Achieving a Vision requires plans of different time perspectives; not everything can be achieved in the short to medium term. Some achievements require longer-term plans. But plans, whether they are annual, medium-term or long-term, need to be focussed on achieving the Vision, they should be integrated with each other and they need to have the support of the different partners in the SWAP process.

The Long-term plan should ideally about turning the Vision into action and provide the policy context in which that will happen (see the example of Ghana’s FASDEP11 below). The Vision process should provide some indicators that can be used to measure the achievement of the Vision in 5-10 years. Some of these indicators will be for wider changes in society or the economy, such as improvements in people’s livelihoods, reduced poverty, increased economic growth, or environmentally sustainable production. Reference should be made to the CAADP pillars for guidance. These Vision indicators are likely to be beyond the scope of the Ministry to achieve on its own but the sector can contribute significantly to these changes. These “aspirational goals” are important to guide decisions. They define where the country might be in say 5-10 years.

LONG AND MEDIUM TERM PLANNING IN GHANA

Food and Agriculture Sector Development Policy (FASDEP II) states the long term policy objectives of government in relation to the development of the agriculture sector

The Medium Term Agriculture Sector Investment Plan (METASIP) is the investment plan to implement the medium term (2011-2015) programmes of the policy. It has been developed to achieve a target agricultural GDP growth of at least 6% annually, halving poverty by 2015 in consonance with MDG 1 and based on government expenditure allocation in the national budget of at least 10% within the Plan’s period (2011–2015). The METASIP is consistent with the ECOWAS Agriculture Policy and NEPAD’s Comprehensive Africa Agriculture Development Programme (ECOWAP/CAADP), which provide an integrated framework to support agricultural growth, rural development and food security in the African region.

Other indicators are more concerned with the changes in the development process. They might deal with more effective service delivery, greater engagement by the private sector, or a more enabling policy environment. They are likely to be areas that can be influenced by the Ministry and which the



Ministry can make a major contribution to – but this will usually be dependent on support from others. In particular the private sector will have a major role to play, as will the donor community and international markets.

The third level of indicators is associated with outputs that the Ministry can actually deliver. These lie within its mandate and its resources. These levels can be described as: goals and intermediate objectives.

Goals

Goals are what we ultimately want to achieve. They relate to the impact that the 5-10 year plan will have on the livelihoods of people, on the wider economy and on the environment. These are likely to reflect wider objectives at the national level such as the Millennium Development Goals. It is **unlikely** that the responsible Ministry will be able to achieve all of these objectives on its own, this is especially true in agriculture where the private sector delivers most of the activities and outputs of the sector.

Intermediate objectives

Intermediate objectives are more concerned with outcomes than with impacts. These outcomes should combine with outcomes from other sectors to contribute to delivering impacts. Outcomes are more to do with changes in the institutions, processes and structures. For example they may include changes in policies, in the role of the private sector in agriculture, increases in productivity, changes in market access or changes in global commodity prices. Intermediate objectives are objectives that the Ministry hopes it will be able to influence but over which it does not have direct control.

DEVELOPING A MEDIUM-TERM PLAN

A long-term plan will often be very general and aspirational – it points to where the sector is aiming to head towards in the long term. It is important for indicating the route towards achieving the vision.

However, for detailed planning a three to five year planning time-frame is more realistic – beyond that too much will have changed for the detail to remain valid. In addition this time frame is more in line with the financial commitments of donors and will be about as much as they are willing to commit to. It is also more in line with the National Agriculture Investment Plans (See Ghana example above). In addition more and more national planning and budgeting schedules are moving towards a 3-5 year rolling plan process. This time scale may be much shorter than is needed to achieve the wider aims for the sector but is a useful intermediate stage which **facilitates effective planning** and provides **more predictable funding**.

The principles for the medium-term planning process are much the same as those for the long-term plan. The goals and intermediate objective should not change although the indicators for measuring success towards their achievement will cover a much shorter time scale. However, the outputs can be defined in more detail in the medium-term plan, along with activities and inputs. Reference



should be made to the elements and features of investment plans identified in the CAADP Post-Compact Review Guidelines⁶. Furthermore, there is a need to review existing funded programmes and assess where they fit in with the medium-term plan.

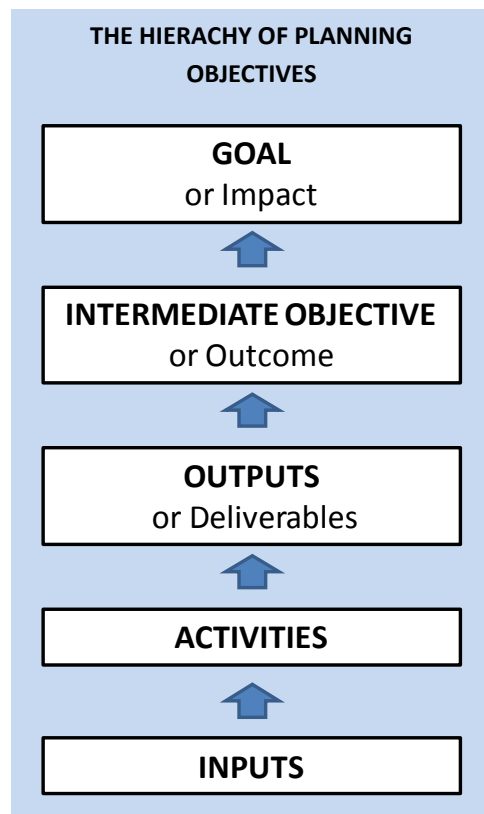
This will help donors to see more clearly where their respective inputs can assist the plan's implementation. The flexibility of a rolling plan allows a review of previous year's activities and outputs to feed into modifications in future years. The medium-term plan can be developed into a logical framework (or logframe) covering a 3-5 year period and local level logframes can be developed at district levels.

Using logical frameworks

Logical Frameworks, or Logframes, are a useful way of graphically linking **inputs, activities, outputs, outcomes** and **impacts** together in a tabular format that demonstrates the logical linkages between the different elements.

It is a clear and simple way of representing what needs to be done and how it will be measured that all partners can agree on and clearly see. It provides a structured and logical means for planning, implementing, monitoring and evaluating projects, programmes and institutional work plans.

It also summarises the indicators that will be used to measure the progress of the plan and the means by which the plan's progress will be assessed. It has a vertical logic, which connects inputs to impacts, and a horizontal logic, which links the different components through a series of risks or assumptions. The logframe is wide use by donors, government and civil society organisation and these have each developed their own



formats and instructions over time. However, the hierarchy of planning objectives is largely as shown here.

There are a number of different formats for logframes which vary in complexity. A simple structure is shown below – others

A SIMPLE LOGFRAME STRUCTURE

OBJECTIVE	INDICATOR	MEANS OF VERIFICATION	ASSUMPTIONS
GOAL:			
INTERMEDIATE OBJECTIVE:			
OUTPUTS:			
ACTIVITIES:	INPUTS:		

⁶ CAADP (2010) Post Compact Review: Guidelines. <http://www.caadp.net/pdf/POST%20COMPACT%20GUIDELINE%20-%20English.pdf>



can be found on the internet. In many situations the donors who are planning to put funds into a SWAp will have their own logframe structures. It is important to agree at an early stage which structure should be adopted and what terms should be used to describe the different levels of objectives because these will differ between donors and confusion will arise if this is not resolved early in the process.

Linking logframes across planning levels

Ideally medium-term plans will be split down into annual plans which will be carefully budgeted, annual targets will be established and monitored (see section 7) and responsibilities for delivery will be assigned. It will be important during the annual planning cycle for staff to plan what will be covered in subsequent years so that plans can be developed early enough for donors to agree subsequent years' funding in sufficient time.

The different logframes used for annual and local plans should be consistent with each other and with the wider sector rolling plan and long-term plan.

Outputs, inputs, activities and indicators

Outputs are what the sector plan can actually deliver, or perhaps more to the point, what the government department leading the sector can deliver with the support of its partners. In many respects the outputs are the terms of reference of the implementing partners – they are what the implementing partners are being held accountable for. In the long-term plan these will tend to be specified in very general terms and elaborated on in the medium-term plan.

