

Analyzing agricultural policymaking processes under the
CAADP monitoring and evaluation framework: a training
manual for policy analysis

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About ReSAKSS

The Regional Strategic Analysis and Knowledge Support System (ReSAKSS) is an Africa-wide network of regional nodes supporting the Common Market for Eastern and Southern Africa (COMESA), the Economic Community of West African States (ECOWAS), and the Southern African Development community (SADC), in collaboration with the International Food Policy Research Institute (IFPRI) and the Africa-based centres of the Consultative Group on International Agricultural Research (CGIAR), to facilitate the implementation of the AU/NEPAD's Comprehensive Africa Agriculture Development Program (CAADP) and other regional agricultural development initiatives in Africa.

The ReSAKSS nodes offer high-quality analyses to improve policymaking, track progress, document success, and derive lessons for the implementation of the CAADP agenda. ReSAKSS is jointly funded by the United States Agency for International Development (USAID), the UK Department for International Development (DFID), and the Swedish International Development Cooperation Agency (SIDA). The nodes are hosted by the International Crops Research Institute for the Semi-Arid Tropics (ICRISAT), the International Institute of Tropical Agriculture (IITA), the International Livestock Research Institute (ILRI) and the International Water Management Institute (IWMI), in collaboration with regional and national partners.

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1.0 INTRODUCTION

1.1 Background

Agriculture is a key economic sector in most African countries, providing income, employment and livelihoods for many rural households and communities. Agricultural exports dominate international trade emanating from the continent as well as formal and informal cross border trade between countries. The sector is also a source of raw material in industrial processing. Therefore, given its central and strategic role in African economies, efforts to fight poverty and spur economic growth inevitably revolve around the agricultural sector. The sector has been recognized in many continental, regional and national agricultural development initiatives as offering the best opportunity for promoting overall economic development in Africa, including opportunities for industrial growth. There is a broad consensus among policymakers and researchers that if appropriate agricultural policies are identified and correctly implemented, Africa will be able to overcome the persistent problems of poverty and food and nutritional insecurity.

Despite its obvious potential, however, the agricultural sector still faces many challenges. Among them, poor policies are cited as a major reason for poor performance of the agricultural sector in Africa. In recent years, there has been renewed emphasis on promoting agricultural production and food security in Africa through efforts such as the Comprehensive Africa Agriculture Development Program (CAADP). The CAADP framework provides a continental policy framework within which individual countries are expected to develop and align national agricultural policies with the coordination of regional economic communities. This has made the agricultural policymaking more complex due to entry of new actors and processes that have increased the role of devolved governments, the private sector and farmer organizations in the policymaking process. In addition, regional economic integration has increased the role of regional economic communities in guiding national policies.

In spite of this renewed attention to the agriculture and rural development sectors, the contemporary agricultural policymaking processes in the region and the political economy motivations that underlie them remain poorly understood. Policies are often formulated without evidence, and their likely impacts are poorly analyzed and understood. Even when good policies are formulated their impacts are often hindered by poor implementation. The changing policy environment requires that different stakeholder groups in the region increase their understanding of policymaking processes in a changing environment and acquire the necessary skills and tools to influence policy formulation and implementation. This requires a good understanding of the policymaking processes themselves and the ability to identify opportunities to influence policy. However, many stakeholders in the agriculture sector lack a good understanding of these policy processes especially the CAADP process. In order to fill this gap, the Regional Strategic Analysis and Knowledge Support System for East and Central Africa (ReSAKSS-ECA) has prepared this training manual for actors in the agricultural sector in the region to increase their capacity to understand and influence agricultural policy in their respective countries and to contribute effectively to the contemporary agricultural policy processes under the CAADP framework.

1.2 Objectives

The overall aim of the policy training is to increase the knowledge and capacity of various stakeholder groups to influence agricultural policy through:

1. Increasing their understanding of the process of agricultural policy formulation, policy analysis and evaluation
2. Exposing them to the CAADP policy initiative at the continental, regional and national level
3. Enhancing their capacity for policy analysis, given the contextual policy processes and frameworks

1.3 Expected acquired skills upon completion of the training

1. Improved understanding of the art and science of policymaking
2. Improved understanding of agricultural development initiatives in Africa and their relation to regional and national policies
3. Improved capacity to analyze and evaluate policy processes, and identify opportunities to influence policy for greater positive impact

2.0 PUBLIC POLICYMAKING PROCESS

2.1 Public Policy: Definition

Public policy has variously been defined as:

- The authoritative statements or actions of government meant to change behaviour and which reflect the decisions, values or goals of policymakers.
- The sum of government activities, whether pursued directly or through agents, as those activities have an influence on the lives of citizens.
- The combination of basic decisions, commitments, and actions made by those who hold or affect government positions of authority to influence behaviour.

In essence public policy refers to the course of government action (or inaction) taken in response to public problems. It is associated with formally approved policy goals and means, as well as the regulations and practices of agencies that implement programs. Thus, public policy essentially entails a set of deliberate and interrelated decisions meant to shape the behaviour of individuals or communities to achieve desired goals. It is also important to note that public policies are developed and implemented in response to public problems. That is, they are demand driven.

2.2 Key characteristics of public policies

Public policies bear certain features, some entirely inherent while others are created to make them resonate well with the public, the policy implementers and other stakeholders. These characteristics include the following:

- a. Problem-centred: public policies attempt to address specific problems affecting a community, investors, a group of farmers, disadvantaged groups in society, and other actors;
- b. Based on scientific methods to be able to convince stakeholders on reliability and some degree of objectivity;
- c. Normative – cannot claim complete objectivity as value judgement cannot be entirely eliminated;
- d. Involves some art, craft and persuasion to marshal various interest groups. This is because there are almost always public policy tradeoffs between those who lose and those who gain from it. This is why it is important to evaluate the net gain to establish if the desired goal is being achieved; and
- e. Multi-disciplinary: Good public policies incorporate ideas from actors in different fields such as economics, sociology, biology, political science and the community of practice.

Public policies are formulated within various contexts:

- a. Social context: this includes the dynamics within the society such as demographic changes;
- b. Economic context: includes the resources available, distribution of the resources, anticipated global economic trends etc
- c. Political context- this considers the political ideology of a country and/or the people in power at a particular time;
- d. Governance context: this refers to the structure of the government as well as the governance institutions in the country at a particular time, and those that can/need to be created for effective policy implementation, monitoring and evaluation;
- e. Cultural context: the beliefs and value systems of the people.

2.3 The need for public policy

Public policy is a reflection of government intervention into the problems that the society is confronting. The critical question then is, “why should the government intervene?” The reasons for government intervention through policy are diverse, ranging from politics and ethics to economics.

Key economic reason that calls for government intervention is market failure. Markets are said to have failed when they do not exist at all (missing but desirable) or when they are unable to allocate resources efficiently (malfunctioning). Causes of market failure include:

- a. Existence of monopolies or oligopolies;
- b. Imperfect information;
- c. Existence of externalities; and
- d. Inability of the private sector to provide public or collective goods.
- e. Existence of barriers to entry or exit

2.3.1 Existence of monopolies and oligopolies

Monopolists and oligopolists enhance their profits by restricting output so as to charge higher prices for their products. They could also lower the quality of their products to increase their margins. It is incumbent upon the government to check this unscrupulous behaviour through appropriate public policies.

2.3.2 Imperfect information

Decisions of consumers, for instance, are conditioned by the amount and quality of information available to them. Where information asymmetry exists, sellers take advantage and exploit consumers, either by selling inferior quality good or over-pricing the goods. It is, thus, imperative that the government intervenes to ensure that accurate and adequate information is made available by producers and sellers.

2.3.3 Externalities

These are unintended third party effects of activities of an economic agent. These effects are either positive or negative—positive when the third party derives benefits for which he/she is

not charged (e.g. ambiance from tree planting) and negative when third parties suffer harm or losses for which they are not compensated (e.g. pollution). Producers of negative externalities should be made to internalize all the external costs and this is only possible through government intervention, say by means of taxation. On the other hand, producers of positive externalities need to be compensated through subsidies.

2.3.4 Provision of public goods

While it is possible to restrict consumption of private goods to those who are able to pay for them, no one can be blocked from consumption of pure public goods such as a public road or national security. As a result, it is not possible to impute a price on the pure public goods, and even if this were possible, it would be very difficult to compel everybody to pay—payment would only be dependent on the consumer's own good will. For this reason, private sector cannot provide pure public goods. Thus, for provision of such goods, the government itself must be directly involved because it is able to fund the provision through taxes. Another class of public goods that may require government intervention is the “merit goods”—goods that are good for the society in general but are under consumed, either because of lack of information or because the private sector is over-charging (e.g. education, health, safety belts in public service vehicles). For this class of public goods, the government may intervene through subsidies or direct provision, or through appropriate legislation.

Common pool resources are resources owned and used by a defined group of people who can exclude outsiders but not the group members. Such resources, if not well regulated by the users, can be excessively degraded. To avoid degradation of the resource, it may be important for the government to intervene by introducing policies that would make the resource users to act in a responsible and collaborative manner.

2.3.5 Barriers to entry or exit

In competitive markets, firms are free to enter and exit a given industry without inhibitions. Barriers to entry or exit are said to exist when inhibitions to free entry and exit exists in a given market. George Stigler, a famous economist defines an entry barrier as “A cost of producing which must be borne by a firm which seeks to enter an industry but is not borne by firms

already in the industry” while Franklin Fisher an American economist defines barriers to entry as “anything that prevents entry when entry is socially beneficial”. Examples of barriers to entry include:

- **Advertising:** where the firms that are already in the market make it difficult for new competitors by spending on advertising that new firms would find more difficult to afford. This is known as the market power theory of advertising.
- **Lack of capital;** new firms are unable to obtain the start-up capital such as equipment, building, and raw materials
- **Control of resources;** If a single firm has control of a resource essential for a certain industry, then other firms are unable to compete in the industry.
- **Predatory pricing;** The practice of a dominant firm selling at a loss to make competition more difficult for new firms that cannot suffer such losses, as a large dominant firm with large lines of credit or cash reserves can. This is classified as an illegal practice in most countries but it is difficult to prove.

Others include economies of scale, customer royalty, distributor agreements, and government regulations among others.

2.4 What is policy analysis?

Policy analysis refers to the process through which alternative policies are identified and evaluated with the ultimate goal of lessening or resolving social, economic, or physical problems. Policy analysis (what ‘should be’) is distinct from policy advice (what ‘can be done’). Economic analysis is distinguished into two forms; Positive economics (“What is”) and Normative Economic Analysis (What ought to be or what should be”) Economists assist in developing policy and program alternatives but also evaluate the consequences of policies adopted for implementation. In agriculture sector, they provide insights into the origin and nature of commodities’ value chain challenges and opportunities. The demand for policy analysis is derived from a real need for policy change. Policy is a process that sets a deliberate

course of action and how to implement it. The process includes setting policy agendas; legislating—developing laws, regulations and procedures; and implementing them. It is also about what happens on the ground: a policy is worth nothing unless it results in actual positive change. The demand for policy analysis is derived from a real need for policy change on the part of actors among the stakeholders affected by the problem.

Policy analysis is a process with clearly defined steps:

Step 1: Define and analyze the problem (Problem Analysis)

In this stage, the policy analyst examines the various dimensions of the problem. He/she deals with such questions as:

- What is the problem?
- Who is affected and in what magnitude?
- How does it manifest itself in the community?
- What are the causes and the progression?

It is the most critical stage in policy analysis. The analyst attempts to frame the problem in concrete terms and to develop a statement that gives a clear understanding of the multidimensionality of the problems (e.g. technical, political, economic, cultural dimensions).

To undertake this stage effectively, a number of steps need to be followed:

- Think about the problem;
- Clearly define the boundaries of the problem in terms of location, the length of time it has existed and how it relates to other problems;
- Develop a fact base. That is, collect and verify information about the problem;
- List possible solutions of the problem, making use of experiences gained from environments that has experienced similar problems
- Identify the constraints within which the analysis is being done e.g. human resource constraint, financial constraints or political constraints;

- Display the potential costs and benefits: it is important to identify the potential costs and benefits of solving the problem; the analyst should indicate the gains and losses to each party concerned (tradeoffs of losers and gainers upon solution of the problem).
- An objective can be furthered only if another is impeded (gains for one goal result in losses for another. Policy makers are expected to place weights on the conflicting objectives, by how much they value gains for one objective versus losses for the second objective.
- Review the problem statement. Before moving to the next stage, it is useful to review the problem statement to ensure that it clearly communicates the problem.

Step 2: Develop policy alternatives

Policy alternatives are possible solutions to the problem. To develop policy alternatives, the analyst addresses such questions as:

- What might be the possible solutions?
- What are the most important steps?

Possible alternatives include maintaining the status quo i.e. "Do nothing approach" and any other that can benefit the outcome. Relying on past experiences from other groups or policy analysis helps to create a more thorough analysis and understanding. It is important to avoid settling prematurely on a certain number of options in this step; many options must be considered before settling into a reduced number of alternatives. Alternatives can be generated through brainstorming, research, experiments or developing a decision matrix. A decision matrix is a 2-dimension matrix that presents on one axis, a list of alternatives (options or possible solutions) that are evaluated with respect to the problem and on the other axis a list of criteria which are weighted depending on their respective importance in the final decision to be taken regarding the solution to the problem.

Step 3: Select the policy evaluation criteria

Suitability of different evaluation criteria is dependent on the problem being solved and the circumstances under which the policy will be implemented. The analyst, therefore, has to select the criteria upon which he/she will assess the policy alternatives. Some of the possible evaluation criteria include; effectiveness, efficiency, equity, political feasibility, administrative ease among others.

Step 4: Assess the policy alternatives

On the basis of the selected evaluation criteria, the policy analyst conducts an objective assessment of the policy alternatives to determine which ones are likely to yield the desired results. Based on the findings, the policy alternatives are ranked to provide evidence upon which conclusions are drawn.

Step 5: Conclusion

At this stage the policy analyst gives his/her findings on the viability of different policy alternatives or their combinations. Care must be taken to avoid making a decision for the policy maker. The work of the analyst, here, is simply to articulate the findings and let the policy maker to decide which alternative to adopt, having got full information. The main aim of this step is to display and distinguish among policy alternatives. It can take the form of a summary, indicating the costs and benefits as well as the problems of each policy action, or a matrix.

Step 6: Monitor and evaluate the implemented policy

In most cases, the policy analyst is not involved in the implementation of the selected policy alternative. However, the analyst should take part in monitoring and evaluation of the policy being implemented.

2.5 Policy evaluation criteria

Criteria that are used to evaluate and rank policy alternatives are broadly classified into 4 categories:

2.5.1 Technical criteria

These measure the ability of a policy alternative to solve the intended problem. That is, whether it meets the set objectives or not. Two major aspects are considered under technical criteria;

- i. Effectiveness: Is the policy alternative capable of solving the problem, and to what extent? Effectiveness may or may not be easy to evaluate. The fastest and most direct approach is to examine how the same policy performed elsewhere. This must, however, be treated with caution because the fact that a policy succeeded in one country does not imply that it will succeed in another. Effectiveness has various dimensions—direct and indirect effects; short term and long term effects; and quantifiable and non-quantifiable effects. Direct effects are those that address the stated objectives of the policy while indirect effects are those that are not associated with the initial objectives of the policy.
- ii. Adequacy: this measures whether a policy alternative fully meets the stated objectives or not. So it is an indicator of how far the problem has been solved.

2.5.2 Economic and financial criteria

Financial criteria consider the financial cost and benefits of undertaking a given policy alternative. Economic criteria include costs and benefits to society as a whole of undertaking the policy as well as the distribution of these costs and benefits. It implies optimization of income from sustainable use of available resources. Cost and benefits can be tangible or intangible, monetariseable or non-monetariseable, and direct or indirect.

2.5.3 Political criteria

Political criteria measure whether alternative policy is acceptable to relevant groups. If a policy is not supported by decision makers, government and the general public, it has little chance of being adopted, and if it is adopted, it has little chance of being implemented. Political criterion considers components such as acceptability, appropriateness, responsiveness, legality and equity.

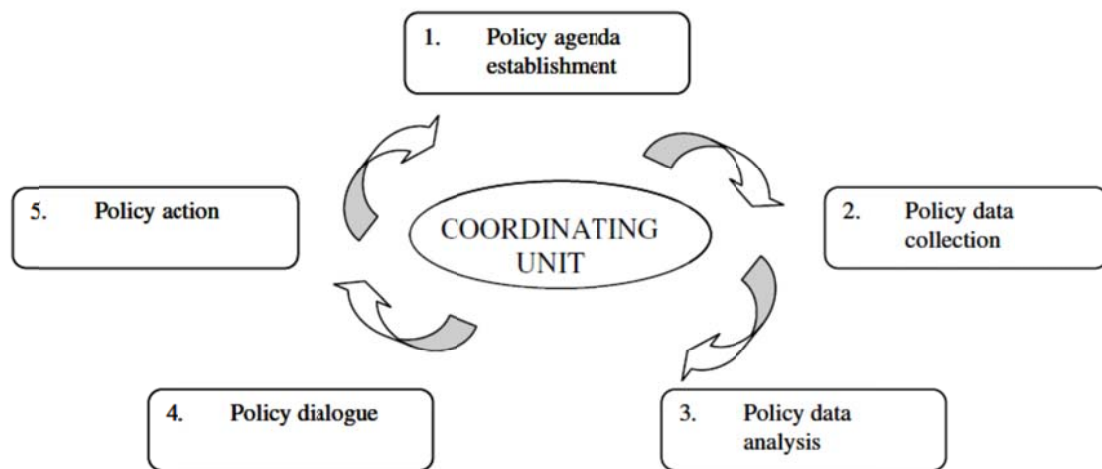
- Acceptability refers to whether the actors in the political process are willing to accommodate the policy.
- Appropriateness measures whether the policy alternative fits within the values, beliefs and aspirations of the people. A policy alternative is responsive if it meets the needs of the people, a fact that makes the people also support it. For a policy to be implementable, it must be legally acceptable within the existing laws, rules and regulations, otherwise there may be need to amend the laws/rules to accommodate it.
- Equity addresses the sharing of costs and benefits, and this must be done in a manner that is fair to all groups and regions. It can be horizontal, vertical or inter-generational. Horizontal equity refers to equal treatment of the equals while vertical equity if the distribution of costs and benefits among different classes in the society. Inter-generational equity is the distribution of costs and benefits across generations

2.5.4 Administrative criterion

This is the measure of the ease with which a policy alternative may be implemented. It considers such aspects as; authority, Institutional commitment, capacity and organizational support. The implementing agency should have the legitimacy, commitment and capacity to implement the policy.