The different outputs of the sector will contribute to the intermediate objectives of the sector but will also depend upon other outputs that are outside of the responsibility of the Ministry concerned. For example, the Ministry of agriculture may be responsible for providing extension to farmers (outputs) to help increased productivity (outcomes) and better incomes (impacts). The extension support is the output which the Ministry can deliver, but the changes in the behaviour of the farmers are out of their control – they are intermediate objectives. Likewise, even if the farmers increase production they may not be able to get their produce to market because the roads are in poor conditions. Road maintenance is an output of the Ministry of Transport over which the Ministry of Agriculture has limited influence. Harmonising the delivery of outputs across ministries is a crucial part of a SWAp if it is to be successful.

These indicators should be simple to understand so that all partners can agree that they represent the type of progress that is planned for. They need to be measurable against indicators in the sector baseline established previously. They should accurately reflect the development changes that are occurring and they should allow a progressive measurement of change over time – there is no point in having indicators all suggesting change that will occur at the end of ten years, there is a need for intermediate change indicators over the short, medium and long terms. They should also be challenging but not impossible to achieve.



The investment programmes that emerge from this planning process need to be **consistent with the growth strategies** for the sector and with the **targets for poverty reduction and environmental sustainability**. They should focus on the **implementation modalities** needed to **achieve the required impacts** and ensure that the strategies adopted are the **most cost effective**. These plans should be **iterative and should be revised on an annual basis** in the light of the findings of monitoring and evaluation data. They will also need to be costed in some detail to the activity level.

Risks and assumptions

Having an iterative multi-year planning process builds both predictability and flexibility into the planning and plan implementation. However, there will always be unforeseen events that threaten the adherence to the plan. Many of these will have been identified during the SWOT analysis. The logical framework structure has a section which deals with risks and assumptions and these should be recorded here. Risks can be described from two perspectives: 1) likelihood of occurring, and 2) likely impact and can be represented in a Risk Analysis Matrix as shown below. This matrix allows risk to be categorised and thus to be dealt with in different ways. Those risks that are likely to occur and to have a major impact need to be addressed urgently as they potentially threaten the programme. Those in boxes 1 and 4 need to be regularly monitored and plans developed to address them should they occur. Those in box 3 are unlikely to have any significant impact even if they do occur so can be largely ignored.

Risk Analysis Matrix

	Low impact	High Impact
High likelihood	1	2
Low Likelihood	3	4

Coordination and devolution

A key element of medium term plans in the agriculture sector is the extent to which there is coordination across different sectors. So much of what needs to be achieved to support the sector is outside of its control and coordination is essential if targets are to be met. This requires collaboration on a regular basis and one mechanism for achieving this is the **Technical Working Group** which brings together government staff from relevant ministries, donors and civil society on a regular basis to discuss coordination, integration and collaboration issues.

Another important consideration in the medium-term planning process will be the extent to which planning is devolved to lower administrative levels. Local-level planning can often be more locally relevant and provides greater ownership and empowerment, especially when local private sector and civil society stakeholders are engaged. The extent of the capacity building required for this



should not be underestimated and should be built into the SWAp process. It may be necessary to approach this progressively as the SWAp develops.

REVIEWING PLANS

The planning is likely to be an iterative process with different forms of the plans developing and changing over time. It will be difficult to get everyone to agree that this is what is required but there should be a real effort made towards consensus otherwise there will be little buy-in, support or financial commitment.

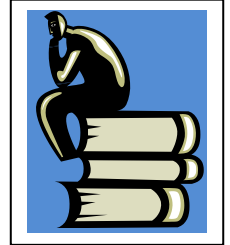
The medium-term plan will have strong parallels with NAIPs. Following the development of NAIPs these investment plans should then undergo technical review led by the African Union Commission, the NEPAD Planning and Coordinating Agency (NPCA), ECOWAS and CAADP Pillar Institutions. This technical review is a critical step in the operational implementation of the country strategies and investment plans. The primary objective is to evaluate collectively for:

- The likelihood for the investment programs to realize the growth and poverty reduction prospects laid out in the different strategy scenarios carried out for the roundtable and summarized in the different roundtable brochures;
- The use of best practices and other technical guidance in the pillar framework documents in designing the above investment programs to increase efficiency;
- The technical realism (alignment of resources with results) and adequacy of institutional arrangements of the programs;
- The integration of CAADP principles of inclusive review and dialogue;
- The consistency with budgetary and development assistance commitments and principles agreed in the compact;
- Adequacy of institutional arrangements for effective and efficient “delivery” including information and knowledge support, M&E and on-going evaluation and learning;
- Coherence and/or consistency between policies, implementation arrangements and delivery mechanisms and investments areas, priorities or programme objectives;
- Appropriateness and feasibility of the indicators for impact and system or capacity improvement and accountability; and
- Extent and quality of dialogue, (peer) review and mutual accountability system potential to contribute and link to regional integration objectives.



SUMMARY OF KEY POINTS

- Start the strategic planning process by deciding what will be included in the SWAp and what will be left out.
- An essential part of deciding where you want a sector to go to is to decide where it is now. Develop a strong baseline for the sector as its starting point.
- Once you know where you are, it will be important to understand the policy framework that will guide you forward. Make sure this includes all major sources of policy from international obligations to the needs of key stakeholder groups.
- Using the baseline and the policy framework start to analyse the sector to identify its potential.
- A vision will help you to understand where you ultimately want to be in the future. It should build upon a sound understanding of what has been achieved in the past, the strengths, weaknesses, opportunities and threats facing the sector, and the priorities established by the policy framework.
- A long-term plan explains what you are trying to achieve in terms of impacts and outcomes. It also suggests what outputs you will deliver on the journey. It should be accompanied by clear indicators of success that can be monitored along the way.
- The medium-term plan should provide more detail for the next 3-5 years and also defines the outputs, activities and inputs in more detail. Logframes can be a useful way of capturing plans and indicators.
- All plans need to be agreed with key partners and developed over time to allow them to adjust and buy into the process.





LEARNING CHECKLIST

Key questions that can be used to explore the way you plan include:

- What elements do you want to include in the SWAp?**
 - All sub-sectors or just one or two?
 - All geographical areas?
 - All scales of operation from artisanal to industrial?
- Where is the sector now? What are the key indicators of baseline of the sector?**
- What are the key parts that make up the policy framework for the sector? What are the elements of those components that need to be considered in the vision for the sector?**
- What are the main areas of potential for developing the sector in line with the policy framework?**
- What is the vision that you want for your agriculture sector?**
 - Does it build on the sector's strengths?
 - Is it realistic and achievable?
 - Is that shared by all development partners and stakeholders?
- What are the impacts and outcomes that the vision aims to achieve in the long-term?**
- What outputs and activities will need to be delivered to achieve these impacts and outcomes?**
- What Indicators have been used to measure success?**
- Have all development partners been consulted in the planning process?**

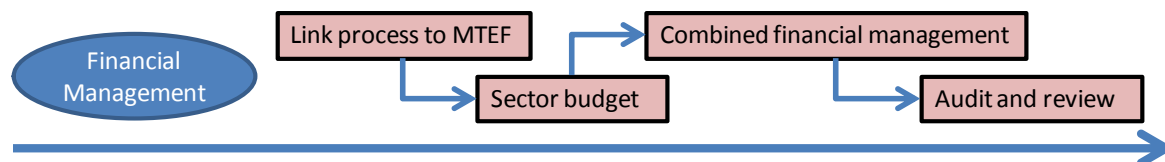
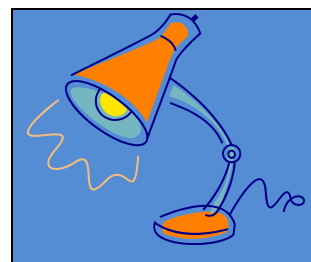




6. FINANCIAL MANAGEMENT

WHAT IS COVERED IN THIS SECTION

- Linking the SWAp process to the Medium-Term Expenditure Framework.
- Developing sector budgets.
- Combining financial management procedures.
- Auditing and reviewing.
- Summary of key points.
- Learning checklist



INTRODUCTION

One of the main benefits of the SWAp process is that it can provide the basis for increasing investment in the agriculture sector, which can support the implementation of the NAIP. Investment in agriculture in Africa has started to rise again after many years of decline. This, in part reflects a recognition that the MDG targets are unlikely to be achieved without a substantial improvement in the agriculture sector. But investment in the sector is still difficult to find and therefore needs to be used very effectively if it is to have the desired results. A key part of the SWAp process concerns cultivating and negotiating partnerships to attract and leverage investments into the agriculture sector. This requires evidence-based planning for sound investment decisions to be made around effective and agreed policy frameworks where the best choices for the country are decided upon and agreed.