2.6 Policy cycle

Because the situations keep on changing continually, it becomes necessary to occasionally review and reshape the existing policies especially the high-level policies to reflect the changing situations. This review creates the policy cycle which has several distinct stages summarised below:



Source: Adopted from ECAPAPA (2004)

The policy cycle is complex and quite often unpredictable. It involves many actors in the public, private, donors and even civil society. These actors often represent multiple and often competing agenda. Inevitably the policy cycle is characterised by intense competition and negotiation process among the actors. Ultimately, policy choices have to be legitimized through a political process which further deepens the complexity. This is especially the case when policy change proposes change while the status quo is the norm.

2.7 Why policies fail and possible remedies

Public policies may fail for a variety of reasons including:

- a. An inadequate understanding of the issues to be addressed
- b. Poor management of the policymaking process itself
- c. Faulty policy design: Due to lack of information, policy makers may end up with wrong policy designs, leading to policy failure;
- d. Lack of support for the policy by the actors in the implementation process; (lack of clear ownership (effective stakeholder engagement) and well focused leadership or failure to secure buy-in from those responsible for service delivery
- e. When adoption is driven by factors other than those desirable for designing effective policy solution;

- f. Poor implementation. For instance, “go-stop-go” approach. (Failure to secure or develop the capacity and capability for successful implementation)
- g. Under funding resulting from hitherto unanticipated economic or political circumstances that may distort government priorities; (lack of realism about how the policy will work in practice.
- h. Ineffective monitoring and evaluation, limiting prompt identification and bridging of deviations; (failure to establish an effective framework for M&E and to define appropriate measures of success)
- i. Exogenous factors such as wars, natural calamities; (Inadequate understanding of changes in the external environment or failure to identify and manage risks and plan for unforeseen events)
- j. Poor governance and corruption; and
- k. Political interference.

Therefore, the success of any public policy depends on good governance, political support, security favourable political environment and capacity for policy analysis, formulation and implementation.

3.0 UNDERSTANDING POLICY PROCESS: CONCEPTUAL ISSUES

3.1 Components of a policy framework

The main components of a policy framework include objectives, constraints, policy instruments and strategies. The objectives are the desired goals (targets) of economic policy as defined by policy makers. The constraints are the realities (economic and non-economic) that limit what can be accomplished or achieved. They are set by a system of supply, demand and world price conditions and either further or impede attainment of objectives. The policy instruments are what the governments can use to change the economic and non-economic outcomes. For instance agricultural price policy instruments include taxes, subsidies, and international trade restrictions, like tariffs and quotas and direct controls on margins, prices or crop choices. Strategies are the sets of policy instruments that governments can use to achieve the stated objectives.

3.2 Conventional view of policymaking

The conventional view looks at policymaking as being a linear process in which rational decisions taken by those with authority and responsibility for a particular policy area. This approach views policymaking as involving a number of stages that lead to a decision:

- i. Understanding the policy issue or problem (agenda setting);
- ii. Exploring possible options for resolving the problem;
- iii. Weighing up the costs and benefits of each;
- iv. Making a rational choice about the best option (decision-making)
- v. Implementing the policy
- vi. Evaluating outcomes

Under this model, policymaking is viewed as being a linear and logical process, in which policy makers identify a problem, commission research, take note of the results and make sensible policies that were then implemented. This model assumes that policy makers approach the issues rationally, going through each logical stage of the process, and carefully considering all relevant information. If policies do not achieve what they are intended to achieve, blame is

often not laid on the policy itself, but rather on political or managerial failure in implementing it. Failure can be blamed on a lack of political will, poor management or shortage of resources, for example. There is a separation of fact (a rational policy approach, based on evidence, science and objective knowledge) and value (seen as a separate issue dealt with in the political process). This traditional approach to the policy process has, however, proven to be an inadequate reflection of reality. Nowadays, policymaking is recognized as a dynamic, complex, chaotic process, described sometimes as chaos of purposes and accidents, and is not a matter of rationally implementing decisions through selected strategies. Several alternative views, highlighting a whole range of other factors that impact on, and influence policymaking have been proposed.

3.2 Policy processes

In general, policy processes, among other things encompasses the complex relationship between research, expertise and policy political interests, public participation and network theory. Any successful policy engagement strategy requires the ability to frame the policy issue, as well as an understanding of the dynamics of both formal and informal processes of policy and decision-making. To effectively influence policy, there is need for a detailed understanding of the actors in the policy processes and their networks, their discourses and narratives, and the institutional environments and power relations within which these decision makers are embedded. As noted by Keeley and Scones (2003), to understanding policy process the following questions must be answered:

- i. How do policies get created and by whom?
- ii. How do ideas about what makes a 'good' policy evolve and change over time?
- iii. Whose voices and views are taken into account in the policy process?
- iv. How are boundaries drawn around problems and policy storylines elaborated?

In essence, understanding policy process sheds light on how certain policy views become dominant at the expense of others or how new ones are created over time. A study of policy process should look at the complex and messy processes by which policy is understood,

formulated and implemented, and the range of actors involved. As noted by Keeley and Scoones (2003), contrary to traditional views of policymaking as linear and rational, with decisions being taken by those with authority and responsibility for a particular policy area, the policy process is now more commonly recognised as being non-linear and having the following characteristics:

- i. Policy-making is incremental, complex and messy: It is iterative, and is often based on experimentation, learning from mistakes, and taking corrective measures. Hence, there is no single optimal policy decision or outcome. This is in contrast to the standard assumption that policymaking happens in neat step-by-step fashion, tidily informed by problem-free technical knowledge. It is argued instead that policy processes are frequently distinctly non-linear; political, incremental and haphazard'
- ii. There are always overlapping and competing agendas; there may not be complete agreement among all stakeholders over what the really important policy problems might be.
- iii. Decisions are not discrete and technical: facts and values are intertwined.
- iv. Implementation involves discretion and negotiation by front-line workers/implementers; this gives staff more scope for innovation than they are often credited with.
- v. Technical experts and policymakers 'mutually construct' policy – i.e. jointly negotiating what questions need to be answered and what knowledge can be provided to answer them (experts contribute to setting the agenda for policy by defining what evidence they can produce and by making claims about its significance for policy-makers. The negotiation process works both ways, however, and policymakers also delimit areas for scientific enquiry in the process of effectively cutting off certain avenues of research, and the very possibility of the creation of certain facts).

The study of policy processes therefore involves understanding the mechanics of decision-making and implementation pathways – and just as importantly it requires an understanding of more complex underlying practices of policy framing i.e. the way boundaries are drawn around

problems; how policy problems are defined and what is included and excluded from consideration; the policy narrative/storylines elaborated and the networks associated with them.

3.3 Models of policy process

In literature there are many models of policy process (Sutton 1999). However as noted by Ragasa et al. (2011) only a limited number of empirical analyses have tested various theories and models of policy processes and endeavoured to understand the intricacies and complexities of policy creation in the developing world especially in Africa. The following models are considered in this manual:

3.3.1 The incrementalist model

According to this model, policy makers look at a small number of alternatives for dealing with a problem and tend to choose options that differ only marginally from existing policy. For each alternative, only the most important consequences are considered. There is no optimal policy decision; a good policy is one that all participants agree on rather than what is best to solve a problem. Incremental policymaking is essentially remedial; it focuses on small changes to existing policies rather than dramatic fundamental changes. What is feasible politically is only marginally different from the policies that exist, drastically different policies fall beyond the pale. In this model, policymaking is also serial, you have to keep coming back to problems as mistakes become apparent and are corrected, and new approaches to the issues are developed. The model suggests that major changes occur through a series of small steps, each of which does not fundamentally 'rock the boat'. In essence this model views the policy process as one of disjointed incrementalism or muddling through' (Lindblom 1980).

3.3.2 The mixed-scanning model

The mixed-scanning models cover the middle ground between the rational (or linear) and incrementalist models. It essentially divides decisions into a macro (fundamental) and micro (small) classification. It involves the policy maker in taking a broad view of the field of policy. The rational/ linear model implies an exhaustive consideration of all possible options in detail, and the incrementalist approach suggests looking only at options which from previous

experience are known to exist. In contrast, a mixed-scanning approach suggests taking a broad view of possible options and looking further into those which require a more in-depth examination.

3.3.3 Policy as arguments

Under this model, policy reforms are presented as reasoned arguments (Juma and Clark 1995). Policy is developed through debate between state and other societal actors. Policy actors present claims and justifications which others review critically. Language not only depicts reality in such arguments, but also shapes the issues at hand in these debates. It is a means of communication of ideas, but also serves to reflect certain political stances, moulding social reality using ideological arguments.

3.3.4 Policy as social experiment

This model views social change as a process of trial and error, which involves successive hypotheses being tested against reality in an experimental manner. It is based in the experimental approach of the natural sciences.

3.3.5 Policy as interactive learning

This model is rooted in a criticism of development policy as being 'top-down', not generated from the communities in which policies are implemented. It argues for an 'actor-perspective', emphasizing the need to take into account the opinions of individuals, agencies and social groups that have a stake in how a system evolves. The approach promotes an interaction and sharing of ideas between those who make policy and those who are influenced most directly by the outcome.

Besides these major theories, there are some derivations of these models for example, Keeley and Scoones (2003) who focus on three broad approaches to explaining policy change: (1) Interactions of multiple groups with differing political interests; (2) Connection and interaction of groups and actors through networks, alliances, and coalitions, within which individual actors exercise discretion and choice, allowing for the play of chance and contingency in policy change; and (3) Policy as discourse, a method by which knowledge and power is transformed

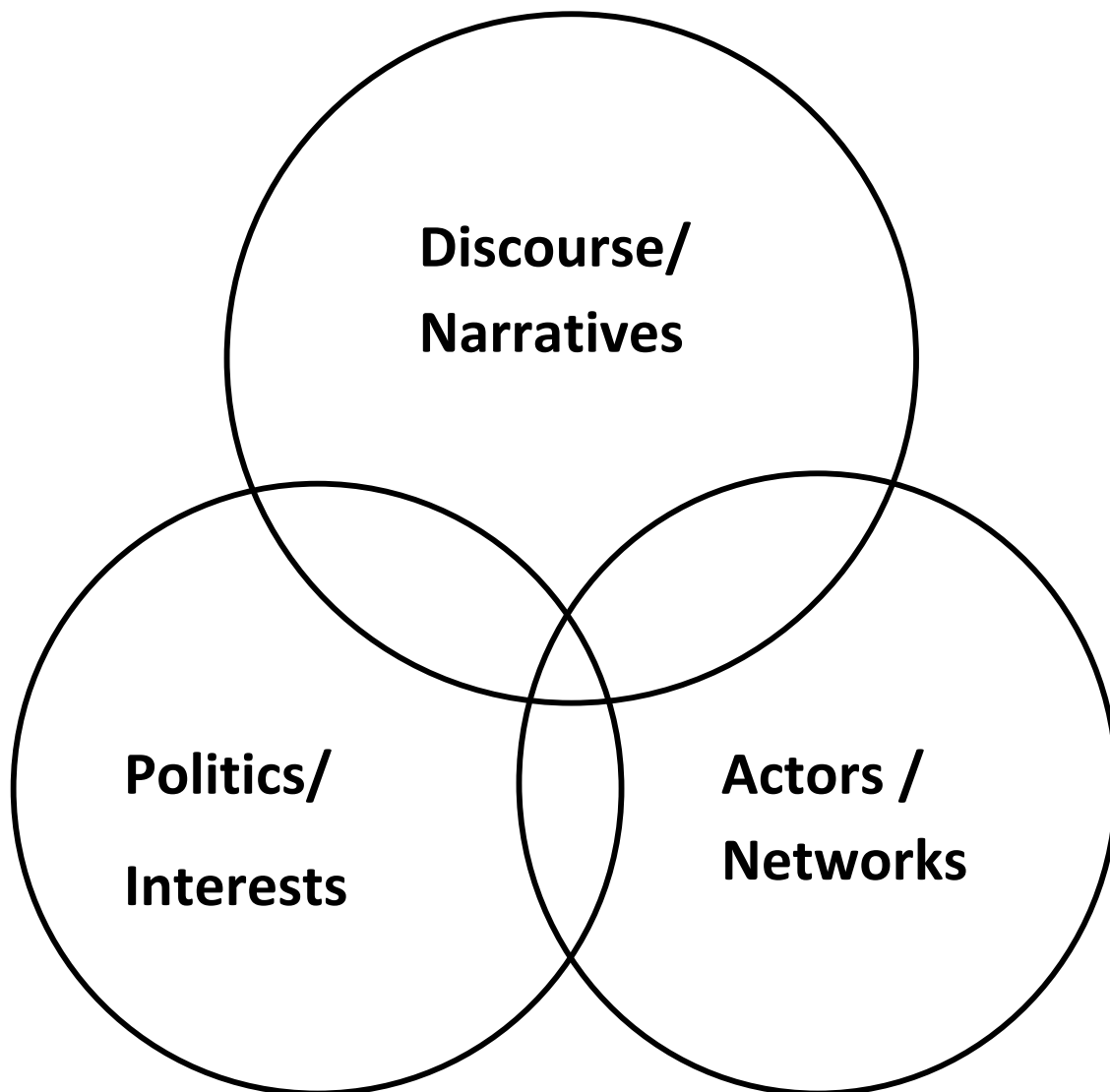
into a set of practices, and in which the interests of actors are socially constructed. This manual focuses the Keeley and Scoones (2003) model in order to provide a framework for analyzing agricultural policy process using the three lenses; interests, actors & their networks and policy discourse & narratives.

3.4 Policy process model: Actors, interests and narratives

The three key concepts/tools proposed by Keeley and Scoones (2003) provide a framework for understanding of policy processes and allow us to put some order on the 'chaos of purposes and accidents' that characterizes the policy:

- Discourses/narratives
- Actors/networks
- Politics/interests

These different perspectives on understanding policy change overlap. Each comes from different intellectual traditions; but each offer particular and important insights. Understanding policy processes therefore comes as a result of looking at all three together, at the intersection of the three overlapping perspectives (see diagram below).



Source: Keeley and Scoones, 2003

Understanding these three influences on policy enables us to start to answer the question: Why are some of the ideas that circulate in the research/policy networks picked up and acted on, while others are ignored and disappear? This is a more complex question than the standard question: how can knowledge be transported from the research to the policy sphere?

Similarly a shift in focus from **policy analysis** to **policy process analysis** implies a different response to 'bad' policy. The technical approach would be to explain why it is misguided and suggest how it might be improved. However, if there is something intrinsic to the policy process that means that policies invariably take a particular shape, then technical policy analysis may have limited utility, and what may be needed is a more wide ranging examination of policymaking itself.

3.4.1 Policy narratives

Policy narratives (often dominant 'received wisdoms') are stories with a beginning, middle and end that describe events, or define the world in certain ways, and that shape policy decisions. These cause and effect story lines define a problem, explain how it comes about and show what needs to be done to avert disaster or bring about a happy ending: what is wrong and how it must be put right. They often gain validity despite (or even because of) the fact that they frequently simplify complex issues and processes. This simplification is seductive in that it sidesteps fuzziness and suggests a programme of action. This is what makes simple narratives appealing to politicians or managers – sweeping people along. Some narratives tend to gain more authority, and persist at the expense of others, and hence have more bearing on policy decisions.

A good example of an influential and persistent narrative is the one that has shaped perspectives on natural resources in Africa from colonial times. The storyline goes that because people are poor they don't know how to look after the environment and natural resources around them, or can't afford the luxury of doing so. The poor will exert a disastrous impact on precarious environments and this is exacerbated by relentless population growth. Therefore the government had to take over the management of such resources. Other well-known narratives include: the 'tragedy of the commons', desertification, soil erosion, biodiversity loss etc. Many are narratives of crisis, demanding attention and urgent solutions yet in the process, dispossessing communities of their resources (e.g. denying farming in wetlands and attempts to 'improve' and modernise farming); or evictions from protected areas. Research has found that many of these narratives were untrue or that they suggest solutions that have caused further problems. Narratives are sometimes criticised because it is believed they cause 'blueprint'

policy, that is, a prescribed set of solutions to an issue used at times and in places where it may not be applicable. Received wisdoms/narratives can stick with great tenacity, despite contrary perspectives and practices. Why?

- Most obviously – they suit certain political interests.
- Such messages are easily communicated, they make for good sound-bite political marketing, and they fit well with the demands for clarity and measurable manageability of large-scale bureaucratic organisation.
- The storylines and metaphors are so taken for granted that they limit thinking about particular areas – this becomes the way things are thought about over time. Narratives reduce the ‘room for manoeuvre’ or ‘policy space’ of policy makers, that is, their ability to think about new alternatives or different approaches.
- The narratives become embedded in particular institutional structures or actor-network groups.