Closely linked to changing investments in agriculture has been a realisation that much of the development in the sector can best be achieved through investment in the private sector rather than in the government. The challenge for government then becomes creating the incentives for that investment to take place through, for instance, improved and simplified tax management, efficient and simplified regulation and procedures, and efficient administrations.

The changes in the environment for development assistance since the Paris Declaration point more towards greater predictability of aid flows, greater leadership of the development process by the countries concerned, and harmonisation of financial support and procedures. Sector-based and



programme-based funding, for example in the form of basket funding, and direct budgetary support are products of this process.

These have created additional demands on national public financial management systems to ensure appropriate use of funds through more transparent accounting and reporting procedures. This is particularly the case where PBAs are likely to be much larger than projects and thus the funds involved are likely to be much greater and the delivery mechanisms more complex. The need to link sector budgets more closely to national macro-economic frameworks and to the actual delivery of goods and services is now much more pronounced. A key role of SWAp is to ensure that adequate funds are available to implement plans and that such funds are available in the right form, the right quantity and at the right time to deliver on the vision for the sector.

LINKING SECTOR FUNDING TO MEDIUM-TERM EXPENDITURE FRAMEWORKS

Medium-Term Expenditure Frameworks (MTEFs) are a means of linking sector budgets to macro-economic frameworks in ways that are more realistic in terms of what funds are available and what is actually needed to implement activities and deliver outputs. MTEFs link sector policies and budgets to national policies and budgets in ways that reflect the wider national policy framework and the multi-year planning cycles. This replaces the previous incremental budgeting process not by just adding up yearly projections but by engaging in a much more detailed process of linking budgets to actual activities needed to deliver outputs that can influence outcomes and ultimately affect impacts.

At the sector level the MTEFs and NAIPs are linked together with the NAIP being the representation of the MTEF, and other forms of funding, within a sector. Likewise a SWAp may subsume a NAIP or be part of one, depending on the level at which both are organised. When a SWAp supports a NAIP which is linked to an MTEF it is likely to gain considerably more credibility than one which operates independently.

MTEFs are generally developed through a number of steps:

1. Developing a macro-economic framework;
2. Development of sector plans;
3. Development of sectoral expenditure frameworks;
4. Defining sector resource allocations;
5. Preparing sectoral budgets; and
6. Gaining approval.

The first step is generally outside of the influence of the sector ministry and consists of defining what the budget availability will be over the medium-term. Step 2 was outlined in section 5 and this will give rise to Step 3. These two steps will require the development of both broad long-term budgets and more focussed medium-term ones. Key to this will be recognising and negotiating trade-offs with other ministries and deciding priorities within the sector. These priorities will



concern what is most important and also what is most urgent. Given the territoriality around budgets, there will be a need for considerable consensus building around priorities and allocated budgets.

Step 4 involves gaining support from Cabinet and from donors on the medium-term budget ceilings that are likely to define what can be done. Step 5 will require reconsideration of sector plans based on available finance. This will require considerable negotiation with donors around what their priorities for sectoral funding are and how these can be linked to the wider development of the sector and achievement of the sectoral vision. After the negotiations around budgets and plans amongst the development partners have been completed, these will most likely need to go to Cabinet for final approval.

Crucial to the MTEF process is increasing predictability and strengthening the links between policy, planning, and budgeting. This requires not only budgets being based on meaningful estimates of likely expenditure rather than incremental increases from previous years, but also that implementation is monitoring from the bottom up to ensure that activities, outputs outcomes and impacts are delivered. The MTEF becomes a rolling budgetary process with the results of each year's activities influencing the budget for the following year. This enables better planning and is also results oriented. Strongly linked to this is the process of Public Expenditure Review which should address allocative efficiency, budget performance and consistency with sectoral priorities. These can all help to guide the financial planning process. A PER should be carried out in the early stages of a SWAp.

SECTOR BUDGETS

In effect the MTEF translates at the sector level into an agriculture medium-term investment plan budget. This is often equivalent to a NAIP budget. But it must be remembered that the resource envelope available for SWAp implementation is not limited to the government's budget even when this includes donor funding. A considerable degree of funding for activities under a SWAp may come from the private sector and from civil society.

Even when sector budgets are agreed as part of a multi-year plan there is often a considerable degree of variability in funding availability from year to year. This reflects changes in the wider economy, the total national budget availability, changing political priorities, competing demands across ministries, and changes in donor commitments. Given the flexible funding arrangements which are often part of SWAps, ministries at the sector level often have the capacity to move funds around to maintain priorities – although this will depend upon the extent to which donor funds are ring-fenced around particular activities or policy areas. It can be beneficial for ministries to break down their budgets into sectoral “programmes” which link funding requirements within clear priority areas. These may be the equivalent to the investment programmes of NAIP. If these are evidence-based and demonstrate a clear and logical rationale between inputs-activities-outputs-outcomes-impacts, they are likely to attract more support than if they are incremental and poorly explained sets of activities reflecting past experiences. This will help key decisions to be made when allocations do not meet total requirements.



However, it should be emphasised that **prioritisation processes are not always easy to achieve** and vested interests will invariably encourage a distortion of that process. Annual budgets are the most likely to be subject to this sort of influence and medium-term plans will help in defining what needs to be protected and what can either slip or be scaled down.

Sector financing plans will be developed as part of the budgeting process to ensure that adequate funds are available to implement the strategy. The benefit of a SWAp in this regard is that sound long, medium and short term plans linked to policy frameworks and to wider development strategies, encourage the confidence of donors and Ministries of Finance alike. For donors a pre-defined sector plan provides a framework within which donors can commit funding, that requires less work by the donor and is easier for the donor to sell to its headquarters/electorates.

Financing gaps will also need to be considered. To ensure that there are adequate funds to ensure policy implementation consistency which could otherwise undermine plan implementation.

In many countries there is a progressive move towards greater **devolution of decision-making and administration** that needs to be carefully considered in the budgeting process. Decisions about spending should ideally be made at the lowest most effective level to ensure appropriateness, ownership and empowerment. Adequate resources should be made available for capacity building at these lower levels in planning and financial management.

Scheduling of annual budgets and plans, and auditing procedures may vary between the government and donors who may be working according to the financial years of their own governments. It will be important to ensure that agreement is reached on the scheduling of these activities.

Another major concern regarding sector budgeting is **absorptive capacity**. There can be a tendency to over-estimate what can be achieved within a SWAp, especially in the early stages. Often SWAps take time to establish effective disbursement, procurement and accounting systems that slow down expenditure. Expenditure plans need to be realistic and reflect the capacity of the people and the systems to enable disbursement. Slow disbursement can often lead to frustration and concerns by donors about the level of commitment of national partners to the required work.

COMBINED FINANCIAL MANAGEMENT

Different financial management systems, ring-fenced expenditure and financial reporting systems all add to the burden of government staff and reduce the flexibility of policy implementation. One advantage of SWAps can be that donor and government funding comes together into a common system of management. In some situations, however, the funding from donors may be pooled into a common fund, which is separate from that of government (for example the Multi-Donor Livelihoods Facility in Cambodia or the Donor Pooled Fund used to fund the Health Sector in Ghana). In some situations the donors may insist that their funds remain clearly separated from those of other donors. Important drivers for these decisions are **attribution** of expenditure against specific targets of donors, and the need for **accountability**. In some situations the home ministries or Cabinets of the donor agencies will insist on separate financial management measures even though they have signed-up to more integrated processes generally.



Getting donor support for integrated and common financial management systems will largely depend upon the past experience they have had with fiduciary risk in the country concerned: good government practices often lead to better donor practices. It will be important in the SWAp process to determine the extent to which donors are prepared to adhere to the agreed strategy and programmes identified and to pool funding with other donors. It will also be important to gain assurances that off-budget funding will not occur.