Policy narratives can be better understood by answering the following questions:

What is the narrative (the context)?

- What is the basic problem being addressed – how is it framed?
- Who has identified the problem, using what sources of information?
- What sources of information or experience helped share this view?
- Whose interests and perspectives are included and excluded?
- Who does the narrative bring to centre stage?
- Who gets more power?
- Who gets more resources from this narrative?
- Whose perspectives and interests are ignored?

How could this be reframed?

- If the problem is set up like this, where will we end up concentrating our energies?
- Which groups need to be repositioned in the narrative?
- Are there any other ways of looking at the problem?

- Are there issues being left off the map?
- How can we make coherent links between these excluded issues, perspectives and groups?

What might be a counter-narrative?

- Is the story clear and simple?
- Does it suggest a course of action?
- Does it acknowledge complexity and uncertainty?

3.4.2 Actors, networks, coalitions

Networks, coalitions and alliances of actors (individuals or institutions) with a shared vision (i.e. similar belief systems, codes of conduct and established patterns of behaviour) are important in spreading and maintaining narratives through chains of persuasion and influence, which can include journals, conferences, being taught by the same person or informal introductions. Through these networks norms of good and bad practice are reinforced, research agendas are set, and orthodoxies or conventional wisdoms are reiterated and, very often, dissenting opinions or unconventional views are suppressed.

In any given policy domain actor networks are not exclusively confined to state institutions but link up parts of the bureaucracy and government with the private sector, donors and actors in civil society such as journalists, researchers and NGOs. This means that on the other hand the existence of actor-networks can make for pluralist policymaking involving a range of different stakeholders or actors. Processes of negotiating and bargaining between competing interest groups are central to policymaking. And networks can also gradually change narratives as well as reinforcing them – as they bring people together who strategise and catch the attention of the right people.

To understand the role of policy networks and coalitions in influencing policy process, the following questions would provide insights:

- Who is inside and outside a policy network?

- Are there alternative networks outside the mainstream?
- How do people and institutions become enrolled into networks?
- How do ideas circulate through a network? (role of connectors, policy entrepreneurs, salesmen, power brokers)
- What core values or beliefs define a network?
- Where is the mainstream network strong and weak?
- What new coalitions might form outside the mainstream?

3.4.3 Political interests

It seems obvious that policy is inherently political and contested. But the conventional view of policy in which fact and value are separated denies this fact. Politics shapes policy processes in several important ways:

The political context includes factors such as the interests of particular regime authorities to remain in power. Competition also exists between groups in society, based on their differing interests with regard to, for example, allocation of resources, or social interests.

- a) The policy process is influenced by a range of interest groups that exert power and authority over policymaking. These influences affect each stage of the process from agenda setting, to the identification of alternatives, weighing up the options, choosing the most favourable and implementing it. The vested interests of various actors in policy - government agents, officials of donor organisations, and independent 'experts' – might be served by the perpetuation of certain narratives.
- b) Policy is set out as objective, neutral, value-free, and is often termed in legal or scientific language, which emphasises its rationality. In this way, the political nature of the policy is hidden by the use of technical language, which emphasises rationality and objectivity. But the technical is always in some way political.

- c) Bureaucrats are not just neutral executors of policy, but have their own personal and political agendas to negotiate. Bureaucratic politics, such as battles within ministries for control over policy arenas, are relevant.

Politics/Interests/Time dimension: some questions:

- Who is engaged in the policy process?
- How many stakeholders are there?
- Is there political interest in change?
- What is the macro-political context (democracy, governance, media freedom, academic freedom)? External environment: 'war on terror', CAADP, PRSP processes (i.e. big incentives); impact of key donors
- Are there clear vested interests in this policy area?
- Who are losers, gainers (tradeoffs) and barriers determining feasibility of policies even if policy designs are good?
- What are the short versus long-term tradeoffs in decision making?
- Differentiate between advice/influence on policies and advice on the process of generating policies
- Is the process essentially inside a bureaucracy or outside?
- How much capacity exists within the bureaucracy to reflect on policy aims and management?
- What types of informal relationships occur within a bureaucracy? Are certain ministries or departments dominated by people from one geographical area, disciplinary background, political party or academic institution?
- What is the room for manoeuvre for pushing different ways of doing things (what 'policy spaces' exist?)
- Is there need for scenario planning to determine feasible storylines within the policy space?

3.4.4 The concept of policy space

The concept of policy space relates to the extent to which a policy maker is restricted in decision making by forces such as the opinions of a dominant actor network or narrative. If there are strong pressures to adopt a particular strategy a decision maker may not have much room to consider a wider set of options. There may be times, on the other hand, when an individual has a substantial amount of leverage over the process, is able to assert his or her own preferences and mould the way policy choices are considered fairly considerably.

Understanding policy processes through an examination of knowledge/narratives, actors/networks and politics/interests can help with identifying policy spaces. For example, the articulation of alternative narratives is possible where there is a weakness in the articulation of a dominant narrative. This in turn requires identification of spaces within networks (spaces to join networks or key actors in networks that can be enrolled into an alternative network). A deeper examination of strategies for changing and influencing policy can be achieved looking at 'policy space'. Depending on the policy issue, there may be important interactions between such spaces, including across scales from the very local to the national to the regional to the global. Six types have been identified:

- Invited spaces (e.g. consultations on policy led by government agencies involving selective participation of stakeholders)
- Popular spaces (e.g. protests, demonstrations led by social movements put pressure on formal policymaking)
- Practical spaces (e.g. pilot field based projects initiated by NGOs/fieldworkers, providing opportunities for 'witnessing' by policymakers)
- Bureaucratic spaces (e.g. formal policymaking spaces within the government bureaucracy/legal system, led by government civil servants with selected input from external experts)
- Electoral/political spaces (e.g. formal participation in electoral system allows voting on policy position of competing candidates)
- Conceptual spaces (or discursive spaces, e.g. where new ideas are introduced into debate, and circulated through various media)

4.0 COMPREHENSIVE AFRICA AGRICULTURAL DEVELOPMENT PROGRAM (CAADP): AN INTRODUCTION

4.1 What is CAADP?

CAADP is the agricultural programme of the New Partnership for Africa's Development (NEPAD), which in turn is a programme of the African Union (AU). CAADP was established by the AU assembly in 2003 to accelerate growth and eliminate poverty and hunger among African countries (AU/NEPAD 2003). The program focuses on improving food security, nutrition, and increasing incomes in Africa's largely farming based economies by stimulating agriculture-led development. CAADP is designed 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. In partnership with AU/NEPAD, Regional Economic Communities (RECs) are mandated to coordinate and harmonize CAADP implementation in their different regions reflecting the principles of mutual review and dialogue, accountability and partnership. More specifically, the NEPAD vision for Africa holds that, by 2015, Africa should (1) attain food security and nutrition; (2) improve agricultural productivity to attain an annual growth rate of 6%; (3) develop dynamic regional and sub-regional agricultural markets; (4) integrate farmers and pastoralists into a market economy and (5) achieve a more equitable distribution of wealth

CAADP is based the following principles:

- Pursuing an average of 6% annual agricultural sector growth at country level,
- Allocating at least 10% of the national budget to agricultural development,
- Strengthening local ownership and promoting interventions based on country's opportunities and priorities,
- Building partnerships by involving non-state actors,
- Promoting the dialogue and building of consensus among all key stakeholders for the priority issues to be addressed,
- Enhancing peer-review and sound analytical work across countries
- Enforcing mutual accountability to ensure sustainable resource utilization,

- Favours regional complementarities within the frame of regional economic communities such as NEPAD, SADC, COMESA, ECOWAS and EAC, and
- Enhancing policy reforms.

4.2 CAADP pillars

In addition to the four main CAADP pillars, there is an extra pillar that caters for issues that cut across the four main ones listed below:

- Pillar I: Extending the area under sustainable land management and reliable water management systems;
- Pillar II: Improving rural infrastructure and trade-related capacities for improved market access;
- Pillar III: Increasing food supply, reducing hunger and improving responses to food emergency crises; and
- Pillar IV: Improving agricultural research, technology dissemination and adoption.

4.3 CAADP implementation steps

The implementation of CAADP is not a one off activity. It is an interactive process which involves wide range stakeholder consultation. Signing a CAADP compact through a round-table process is an initial milestone towards country's commitment in implementing. During the CAADP country round tables - key players come together to assess the realities of their own particular situation and develop a road map for going forward. This process leads to the identification of priority areas for investment through a 'CAADP Compact' agreement that is signed by all key partners. The process is meant to be an inclusive one with participation of stakeholders. It also requires ensuring that credible and relevant evidence is used in the design of a CAADP investment program so as to align it with the CAADP principles and targets across the four CAADP pillars (Benin et al. 2010). Figure 1 shows significant stages in the process leading up to signing of a country CAADP compact and then design, technical review, implementation and monitoring and evaluation of the investment program

The fact that CAADP is a process has an advantage of providing opportunities for many important issues to be brought on board. It also creates room for involvement of a wide range of stakeholders. In line with ensuring inclusiveness in the CAADP implementation there have recently been initiatives to strengthen the participation of non-state actors in agriculture including farmer groups, private sector organizations, civil society and the media (Randall 2010).

It is however worth noting that, despite the benefits accrued from having CAADP as a process, there are also some disadvantages. The process can lead to delays and a lot of implementation disparities across countries. As shown in Table 1 only one compact had been signed in the whole COMESA region by 2008. There are also a number of COMESA countries that have not signed CAADP compacts to date.

The process picked up momentum in 2010 with eight countries signing their compacts by August (see Table 1). The signing of the compact sets a rather high standard for the approval of the countries' agricultural sector plans. In essence before the signing of the compact, the implementation of the roundtable goals is somewhat hindered. Several countries which have already signed their CAADP compacts are already carrying out post-compact activities. These activities revolve around preparation of investment plans, technical and business review and sourcing for implementation funding as summarized in Table 1.



Source: ReSAKSS (2010)

Figure 1: CAADP implementation Step

Table 1: Progress by Steps Leading to CAADP Round Table Processes and Signing of Compact in the ECA region as at August, 2010

Country & Compact	Governme nt buy in	Focal point appointed	CAADP Launched	TC Appointed	Experts Engaged	Draft report Submitted	TC Discussed Report	Final report submitted	SH Workshop	RT Conference compact signed & date*
Rwanda										31/3/2007
Burundi										24/8/2009
Ethiopia										28/8/2009
Swaziland										4/3/2010
Uganda										31/3/2010
Malawi										19/4/2010
Tanzania										8/7/ 2010
Kenya										24/7/2010
Zambia										20/1/2011
DRC										17/03/2011
Djibouti										
Seychelles										
Madagascar										
Comoros										
Zimbabwe										
Mauritius										
Sudan										
Egypt										
Eritrea										
Libya										

*For the ones that have signed only **Source:** COMESA, national sources and NEPAD at <http://www.nepad-caadp.net/library-country-status-updates.php>

Table 2: Post-Compact Activities

Country	Status as of October 2010
RWANDA	<ul style="list-style-type: none"> • Detailed CAADP investment plan which contains detailed and fully costed programmes developed • Post-Compact High-Level Stakeholders meeting held in Kigali 7-8 December, 2009, • Technical Review & business meeting conducted in December 2009 • Agreement on financing plan and annual review mechanism • Received USD 50 Million from the Global Agriculture and Food Security Programme (GAFSP) in June 2010
UGANDA	<ul style="list-style-type: none"> • Detailed CAADP investment plan developed • Technical Review held on the 1-10 September, 2010 & business review conducted on 16-17 September, 2010 • Proposal submitted to GAFSP in September 2010
ETHIOPIA	<ul style="list-style-type: none"> • Detailed CAADP investment plan has been developed with FAO-TA • Technical Review & business meeting conducted in September 2010
MALAWI	<ul style="list-style-type: none"> • Completed detailed Investment Plan with FAO-TA • Technical Review & business meeting conducted on 10-16 September, 2010 and 22th - 23rd September 2010 respectively.
SWAZILAND	<ul style="list-style-type: none"> • Detailed Investment Plan completed with FAO-TA
BURUNDI	<ul style="list-style-type: none"> • Detailed Investment Plan completed with FAO-TA
KENYA	<ul style="list-style-type: none"> • Detailed CAADP investment plan has been developed • Post compact technical review on the 5-12 September, 2010 and a business review on the 25th September 2010 • Investment plan launched in September 2010
TANZANIA	<ul style="list-style-type: none"> • Development of detailed investment plan 14-21 November, 2010

Sources: CAADP website; <http://www.nepad-caadp.net> and COMESA

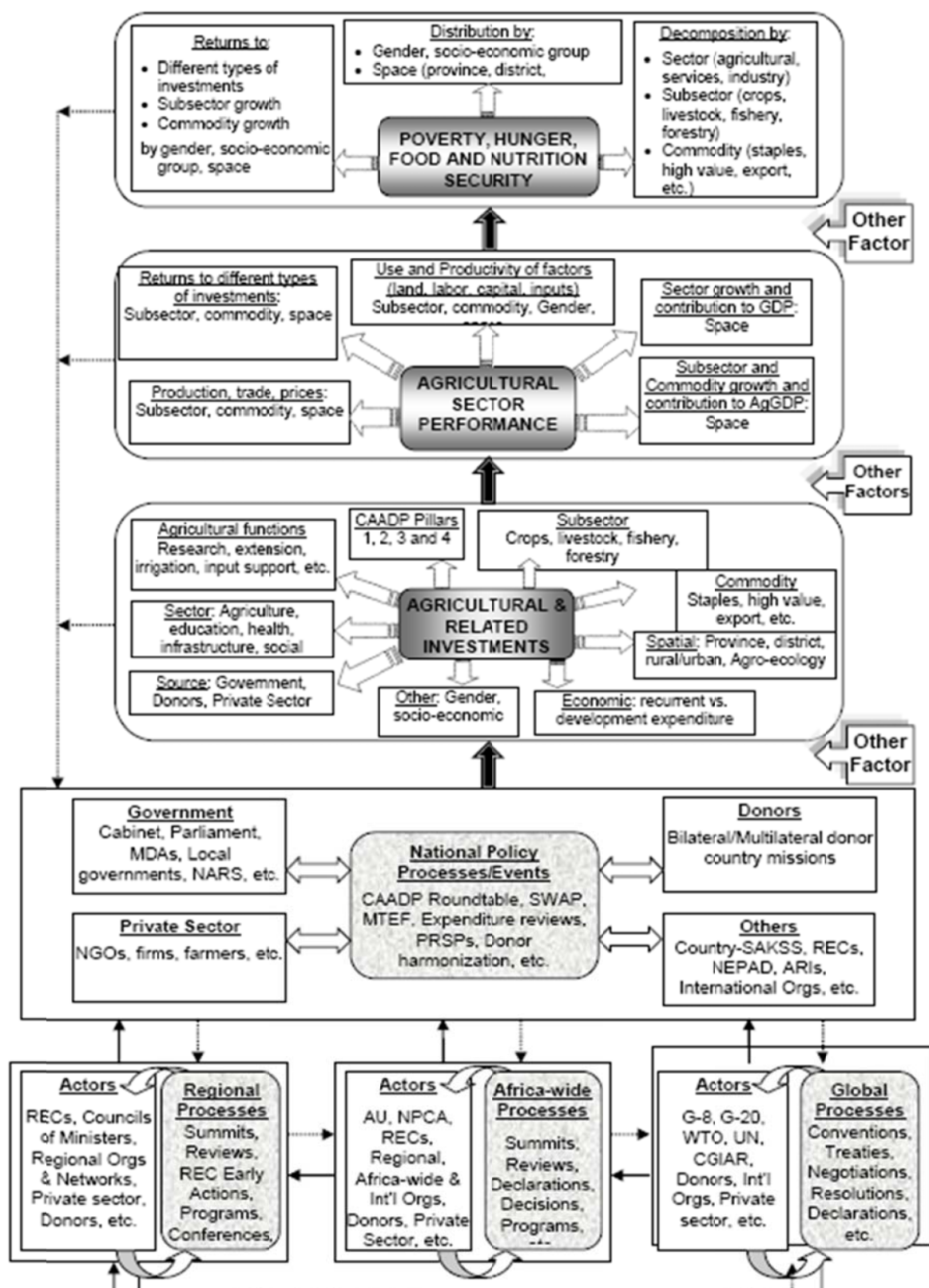
5.0 CAADP MONITORING AND EVALUATION (M&E) FRAMEWORK

5.1 Why CAADP M&E Framework?

CAADP M&E framework was developed to be used in monitoring progress towards the successful implementation of CAADP to support mutual, peer and progress reviews at the continental, regional and national levels, respectively, and to provide a conceptual basis for impact assessment of CAADP (Benin et al. 2010). The framework is a mechanism by which processes put in place, commitments etc can be regularly and transparently measured against stated targets and if necessary can lead to the revision of the processes. The framework can be used in addressing CAADP performance such as: (1) are countries achieving the targeted growth rates? (6%); (2) are countries investing at the targeted level? (10%); and (3) are these investments having their intended impacts on poverty and hunger? The CAADP M&E framework is also useful bringing cohesion across the different systems being developed to track specific components of CAADP, including the individual CAADP pillar M&E systems, APRM and MAF.

5.2 What to monitor and evaluate?

The aspect of what to monitor within the CAADP M&E framework is based on the underlying logic of CAADP to show how the investments and outputs associated with any one pillar of CAADP interact with (i.e., affects and is affected by) the investments and outputs associated with the other pillars through complementarity or substitutability of investments (or through price effects, for example) to affect achievement of the overall CAADP goals and objectives. Furthermore, the framework shows how investment decisions and realization of the various outputs and outcomes are influenced by several conditioning factors such as governance and trade and macroeconomic policies. Such factors can have greater impact on the performance of the agriculture sector and, consequently, on achieving the overall CAADP goals and objectives, compared to investments and policies that directly target the agricultural sector.