Ideally the process of establishing a SWAp should encourage a move towards collective responsibility by government and donors for sectoral achievement. Rather than attribute specific elements of policy implementation to specific donor agencies, the donors should justify their contributions in terms of progress towards the achievement of jointly agreed sectoral objectives. However, it is likely that a variety of donors will result in a variety of funding mechanisms and ministries should be flexible enough to accommodate these whilst continually demonstrating sound financial management as part of a process to encourage and support greater moves towards a common financial management system.

Key to the development of effective financial management systems will be:

- The development of appropriate systems, ideally reflecting those used by government;
- Building the capacity to manage such systems at all levels; and
- Having the adequate audit and review system, and monitoring and evaluation systems in place and operational.

The time and effort required to achieve results in these three areas should not be underestimated, especially when devolved financial management systems are envisaged. Experience across a range of sectors has demonstrated that ensuring adequate numbers of well-trained financial management staff is a significant problem. The work involved, especially for quarterly reporting against financial targets, can be considerable, but as confidence in the system develops so donors may be happy with broader indicators of expenditure.

AUDIT AND REVIEW

It will be an important early step to agree on a minimum standard of financial management which addresses the requirements of government and of the donors. Central to this will be adjusting financial management procedures to allow expenditure to be more clearly linked to sectoral priorities. One way of doing this is to breakdown annual plans and budgets by priority area so that each area has its own expenditure plan against which actual expenditure can be managed. These priorities might reflect a geographical focus or, more likely, key policy or sub-sectoral areas. Ideally these alignments should be reflected at the national, district and sub-district levels so that policy implementation can be followed down to the lowest levels. This will need to be linked to district-level planning being built into the medium-term planning process.

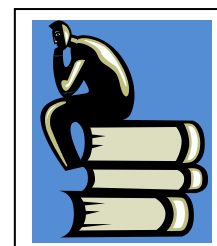
Accounting and auditing systems will need to satisfy the requirements of finance ministries and sectoral ministry auditing arms, as well as donors. Whilst internal audits are useful, in some situations it will also be necessary to commission external audits of finances to demonstrate the



independence of the accounting system. Periodic fiduciary risk assessments may also be required to reassure donors that systems are adequate for the work in-hand.

SUMMARY OF KEY POINTS

- Not all finance for the funding of the agriculture sector's development comes through the agriculture ministry. Much of it is from the private sector which tends to fund production. Other ministries also play a very important part. A key role of the Ministry of agriculture is to leverage funds and to create a strong environment for investment.
- SWAps need to be linked into wider financial planning systems to ensure predictability of funding and to encourage responsible spending which is goal oriented.
- SWAps linked to MTEFs and to NAIPs provide a degree of predictable multi-year funding with clarity of vision. This is likely to receive more support from donors than incremental annual funding based on a set of activities.
- SWAps should be flexible enough to allow priority areas to be identified which will maximise achievement of the vision of the sector. Good multi-year plans will help this process.
- Where decentralisation is a key policy of government, funding decisions need to be made at appropriate levels.
- Ensure there is sufficient capacity to manage the funds across the sector and at the different levels. This may require specific training.
- There are a number of ways in which donors fund SWAps: budgetary support, pooled funds, ring-fenced areas etc. These can lead to difficulties of attributing effects and impacts to different funds. They can also add a burden of multiple accounting systems. Efforts should be made where possible to ensure that different funds are combined and accounted for as a whole.
- Build adequate auditing and review processes into the SWAp to enable transparency and accountability.





LEARNING CHECKLIST

Key questions that can be used to explore the way you plan include:

- What sort of financial planning and budgeting systems do you operate in your Ministry of Agriculture?**
 - Do you operate an MTEF system?
 - What are the specific procedures for this?
 - How will this affect your NAIP and/or SWAp?
- How does the planning within agriculture link to the multi-year budgeting at the national level?**
- What systems of financial management do you have for devolved agricultural support activities?**
 - How does this link to the sector-level accounting and to the national level?
- What system do you use to prioritise funding allocations when funds do not meet target levels?**
 - How do you choose priority areas?
 - How does these priorities link to the overall vision for the sector?
 - How do you deal with competing interests for funding?
- What experiences nationally can you draw on to help design a combined multi-donor funding mechanism for the sector?**
- What auditing and review systems do you have in place?**
 - Are there ways of combining these into one system to reduce work?
 - How well do these systems fit in with donor requirements – how will they need to change?

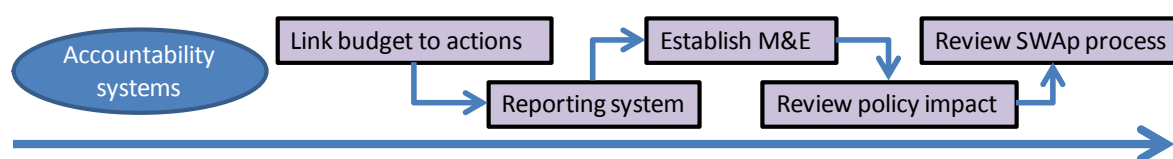
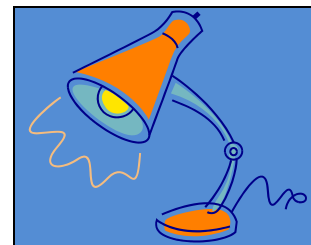




7. ACCOUNTABILITY SYSTEMS

WHAT IS COVERED BY THIS SECTION

- Linking budgets to actions.
- Developing reporting systems.
- Establishing monitoring and evaluation systems.
- Reviewing policy impact.
- Reviewing the SWAp process.
- Summary of key points.
- Learning checklist



INTRODUCTION

A key part of the SWAp process is trust: trust between partners and trust in the process. Trust between partners will be strengthened by transparency and accountability. Trust in the process is more concerned with generating an evidence base of effects and impacts of the strategy i.e. is it doing what it is supposed to do?

Central to trust between partners is being able to clearly demonstrate that the allocated funds are being spent in the right way for the planned activities. In the first place this means linking budgets to activities and secondly clearly and regularly reporting on progress. Formalising that process in a monitoring and evaluation (M&E) system is a good way to start. But M&E systems, if designed well will also address the concern about trust in the process. M&E systems should ideally be able to operate at all levels from inputs, through activities and outputs to outcomes and impacts – reflecting the logframe structure described above. It is ultimately the measurement of impacts that will tell if the SWAp process is working properly. This in turn may need to feedback into the design of the SWAp.

M&E also addresses international obligations and agreements. Within the CAADP system M&E is designed to review progress to ensure that country level policies and programmes are aligned with CAADP principles and on track to meet the country specific targets and objectives. The choice of mechanisms to facilitate this process depends on individual countries' institutional and technical



realities, but each country must carry out a transparent, broad, and inclusive dialogue leading to roundtable discussions that ensure the effective participation of a broader set of stakeholders (i.e., all line ministries and their departments and agencies, development partners, agribusiness sector, and farmers' organizations).

LINKING BUDGETS TO ACTIONS

An important part of linking the planning, financial management and monitoring systems is making a good connection between budgets and activities. During the medium-term planning process, building budgets around specific activities in a given year will be an important part of linking the budgeting at the sector level to the MTEF. Planning is often carried out from goals to outcomes to outputs to activities to inputs, inputs are then grouped into sub-programme areas to become sub-programmatic budgets over a number of years. These are then grouped with other sub-programmes to give annual budgets.

Often the first point of reference for M&E systems is the linkage between expenditure and activities – this is often considered important to ensure that the funds are being spent on the correct activities. Monitoring this will often be done through the accounting and auditing system. However, in most circumstances this will not be adequate to fully address what is needed in term of an M&E system. This will require an effective reporting system.

DEVELOPING REPORTING SYSTEMS

Reporting systems are often seen as outside of formal M&E systems, however, they are often in fact self-monitoring systems. They allow the implementer the opportunity to explain what they have done and how they have done it. This provides a narrative to the accounting process; it brings life to the accounts and makes them real.

But reporting requirements are time consuming and often considered a burden but they are a vital part of the M&E system which will provide the evidence to improve planning in the future and justify the funds that are provided for the work to implement those plans. As such there is a need to develop a balance of reporting between the effort/time required to produce the report and information that is provided in them. Planning the structure and content of a simple reporting system is a rather complex process. It requires the following:

- Defining the frequency of reporting;
- Identifying the audience of the reports;
- Determining the aim of the reports;
- Defining the minimum contents required;
- Outlining the structure of the report ; and
- Defining their due date.