5.3 CAADP M&E indicators

Indicators are at the heart of any monitoring and performance evaluation system (IFAD 2002). Although there are several proposals of the criteria to be used in selecting indicators, it is generally agreed that the indicators must be SMART: Specific, Measurable, Achievable, Realistic, and Timely. For CAADP, this means that the potential indicators must be ones that best reflect the range of inputs (processes, policies and investments), outputs and outcomes associated with the activities being implemented across the different pillars of CAADP. They must also capture critical landmarks along the pathway(s) of impact, i.e., between relevant interventions that are put in place and how they can affect agricultural productivity growth, poverty, hunger, and food and nutrition security.

The underlying logic of CAADP guided the process of establishing what to monitor and evaluate in terms of: how processes, policies and investments across the various pillars and in capacity strengthening can contribute to achieving the goals and objectives of the program; how the interventions and outputs associated with each individual pillar affect and/or is affected by those associated with other pillars; and how other conditioning factors (especially those outside the control of the program managers) are likely to influence implementation of the program and realization of the objective and goals of the program (Benin et al. 2010). Benin et al. 2010 use a simplified illustration to capture the CAADP input to impact complex relationships (Figures 2). Building on these relationships a critical set of indicators that was developed. The indicators are created in way that they consistent with the impact pathways. In indicator identification it was also important to insure that the selected indicators possess sufficient information to address the fundamental question of whether the program is on track to achieving the desired agricultural growth rate and poverty, as well as whether the hunger, and food and nutrition insecurity reduction targets are made.

After wide consultation with stakeholders in agriculture and development, it was agreed to have a framework constituted of a minimum core set of indicators—10 process, policy,

intervention and performance areas and 25 indicators. These indicators are categorised as follows:

- **Input indicators:** what is the overall level of effort invested?-CAADP processes, policies, institutions, investments, etc.
- **Output indicators:** what is the level of provision, coverage, and utilization of services?- Access to infrastructure and services, adoption of technologies, etc.
- **Outcome indicators:** what is the effect on outcomes that affect goals? Yields, production, wages, prices, trade etc.
- **Impact indicators:** what is the ultimate effect on goals?-Growth, income, poverty, food security, hunger etc.
- **Conditioning indicators:** how confident are we that any observed a change is due to the intervention? - Total budgetary resources, climate, natural disasters, wars etc.

Table 3 presents an overview of the indicators, while details are included in the full list of indicators presented in Annex A.

Table 3: Summary of the CAADP indicators

Enabling environment 1. Political and economic governance 2. Policies for private sector development	1a. Percent of population satisfied with political governance by: (1) gender; (2) rural/urban; (3) age group; (4) sector 1b. Macroeconomic management: (1) deficit to GDP; (2) revenue to GDP; (3) inflation rate; (4) debt to GDP 2a. Percent of population with access to agricultural and rural finance and credit 2b. Value of commercial loans for agricultural sector as percent of: (1) value of total loans; (2) AgGDP
CAADP Country implementation process 3. Stage in county roundtable process and quality of Participation	3a. Number of countries at major stages of the process 3b. Composition (e.g., institution, gender, expertise) of participants
Commitments and financing 4. Donor commitments and disbursements 5. Government spending and investment in Agricultural research and development Private sector investments	4a. Total ODA commitments as percent of AgGDP 4b. Share of ODA disbursed for (1) agricultural R&D; (2) value chains; (3) emergency food aid 5a. Expenditures on the agricultural sector as percent of: (1) total government spending; (2) AgGDP 5b. Expenditures on agricultural R&D as percent of AgGDP

<i>Agricultural sector performance</i> 7. Capacity 8. Agricultural growth and sources of growth 9. Agricultural trade performance	7a. Number of professionals as per 1000 farmers 7b. Composition of professionals as percent by: (1) gender; (2) education attainment (PhD, MS, BS, Diploma, etc.) 8a. Percent of area or output under improved technologies: (1) improved genetic material; (2) fertilizer; (3) irrigation 8b. Productivity of major commodities (tone-equivalent per unit factor) 8c. Real AgGDP growth rate (percent) 8d. % contribution to AgGDP growth of: (1) subsectors (crops, livestock, forestry, fishery); (2) major commodities 9a. Value of total agricultural exports by: (1) as percent of AgGDP; (2) share of value-added in total exports; (3) ratio to value of total agricultural imports; (4) percent contribution by subsectors and major commodities 9b. Domestic and export-import parity prices by major commodities
<i>CAADP goals</i> 10. Poverty, hunger and food and nutrition security	10a. Poverty rate (P1) and gap (P2) by rural/urban 10b. Proportion of population below minimum dietary energy consumption (H1) by: (1) gender; (2) rural/urban; (3) age 10c. Nutrition diversity by: (1) gender; (2) rural/urban; (3) age

5.4 Roles and responsibilities in the implementation of the CAADP M&E framework

Successful implementation of the CAADP M&E system depends on the extent to which sufficient information on the indicators can be generated on regular basis and in a timely fashion. The following are important; 1)Need to have linked country level and regional teams, working under clearly defined roles and using shared data standards and protocols; 2) standardization and harmonization of the core set of data and indicators across countries that will enable cross-country comparisons and contribute to peer and mutual reviews of CAADP at regional and continental levels; 3)Regular collection, measurement, analysis, documentation and processing of data at national and regional levels; 4)Roles and responsibilities of different partners at the national, regional, continental and international levels in terms of data collection, management, analysis, and reporting; and 5) Timely publication of these indicators and related monitoring reports. Figure 3 summarizes the roles and responsibilities of the different partners and collaborators in implementing the CAADP M&E Framework. Regarding

data collection, cleaning, validation and management, the primary responsibility lies with the countries themselves via their national bureaus of statistics and research institutions. Farmers' Organizations (FOs), Civil Society Organizations (CSOs) and private sector organizations will also be important in data collection and validation, with the CAADP pillar institutions and other regional and international organizations providing technical support and capacity strengthening primarily in the form of tools, methods and training.

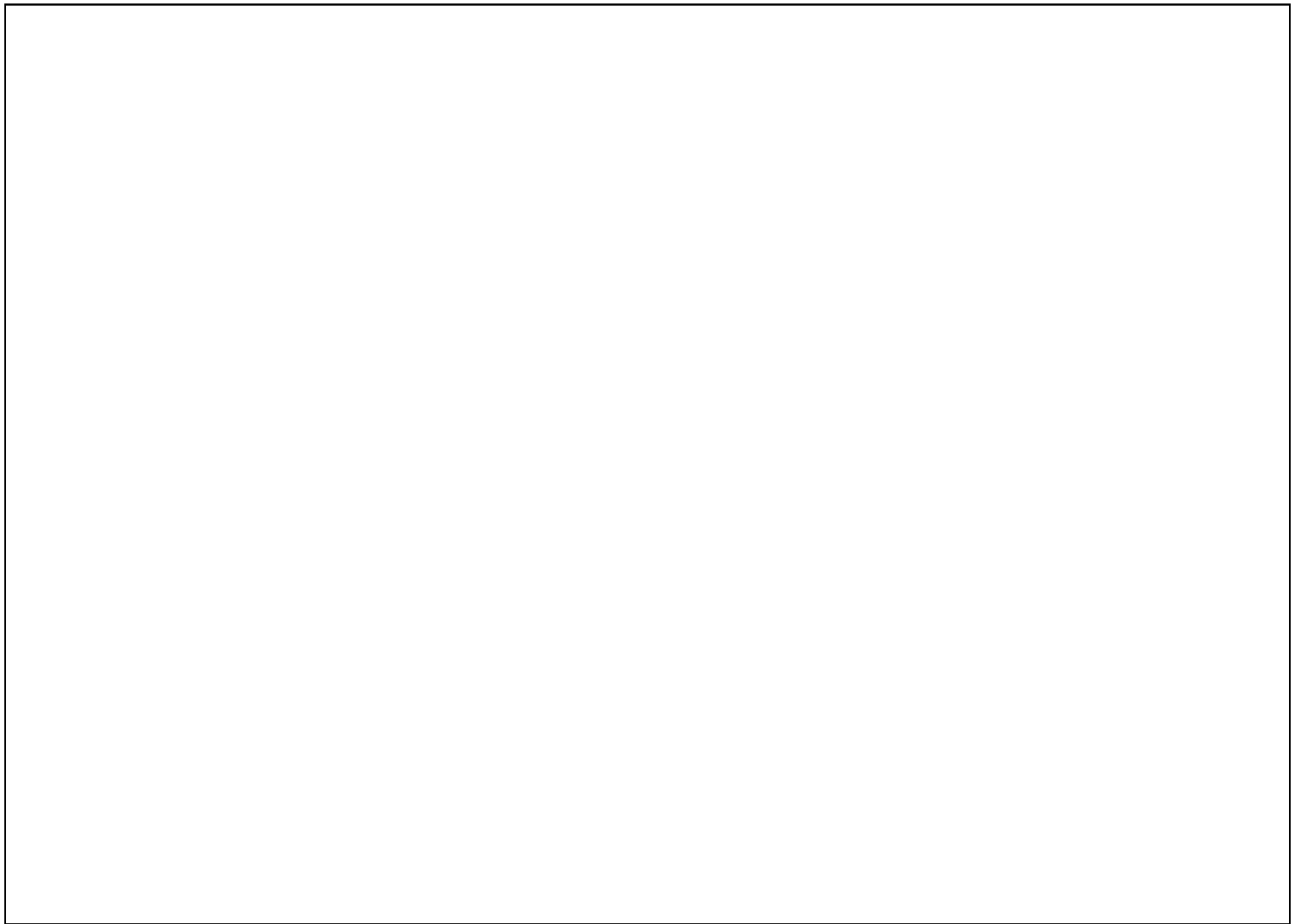


Figure 3: Roles and responsibilities of partners and collaborators in implementing CAADP M&E Framework