Whilst these will in part be defined by national reporting requirements, donors and other partners will have their reporting requirements. CAADP has its own structure for annual reporting at the national level which will need to be incorporated into any reporting system.

Moving towards a harmonised system aligned to that of government is discussed in more detail in Section 8.

Frequency of reporting

The reporting period will often be quarterly. This allows sufficient time for activities to be implemented such that a significant amount of change would have occurred between reports. Weekly and monthly reports place too much burden on the writer and the reader and generally have insufficient to report. They may, however be useful at times when there are rapid changes and decisions have to be made quickly, such as at the start-up of a SWAp. In such cases it might be better to either have periodic face-to-face meetings or to institute a temporary system of memorandums in addition to periodic reporting.

Audience of the reports

The audience of the report will determine the level and form of detail in the report. Internal reports can afford to be less formal. Reports that the media and public might see would need to be more carefully crafted and receive different levels of approval. The audience will also determine the level of technical detail provided and the style of the report. In a SWAp there is a strong likelihood that reports will reach a wide audience given the need for partnership, transparency, joint decision-making and collaboration but it may be better to provide reports in a number of different forms to address the needs of specific groups.

Developing an informing and influencing strategy for the SWAp can help to structure this process. The form of the reports may be quite different from what might be normally expected: street theatre might be a better way of getting a message across to villagers than a lengthy report. A short film of the work and its impacts might be a good way of getting a message across to the public and to politicians.

DEVELOPING AN INFORMING AND INFLUENCING STRATEGY

Different people need information in different forms to allow them to be influenced. Politicians generally want 1-2 page briefs, managers want technical reports, the public want a focus on how they will be affected.

There are many different stakeholders that need to be considered. Developing an informing and influencing strategy can help that process.

A simple form of informing and influencing strategy is as follows:

1. Define the objective - what is it you are trying to achieve?
2. Identify the different stakeholder groups that need to be influenced to achieve the objective.
3. Define the roles that these groups play in influencing the objective.
4. Define the ways in which their behaviour/attitudes/ beliefs need to change to achieve the objective.
5. Specify the information required to bring about that change.
6. Decide on the best media to deliver that information.



Determining the aim of the reports

Different reports can have different aims. A report with no clear aim is unlikely to achieve very much. For some reports, the aim will be to inform policy makers of impact; others will be more concerned with explaining how funds have been spent and what activities have been carried out. In general, the quarterly progress report tries to address this latter aim. Within a SWAp it is important that this basic level of reporting is achieved on a regular basis so that partners in the SWAp process can see how funds have been used and what has been done. Ideally the reporting on activities should be done against specific outputs defined in the medium-term plan and often MTEF reporting will require this to occur. It will be important to assess current government requirements for reporting and see how these can be adapted to achieve the SWAp aim of the report.

Outlining the structure of the reports

Report structures again depend in large part on the aim and the audience. Sometimes a brief narrative is required for politicians, managers may require a much more structured report outlining the detail of expenditure and achievement against outputs. One way to achieve a more structured report form is to do so by reporting against a logframe. In the example below a table is used to show the how reporting can be done in a very structured way against logframe outputs and activities.

TARGET	ACHIEVEMENTS CONSTRAINTS	AND	RECOMMENDATIONS/ PROPOSALS
OUTPUT 1:			
ACTIVITY 1.1:			
ACTIVITY 1.2:			
OUTPUT 2:			
ACTIVITY 2.1:			
ACTIVITY 2.2:			

Such an approach can be really useful for donors to see that the work is moving ahead as scheduled.

Defining their due date

The information in reports is often time-sensitive, if reports are not available within a reasonable period of time after the reporting period they become redundant. Brief, well-targeted reports delivery on time provide decision makers with an invaluable tool to monitor progress and make shared decisions about future activities and budgets.



ESTABLISHING MONITORING AND EVALUATION (M&E) SYSTEMS

M&E systems have traditionally been very weak in the agriculture sector. This results in investments being made on limited evidence and the success or failure of those investments being poorly understood. Getting M&E right is crucial to the success of a SWAp. Where M&E systems have been developed the tendency is for them to be overambitious rather than pragmatic. M&E systems can rapidly use up large amounts of time and money and, if poorly thought through, deliver little in return.

Using a structure such as a logframe can help to ensure that M&E can be most efficiently focused around outcomes and impacts. Ideally an M&E system should support an iterative process which feeds back into the design of the SWAp and associated investments. An important challenge for many M&E systems is moving from a project-based approach to one which relates a programme, often across a whole sector, to wider development aims. This can be a significant shift in the way an M&E system operates and in its value to the development process. A particular challenge is when an M&E system has to operate in a programme which covers several sectors.

Terminology

The terms “monitoring” and “evaluation” are often misunderstood. Monitoring is the process of collecting information which will provide the basis for evaluation. Monitoring may be continuous or periodic. It may focus on a range of different areas of implementation, outcomes and impact that concern social, political, environmental, technical or economic aspects of development. Evaluation refers to the process of assessing the extent to which a plan, programme or project has achieved its objectives. This assessment can be done using several criteria which includes relevance, effectiveness, efficiency, impact and sustainability. Evaluation may be carried out during implementation (mid-term evaluation), at the end of a project (final evaluation) or after the project has closed (*ex post* evaluation).

The M&E process can be divided into two areas: 1) **performance** and 2) **results**. Performance monitoring and evaluation refers to the efficiency of implementation and is concerned with the use of inputs, the activities carried out and the outputs delivered. It deals essentially with the internal management of the programme. Results monitoring is more concerned with the outcomes and impacts of the programme. It deals with the areas of the programme that are outside of the immediate control of the ministry. Results are generally, but not always, longer-term than performance.

Aims of an M&E system

M&E systems are used in development interventions or programmes in order to compare what was achieved with what was planned. They also try to explain why differences between plans and achievements occur. Perhaps most importantly, they suggest ways in which policies, plans, processes and interventions need to change in the future. The DAC (Development Assistance Committee of the Organisation for Economic Cooperation and Development) Guidelines on Aid Effectiveness state that “*Reporting and monitoring of development assistance is a critical function of effective aid delivery. It provides essential data along with insights for drawing lessons, setting*



priorities and managing development activities. It also offers assurance that funds are used for agreed purposes. Furthermore, it supplies information on whether a policy, development strategy or a project is being implemented as planned and reaching its objectives”.

Within the overarching CAADP process, M&E is considered very important. The CAADP M&E system states that *“Trying to ensure that the CAADP goals of halving poverty, hunger, and food and nutrition insecurity by 2015, which is to be driven by broad-based, annual average agricultural sector growth of 6 percent for the continent as a whole, are achieved will require a mechanism by which processes put in place, commitments and investments made, the sector’s performance, and any changes in poverty, hunger and food and nutrition security are regularly and transparently measured against stated targets and, if necessary, can lead to the revision of processes, policies, investments and practices in order for CAADP to stay on track. The rationale for having this overarching CAADP M&E framework is to bring cohesion across the different systems being developed to track specific components of CAADP, including the individual CAADP pillar M&E systems, the African Peer Review Mechanism (APRM), and the Mutual Accountability Framework (MAF) “.*

The benefits of an M&E system

A formal and integrated M&E system can provide a range of benefits including:

Improving the effectiveness of service delivery. M&E that targets the impact of development efforts, can be used to assess whether or not what was planned was actually delivered. This can be very important at the policy level. Policies guide what should be done and how it should be done. It is important to know if these policies are actually achieving what they were planned to achieve. If not, they need to be changed.

Enhancing transparency and accountability. The very nature of a SWAp is that it includes a number of different partners all with a vested interest in ensuring that the SWAp achieves their objectives. Transparency and accountability are critical for that. A functioning M&E system can build that assurance and foster trust between partners about what is being done in their name.

Improving the efficiency of the development process. Even within a SWAp most countries have a limited amount of funds for development purposes. Most ministries also have a limited number of staff to carry out a very large number of tasks. It is therefore important to know if the money and people are being used properly and are delivering what was planned. This is particularly important when assessing progress against the aims of the MTEF and the SWAp.

Helping to establish priorities. When the effectiveness and efficiency of the development process is better understood, M&E can also help to prioritise where scarce development resources should be spent in the future. If the Ministry only has limited money and staff then it will need to ensure that these financial and human resources are directed at the most important areas of its work. We may define *importance* in many ways such as urgency, potential impact or political priority.

Providing lessons about the development process. Whilst M&E can provide answers to very specific questions about effectiveness and efficiency, it can also provide lessons about lots of other



things. As mentioned above, an M&E system can also provide information on the relevance and sustainability of development changes.

Reducing the work load. In most countries where M&E is used, each project has its own M&E process and these are poorly coordinated with each other or with the government's own system. This results in excessive and duplicate monitoring/evaluation without the desired feedback into wider sectoral management. A sector-wide M&E system would substantially reduce the M&E workload.

Whilst the need for M&E is clearly articulated, the form which that takes will depend very much on the existing or prescribed systems within government.

Designing and M&E system

The design of an M&E system for a SWAp should build upon existing government systems but recognise that the M&E function might need to go further than a normal government M&E normally would. This is because the M&E process has to address the diverse needs of the different partners and has to clearly demonstrate the transparency of the process. Given the diversity of partners within a SWAp there will be a need for some assurance that the system has a degree of independence and the ability to monitor, evaluate and report objectively. Whilst different partners may have their own systems and requirements for monitoring and evaluation they should work together to harmonise these and align them with that of government. This may in turn require donor support to build M&E skills and systems. An important consideration is the role which civil society organisations can play in an M&E system and this may be particularly important when addressing issues related to the impacts of investment plans on intended beneficiaries. Often civil society organisations have stronger skills and experience in community-based approaches and may be able to add value to the processes concerning transparency and accountability.

The steps in creating an effective M&E system include the following:

1. Create an M&E Unit (if one does not already exist) with the mandate and legitimacy to operate;
2. Clearly define and agree the M&E Unit's mandate;
3. Identify staff needs and recruit / second appropriate staff;
4. Establish the purpose and scope of the M&E system;
5. Identify performance questions, information needs and indicators;
6. Plan for information gathering and organising;
7. Plan critical reflection processes and events; and
8. Plan for quality communication and reporting.

In many situations an M&E Unit will already exist, at least in name, but may need restructuring and re-staffing. The M&E Unit should be at a sufficiently high level of operation to command some respect from other departments/ divisions in the Ministry. It should also have a clear and agreed mandate to implement its work and expect cooperation from other departments/ divisions.



The skills required to implement the M&E function are not limited to technical agriculture skills. M&E itself is a specific discipline but it should also be considered at what level impacts are to be measured. If the desired impacts are socio-economic, especially poverty reduction, then socio-economic skills may be required. Likewise, the use of participatory impact assessments will need some community engagement skills. An important element in the M&E process will be the assessment of gender balance across the programme and this will again require specific skills.

The M&E unit is there to provide evidence that scarce development resources are being used properly, that the desired outputs are being delivered, that sustainable and desirable outcomes and impacts are being achieved and that this is being achieved in an efficient and transparent way. To do this the M&E Unit can be thought of as functioning at two levels: 1) monitoring and evaluating the implementation and impacts of the strategic plan for agriculture, 2) monitoring and evaluating the effectiveness of the SWAp process. The first element of this covers inputs, activities, outputs, outcomes and impacts of the long-term, medium-term and annual plans. The second of these deals much more with process and is concerned with the level of partnership, the extent of planning, transparency and accountability, the gender balance, geographical coverage, the efficiency and effectiveness of investment programmes. These different elements can be turned into performance questions the M&E system needs to be able to answer. The sorts of questions are outlined in the sub-sections below.

Each question defined will have associated indicators that will need to be measured. Ideally these should be defined in terms of a baseline at the beginning against future achievements can be measured. This baseline (described in section 5 above) should provide the indicators against which the impact of the programme can be measured. The means by which the desired indicators will be measured also need to be defined – it is pointless having indicators which will never be measured. Given that the SWAp is likely to be a process for implementing CAADP, guidance from the CAADP M&E process can suggest key questions that need to be addressed to define progress of the SWAp. The CAADP says that the outputs of the M&E system for the CAADP process should help to answer the following questions relating to enabling environment for successful implementation of CAADP:

1. Enabling environment:

- What policies, institutions and mechanisms are in place to enhance economic management e.g., political and economic governance, private sector development, and equity?
- How credible and relevant has the evidence used in the process of designing the investment programs been?
- Have the processes been inclusive of all stakeholders, and are investment programs aligned with the CAADP principles and targets?
- Are mechanisms in place for implementing the investment and monitoring and evaluating its impacts?



2. Delivering on commitments and achieving stated targets:

- Are development partners making good on their financial commitments to support CAADP?
- Are governments allocating 10 percent (or other share as stated in their investment plans) of their total budgetary resources to the agricultural sector?
- Have expectations in terms of being on track to achieving the CAADP growth and reducing poverty, hunger, and food and nutrition insecurity been met so far?

3. Effectiveness of interventions (processes, policies, investments):

- How effective have different types of interventions been in the achievements realized so far?
- What factors have shaped the level of impact that has been achieved?
- What are the trade-offs and complementarities, if any, among different types of interventions?

4. Consistency of planned interventions with initial targets:

- What are the projected impacts if interventions proceed as currently planned?
- Are these projected impacts compatible with the CAADP growth and goals on reducing poverty, hunger, and food and nutrition insecurity?

5. Exploring interventions with greater or better distributed impacts:

- Could greater or better distributed impacts be obtained by reconfiguring the interventions?
- What are the different or new interventions that can lead to greater and more sustainable growth as well as greater and better distributed impacts?
- What are the new targets that can be set for implementing these new types of interventions?
- What are the resources needed for implementing these new interventions to achieve the desired impacts?

In addition to those of the CAADP, development partners may also have key indicators in their plans that need to be monitored. It is important to all agree that the indicators selected are going to address the wider needs of these development partners.

Key to an efficient system will be separating what information is needed in the M&E process, what is being collected already by different agencies, and what gaps need to be filled. Strategies for collecting this information, storing it and analysing it will need to be developed. Where possible a



diversity of development partners (including intended beneficiaries) should be involved in the M&E process to give a diversity of viewpoints.

The M&E process should not be treated as a policing process but rather one of shared learning. It should not be designed to apportion blame but rather to identify ways of improving the plan and its implementation. This requires a process of reflection and learning where the findings from M&E can be discussed in positive and supporting environment in order to learn lessons that feed back into policy and plan implementation. The results of this process will then need to be disseminated to a wider audience of development partners and intended beneficiaries. Informing and influencing strategies, as described in the previous section, can help plan how this dissemination will be implemented.

REVIEWING POLICY IMPACT

In addition to monitoring and evaluating the inputs, activities, outputs (performance) and outcomes, the M&E system should monitor the impacts (results) of the overall strategy. This will enable an assessment of the extent to which the strategy is being achieved, and the extent to which the SWAp is working.

These should be done in ways that reflect wider development strategies such as Poverty Reduction Strategies, national MDGs and national development strategies. Whereas outcome monitoring will reflect productivity, policy reform, structural change etc., impact should address issues concerned with sustainable poverty reduction, food security and environmental change. In the agriculture sector these changes are notoriously difficult to attribute to changes in outputs and outcomes from programmes because they are so dependent on changes in weather, global markets and levels of direct inward investment.

Whilst some of this may be assessed using wider national statistics and the findings from national M&E systems, the impact on intended beneficiaries should be, at least in part, measured by those intended beneficiaries in terms that are important to them. Participatory policy impact assessments, based on semi-structured focus group discussions, can be particularly revealing in this. However, there are also benefits to be gained from more in-depth household surveys but the time and cost of these should not be underestimated. Where they are used the results of such surveys should be used as widely as possible in strategic planning to justify their cost.

REVIEWING THE SWAP PROCESS

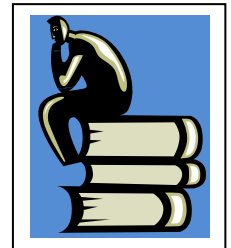
There is a need for the SWAp process to continuously be reviewed to ensure that it is delivering the planned outcomes and impacts. The findings from the review of outcomes and policy impact need to be reflected upon carefully from time to time to ensure that they are meeting the original SWAp aims or if these need to change. Outcomes, which are more concerned with changes in institutions, development processes, policy and the behaviour of participants in the sector are likely to be visible faster than the longer term impact on the livelihoods and food security of the beneficiaries. Outcome monitoring therefore becomes very important to the process of reviewing the SWAp.