The role of donors and development partners in data collection and management include financial support providing international standardized data (e.g., African and World Development Indicators). Using their respective networks, the Country, Regional and Africa-wide SAKSS Nodes are responsible for aggregating and analyzing the data at the same levels, which will involve data reporting from the Country Nodes to their respective Regional.

5.5 Implementation of CAADP M&E at the country level

Full operationalization of the CAADP M&E system at the country level will depend on the establishment of the country SAKSS nodes, particularly in those countries that have signed their country compacts and validated their investment plans. Country Strategic Analysis and Knowledge Support System (SAKSS) is the approach that will enhance the knowledge management component of the agricultural sector by facilitating inclusiveness of all key stakeholders. The aim of the knowledge-management component of the CAADP agenda is to add value to the efforts of individual countries, to ensure that they have an information and knowledge system that aids dialogue and evidence based decision making. Country SAKSS is a technical component of an inclusive review and dialogue mechanism to facilitate better policy design and successful implementation of the main strategies to achieve agriculture-led broad based economic growth for the country.

Core national actors who might be part of the country SAKSS node may include: (1) MOA - planning and statistics unit; (2) national institutes of statistics (poverty unit, national accounting unit); (3) budget units in Ministries of Finance; (4) professional think-tanks; (5) market information systems; (6) M&E units in other relevant ministries such as livestock, environment, fisheries or trade; (7) NARS including universities; (8) Poverty Reduction Strategy (PRSP) unit; and (9) stakeholders from the private sector (e.g. traders and farmers groups).

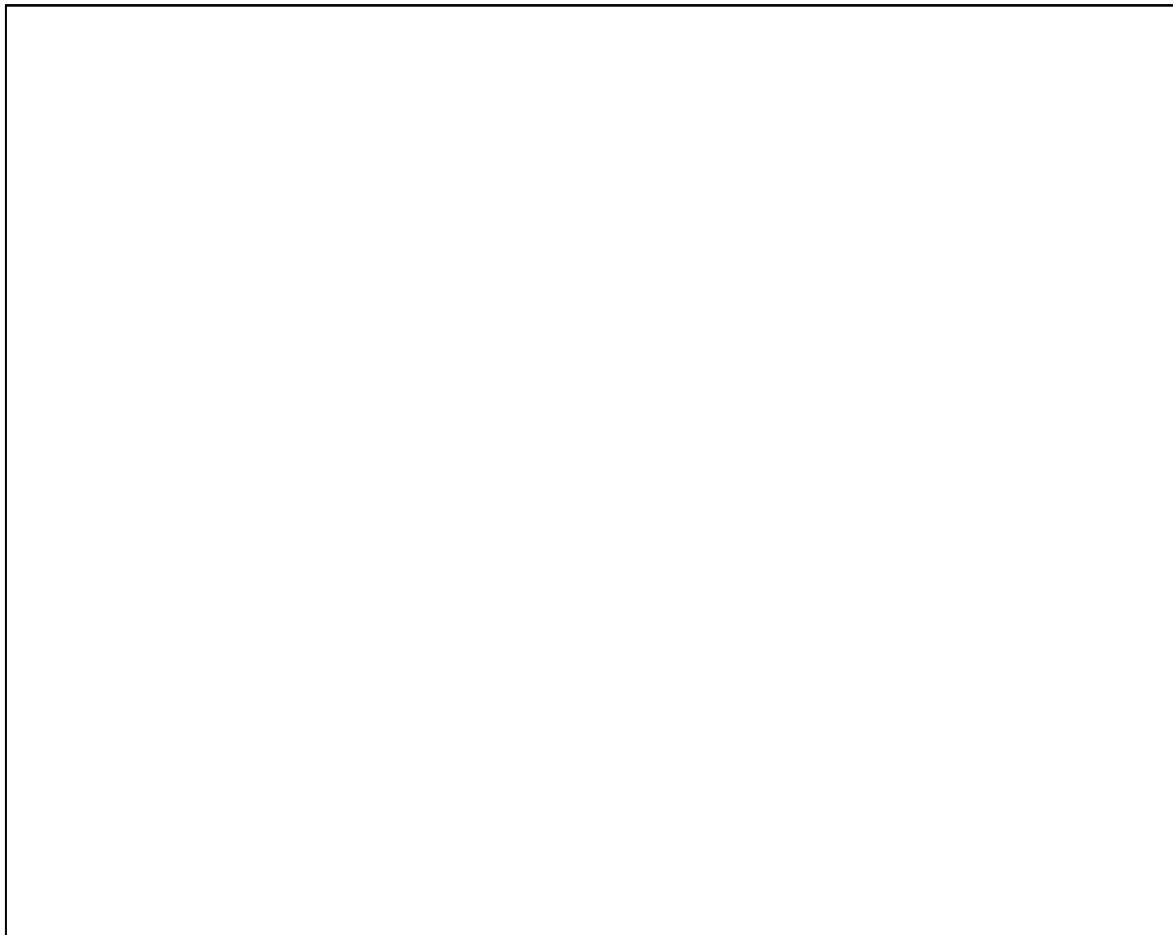


Figure 4: illustrates how actors could be organized to enhance the quality of M&E data in the African countries.

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Table A6. Poverty, hunger and food and nutrition security indicators

Expected outcome	Indicator/Definition	Disaggregation	Data	Methods	Suggested data sources
Reduced poverty	Poverty incidence ratio (P1)	<ul style="list-style-type: none"> Rural/Urban and other subnational Gender Age group Economic sector 	<ul style="list-style-type: none"> Population with consumption expenditure below national (NAT_{pov}) and international (INT_{pov}) poverty line Total population (Y_T) Purchasing Power Parity (PPP) rate for converting local value of consumption expenditure into international \$ Average consumption expenditure of the poor in international \$ per day (C_{pov}) Total consumption expenditure of the bottom 20% of the population in international \$ (C_{20%}) Total consumption expenditure of the total population in international \$ (C_T) 	$P1_{NAT} = (NAT_{pov}/Y_T) * 100$	<ul style="list-style-type: none"> National poverty monitoring agencies National Living Standard and Consumption Surveys (LSCS) World Bank UNDP
	Poverty gap ratio (P2)			$P1_{INT} = (INT_{pov}/Y_T) * 100$	
	Share of poorest quintile in national income (P3)			$P2 = (1 - (C_{pov}/1\$)) * P1$ $P3 = (C_{20\%}/C_T) * 100$	
Reduced hunger	Proportion of the population below minimum dietary energy consumption (H1)	<ul style="list-style-type: none"> Rural/Urban and other subnational Gender Age group Economic sector 	<ul style="list-style-type: none"> Number of people with dietary energy consumption below 2414 kcal per day (Xhun-T) Total population (YT) Number of children under 5 years of age whose weight-for-age is less than minus two standard deviations from the median of the WHO reference population (Xhun-5) Population of children below under 5 years of age (Y5) Global Hunger Index (GHI) 	$H1 = (Xhun-T/YT) * 100$	<ul style="list-style-type: none"> Ministry of Health Demographic and Health Surveys (DHS) IFPRI UNDP
	Prevalence of underweight children under five years of age (H2)			$H2 = (Xhun-5/Y5) * 100$	
	Global Hunger Index (GHI)			GHI	
Reduced food and nutrition insecurity	Dietary Diversity Score (DDS)	<ul style="list-style-type: none"> Rural/Urban and other subnational Gender Age group Economic sector 	<ul style="list-style-type: none"> Dietary Diversity Score (DDS) Resilience Score (RS) Consumption expenditure on food in international \$ (C_F) 	DDS	<ul style="list-style-type: none"> CAADP Pillar 3 National Living Standard and Consumption Surveys (LSCS)
	Resilience Score (RS)			RS	
	Share of food expenditure (SFE)			$SFE = (C_F/C_T) * 100$	



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