This reflection process should be done at least once a year and should involve all key stakeholder groups. This will allow all views to be considered and fed-back into the SWAp design and implementation process.

SUMMARY OF KEY POINTS

- A key part of the SWAp process is trust: trust between partners and trust in the process. This requires transparency and accountability, and demonstrating performance and results.
- An accountability system starts by linking budgets to activities and then linking those activities to outputs, outcomes and impacts. This logic is needed to enable accountability to be achieved.
- Reporting progress within a programme is an essential part of accountability. Reporting systems are at the core of progress monitoring and need to be planned carefully – developing informing and influencing strategies can help this.
- Reporting should be one part of a wider M&E process. M&E is essential for understanding how well a programme is progressing and which elements are working well. M&E systems need to be designed carefully to ensure that they address the efficiency of performance of the development programme and the effectiveness of the programme's results.
- The outcomes of a programme are likely to provide medium-term indications of how well the programme and SWAp process are operating. The impacts are likely to be visible in the longer-term. These should be linked to wider national development objectives but the intended beneficiaries should be involved in monitoring and evaluating impacts against indicators which are meaningful to their livelihoods.





LEARNING CHECKLIST

Key questions that can be used to start to design accountability systems include:

- What systems do you already have to demonstrate the use of budgets against activities and outputs?**
 - Can these be developed to address the wider needs of the SWAp?
- Do your existing reporting systems address the concerns of partners around performance measuring?**
 - How can these be adapted to fit in with the needs of a SWAp?
 - How do you decide what form to disseminate reports in?
 - If you have an informing and influencing strategy in place, how will it need to be adapted to meet the needs of a SWAp?
- Does the lead ministry already have an M&E system/unit in place and will this be sufficient to address the needs of the SWAp?**
 - How does this need to be developed?
 - How will it address cross-sectoral issues?
- How comprehensive is the existing baseline data and how will this need to be improved?**
- What are the key macro-level indicators against which the impact of the programme will be measured?**
 - Does the M&E system cover these?
 - How will they need to be developed?
 - To what extent will skills and systems need to be developed?
- How are the intended beneficiaries included in this process?**
- How does the evaluation of results feed back into policy change?**
- How are development partners included in the reflection on impact evaluation and how are their views taken into account?**

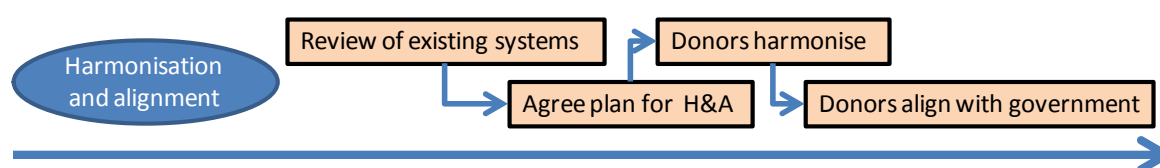
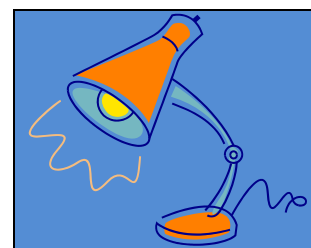




8. HARMONISATION AND ALIGNMENT

WHAT IS COVERED BY THIS SECTION

- Reviewing donor systems.
- Agreeing plans for harmonisation and alignment.
- Bringing donors systems closer to each other.
- Assisting donors to work together.
- Aligning systems with those of government.
- Summary of key points.
- Learning checklist



INTRODUCTION

Harmonisation of donor systems and their alignment with those of government is one of the hardest elements to achieve in a SWAp. This process has, from the beginning of the aid effectiveness debate, been the key step to take in terms of increasing efficiency and effectiveness of the development process and the one which has been avoided the most.

This needs to be done through a progressive process over time. In the first instance there is a need to assess what the different systems are that are used by the donors within the agriculture sector. This needs to be followed by a plan agreed by all development partners on bringing those systems together. Key to this is seeking out common elements of donor systems and starting to harmonise these. This can be followed by donors starting to use shared process such as one auditing system, a common reporting framework, shared monitoring missions, and joint reflection meetings. The final step is bringing those shared system in line with those of government.

REVIEWING EXISTING SYSTEMS

The starting point of a harmonisation and alignment (H&A) process should be an assessment of the existing donor systems in place in the agriculture sector. Where there are one or two donors supporting the sector then harmonisation is likely to be achieved more easily than where there are many donors each with a different system.



It is important to know which parts of the aid delivery system need to be harmonised. Key elements might include:

- The sector policy and planning process – particularly priorities for investment;
- The budgeting and funding process;
- Procurement systems;
- Implementation and management systems;
- M&E systems, reporting and financial management; and
- Capacity development.

It is essential, for a SWAp to work, that all the donors and government agree on the policy framework, plans and investment priorities that joint funding will focus on. This must be linked back to national development policies, objectives and strategies. If there is no agreement in these areas then there is likely to be disagreements about what should be funded, when funding should occur, and how progress should be assessed. In the past the focus of different donors on different policy areas within a sector has led to considerable policy distortion and wasted development resources.

Different donors fund development processes in different ways. Some provide direct general government budgetary support whilst others provide sector budgetary support. Some funds are ring-fenced to specific policy areas or projects; others are pooled with other donors into trust funds for specific activities. In some cases money is provided directly to civil society organisations or to the private sector without going through government at all. In many cases funds are held by a separate project implementation unit and are accounted for separately from the government's budget. In addition the commitment to support budgets over time varies considerably between donors. Some may agree to provide funding on a yearly basis, others for multiple years.

Procurement systems can also be very different across donors resulting in equipment from multiple sources each requiring separate sources of spares parts of repair skills. Likewise, technical assistance procured from the home country of the donor may not mesh well with specialists from other countries.

The use of project implementation units (PIUs), operating outside of the government system has tended to be the norm rather than the exception. These are often divorced from the normal operations of government and often detract from, rather than build up, the capacity of government. Where actual implementation is driven by donor-funded projects this can further distort policy implementation if implementation strategies and priorities are focussed on delivering outputs that are not the priorities of government.

Reporting and M&E systems that are different for each donor can be very costly in terms of time inputs from government staff. Where a diversity of systems is required this often results in these



system delivering poor results for all. Harmonisation is likely to lead to better overall results for government and donors.

Another key area where a multiplicity of support approaches can lead to confusion and wasted resources is that of capacity development. Different donors funding different areas of skills development to address specific needs within a project often lead to a waste of resources that would be better applied to a capacity needs assessment for the sector as a whole jointly funded by the donors followed by a combined approach to the development of attitudes, skills and knowledge across the ministry.

Assessing these different areas and deciding which need to be harmonised and aligned can then provide the basis for a plan for change. But the harmonisation and alignment of donor systems is not the only process that needs to occur. National systems need to be harmonised such that sectoral policies and plans are closely linked to those of central government and decentralised planning processes are harmonised with those at the central and with each other. In addition investment and implementation plans need to be closely linked to policy objectives and priorities. Furthermore, there is little point in aligning donor systems with government systems if those systems are not going to deliver what is needed of them. It is essential that the government systems are seen to be efficient and effective for delivering the requirements of government and the donors. The challenge of achieving this step alone should not be underestimated.

AGREEING PLANS FOR HARMONISATION AND ALIGNMENT

As can be seen from the previous sub-section there are many reasons why harmonisation and alignment make sense. Reduced cost, increased efficiency, greater coordination, stronger delivery of policy implementation and a more integrated approach to development are very likely results. These need to be understood by the different partners in the development process and should be the drivers of the change towards greater H&A. But even given these benefits there is likely to be considerable resistance to change, not least because the donors themselves often have inbuilt systems that are decided by home-based departments and may be standardised across countries. Changing these systems will take time and should not become all-consuming to the detriment of the wider SWAp process.

Having assessed the need for a harmonised and aligned system, guidance on the procedures to adopt should be sought at the national level. If there is a signed agreement between government and donors to achieve greater H&A this might well provide a roadmap on how this is to be achieved. This can be translated into a framework that is specific to the agriculture sector.

In line with the process of harmonisation and alignment and in the interests of more effective aid delivery, **development partners should enter into a dialogue** with each other and with government about how they will go about working towards fully engaging with the Government's systems. A part of this will be **recognising the leadership role** which government has in these systems. This should ideally be formalised into an H&A plan, with indicative milestones, that is agreed by all.



ASSISTING DONORS TO WORK TOGETHER

Key to achieving the aims of any H&A strategy will be building a consensus around the need for change and how that change will occur. A **technical working group** which brings together government, donors, civil society and private sector representative groups (as discussed above) can be a useful medium through which the H&A process can be discussed. Forming a sub-working group on H&A might help to take this forward in a collegial way. Part of this process will need to be a recognition that different development partners will want to move at different speeds and that flexibility will be key to progress.

Enhanced communications between donors and government, and between donors themselves, in terms of transparency and frequency, can also start to link procedures more closely. If these communications are extended to other partners in the SWAp, especially civil society organisations, the private sector and the intended beneficiaries, this can enhance wider harmonization across the sector.

Starting to adopt a **common language** for development processes, such as *participation, poverty, outputs, outcomes, and impacts* can help to bring partners together.

Many projects in the past have included a capacity building component. These often only address the specific time-bound needs of projects. One area where donors can have early success in working together is through jointly funding **combined capacity development initiatives**.

Joint monitoring missions can also reduce the time and effort of, often, overstretched government departments. In some cases donors have gone as far as to combine funding with one donor taking responsibility for oversight of expenditure and activities.

ALIGNING SYSTEMS WITH THOSE OF GOVERNMENT

Before development partners will be willing to align with the systems of government they need to be sure that those systems are able to deliver. In many cases the government systems will be weak, such as with M&E systems. Development partners should work with government to help it **build those systems, and build capacity** to implement these different systems to a standard that is required to improve the efficiency, effectiveness and equity of those systems.

An important part of this will be the **inclusion of government staff in donor procedures** such as M&E activities and starting to **use the government's agriculture policy framework** more routinely as the framework for planning, investment and M&E.

An essential part of donors starting to work more closely with government will be the **shared vision** of where the sector should be going. This will need to emerge as a jointly agreed policy framework and long and medium term plans. If these cannot be agreed then greater harmonisation and alignment of procedures are unlikely to occur as each partner pursues their own agenda.

A **code of conduct**, which defines wider aims and principles for collaboration, cooperation and communication, can be a useful way to go. This can also help to give direction to civil society and academic organisations that might otherwise go off at tangents to the wide sector development



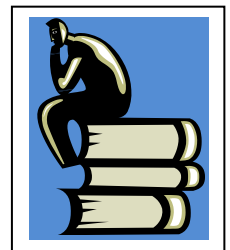
strategy. This, as stated above, needs to be developed in partnership with all key stakeholder groups.

Working more closely with other donors in **implementing common procedures** will also be important. Reporting, joint M&E missions, basket funding, common timetables, and joint auditing are all areas where collaboration and common procedures can reduce transaction costs and support government systems.

Working together to **develop a common baseline** for the sector can be an important starting point for donors and government to work together. This needs to be done early on in order to create viable investment plans and for M&E purpose.

SUMMARY OF KEY POINTS

- Harmonisation of donor systems and alignment with those of government is one part of a SWAp which can bring real benefits in terms of coordination, collaboration, communication and increased cost effectiveness. But it is also one of the most difficult to achieve.
- H&A is likely to progress slowly with different donors moving at different speeds. It should not become so all embracing an aim that the aims for the sector become secondary to it.
- If H&A is to become a successful reality then it needs efficient and effective government system to align to. There needs to be an early focus on building these.
- H&A is often focussed on funding arrangements but there are many other areas such as development priorities, time schedules, M&E systems, procurement, management measures, and capacity development.
- A key starting point for harmonisation is bringing different development partners together to discuss and share ideas. This should lead to dialogue around how to progress with H&A and a plan for this should be developed with indicative milestones.
- Encouraging donors to work more closely together through regular communications, a common language, joint monitoring mission, and combined capacity development initiatives can start to build alliances. Technical working groups and codes of conduct can be useful starting points.
- Working more closely with government may require donors to assist in building government systems. Working to a shared vision for the sector is an important starting point as is building a strong baseline for the sector.





LEARNING CHECKLIST

Key questions that can be used to start to the process of harmonisation and alignment include:

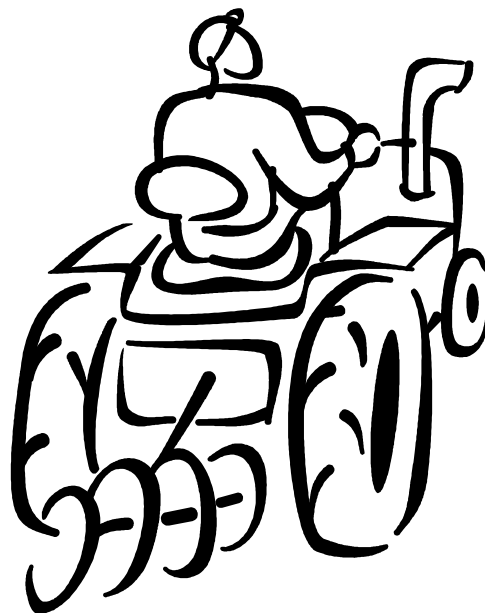
- How effective are the government systems that you wish donors to align with?**
 - Is there a need to develop these?
 - How can donors be encouraged to work together to strengthen these systems?
- What are the current systems that are used by the different donors in the sector, how different are they?**
- What approaches to H&A have been adopted in other sectors in your country?**
 - In what ways are they successful?
 - How could these be adapted to the agriculture sector?
- Do you have a central government strategic framework for H&A?**
 - How can this be built on at the sectoral level?
 - Can an agriculture sector H&A plan be developed?
 - What mechanisms can be used to develop this?
- Are there areas where harmonisation between donors could begin without too much difficulty?**
- Are there ways in which government staff could become more actively involved in donors systems?**
- What common elements to go towards a code of conduct for the development of the agriculture sector?**
- How can government and donors work together to develop a baseline for the sector?**



9. CONCLUSIONS

Programme Based Approaches generally and Sector-Wide Approaches more specifically remain very relevant to the development of agriculture sectors across Africa. They offer an opportunity for development within the agriculture sector to be much more effectively and efficiently implemented and for stronger and better partnerships between government, donors, civil society and the private sector to be built. They link very well with the CAADP process and provide a foundation for increased investment in the agriculture sector in line with the growth aims for the sector.

However, it must be realised that SWApS are not ends in themselves. They are a means for achieving better development and therefore must be negotiated through a process of partnership where common ground is agreed and shared responsibilities are taken forward. SWApS and other PBAs should not be seen as a way for Agriculture Ministries to take back control of the sector. They should be seen rather as a ways for government to lead the way towards a more collegial developmental process: a process that should be seen as one which is there to increase efficiency and effectiveness but which should not become an end in itself. SWApS can help prepare the ground for the successful implementation of National Agriculture Investment Plans, but they should not replace them. Together they can help to put the agriculture sector back where it should be as a major means of achieving growth, poverty reduction and food security for Africa.



10. RESOURCES

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POSTFACE

GUIDELINES FOR USING PROGRAMMATIC APPROACHES IN AGRICULTURE is a handbook written to strengthen the capacity of member countries of the Economic Community of West African States (ECOWAS), to lead the implementation of their National Agriculture Investment Plans (NAIPs), using the Sector Wide Approach (SWAp) as an example. The handbook is meant to provide guidance on the key concepts and ideas around programmatic approaches.

This manual presents SWAp as a relevant tool for Africa's agricultural sector development. It highlights SWAp opportunities for programs development within the agriculture sector, and the implementation of these programs through strong and meaningful partnerships between government, donors, and civil society and the private sector. Moreover, this handbook links SWAp to the Comprehensive Africa Agricultural Development Programme (CAADP) process and explains how CAADP can provide a foundation for increased investment in the agriculture sector in line with the growth objective for the sector.

This handbook is intended for decision makers and senior officials of Ministries of Agriculture and Finance who are tasked with developing a National Agriculture Investment Programme. Anyone interested in understanding and using a programmatic approach will find this **tool useful**. It is designed to enhance the stakeholders' understanding of what they are a part of, enabling them to assess their progress through the process and prepare for subsequent steps.