

ReSAKSS

Regional Strategic Analysis and Knowledge Support System
Facilitated by IFPRI 

ZAMBIA

RESAKSS CNA REPORT 6

Capacity
Strengthening
Strategy through
Capacity Needs
Assessment for
Country Level
Strategic Analysis
and Knowledge
Support System
(SAKSS)



ZAMBIA

Capacity Strengthening Strategy through Capacity Needs Assessment for Country Level Strategic Analysis and Knowledge Support System (SAKSS)

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EXECUTIVE SUMMARY

This capacity needs assessment was initiated by the Regional Strategic Analysis and Knowledge Support System–Southern Africa (ReSAKSS-SA), an initiative facilitated by the International Food Policy Research Institute in partnership with the International Water Management Institute (IWMI), and implemented by RuralNet Associates, Ltd., a development consultancy company.

The overall goal of the capacity needs assessment was to collect qualitative and quantitative data from key institutions involved in the food and agricultural policy process that would be used to inform a capacity-strengthening strategy (CSS) for Zambia to meet the strategic analysis and knowledge management needs of the country Comprehensive Africa Agriculture Development Programme (CAADP) process.

The assessment was undertaken at three different levels: country, organizational, and individual. Data were collected at all three levels through a series of key informant interviews and the distribution of a detailed survey to 11 key institutions that are involved in the food and agricultural policy process in Zambia. Data collection was undertaken between June and August 2013.

Six respondents representing the stakeholders were interviewed regarding the policy process: the Civil Society for Poverty Reduction, the Ministry of Agriculture and Livestock, the Agricultural Consultative Forum (ACF), the United States Agency for International Development, the Zambia National Farmers Union, and the Indaba Agricultural Policy Research Institute. The country-level assessment showed that the leadership was consultative, involving many stakeholders from different groups in policy formulation and reviews. The Ministry of Agriculture and Livestock was at the center of the policy formulation process and coordinated other stakeholders. The major stakeholder groups divide along the lines of (1) government, including other ministries and the Cabinet Office; (2) the civil society, which includes some nongovernmental organizations and other stakeholder platforms active in the agricultural sector; (3) the farmers, who are represented by the Zambia National Farmers Union; (4) private-sector agribusiness companies; and (5) research institutions and think tanks.

Usually a draft policy is circulated to stakeholders who are invited to provide comments. The draft is also passed to the Sector Advisory Group, within the Ministry of Agriculture and Livestock, and to other government agencies. After comments have been incorporated, the draft is submitted to the Cabinet Office for voting. Generally, policy is reviewed or formulated with guidance from the leadership, so that it is aligned to the strategic goals of the government, although in some instances it is initiated from stakeholder proposals.

The organizational-level assessment involved interviewing 12 key institutions: the Central Statistics Office, the Ministry of Agriculture and Livestock, the Ministry of Finance's Economic and Technical Cooperation Unit and Monitoring and Evaluation Department, Parliament, ACF, the Civil Society for Poverty Reduction, SeedCo, the Zambia National Farmers Union, the Indaba Agricultural Policy Research Institute, the Policy Monitoring and Research Centre, and the University of Zambia. The questionnaire involved scoring statements regarding the institution's core capabilities and reflecting on its strengths and weaknesses. The following issues arose: (1) most institutions showed leadership to be neutral or average; (2) staff motivation was low; (4) the Ministry of Agriculture and Livestock monitoring and evaluation (M&E) was somewhat inefficient in influencing policy; (5) access to information was low; and (6) strategic plans were in place, but suffered setbacks due to poor funding.

The individual assessment required the completion of a detailed survey form targeting human resources, financing, and policy analysis capabilities in each institution that was interviewed at the second level. Eight institutions

submitted data on individual needs, as some of the participating institutions found it challenging to complete the questionnaire. The sections covered included institutional details, human resources, financial resources, physical resources, research policy linkages, evidence-based policymaking, statistics and M&E, constraints and solutions, and policymaking capacity. The findings confirmed the conclusions of the organizational assessment, as most institutions reported reduced funding, low staff numbers, and the need to build capacity for staff skills as key constraints. Other constraints noted were limited office equipment and analytical software, and poor Internet connectivity.

The findings from the capacity needs assessment informed the completion of a CSS, which outlines challenges and gaps to be addressed by key interventions. Refer to Appendix 10 for details and the CSS.

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LIST OF ABBREVIATIONS

ABF	Agri-Business Forum
ACF	Agricultural Consultative Forum
AfDB	African Development Bank
ARD	agriculture and rural development
ATORS	Agricultural Trends and Outlook Reports
AUC	African Union Commission
BSc	Bachelor of Science
CAADP	Comprehensive Africa Agriculture Development Programme
CGIAR	Consultative Group of International Agricultural Research
CSOs	civil society organizations
CSS	capacity-strengthening strategy
ECA	East and Central Africa
FANPRAN	Food, Agriculture and Natural Resources Policy Analysis Network
FAO	Food and Agriculture Organization of the United Nations
IFAD	International Fund for Agricultural Development
IFPRI	International Food Policy Research Institute
IWMI	International Water Management Institute
JICA	Japan International Cooperation Agency
M&E	monitoring and evaluation
MDG	Millennium Development Goal
MP	Member of Parliament
MSc	Master of Science
NAIP	National Agricultural Investment Plan
NEPAD	New Partnership for Africa's Development
NGO	nongovernmental organization
NORAD	Norwegian Agency for Development Cooperation
NPCA	NEPAD Planning and Coordinating Agency
PhD	Doctor of Philosophy
REC	regional economic community
ReSAKSS	Regional Strategic Analysis and Knowledge Support System
ReSAKSS-SA	Regional Strategic Analysis and Knowledge Support System–Southern Africa
SADC	Southern Africa Development Community

SIDA	Swedish International Development Agency
SWOT	strengths, weaknesses, opportunities, and threats
ToRs	terms of reference
USAID	United States Agency for International Development
WA	West Africa

1. INTRODUCTION

This study was undertaken in response to a call from the Regional Strategic Analysis and Knowledge Support System–Southern Africa (ReSAKSS-SA) to (1) undertake a capacity needs assessment for the country Strategic Analysis and Knowledge Support System, and (2) develop a capacity-strengthening strategy (CSS) for Zambia to meet the strategic analysis and knowledge management needs of the Comprehensive Africa Agriculture Development Programme (CAADP) process. This effort included identifying areas for improving the quality and utility of agricultural policy analysis and investment planning, monitoring and evaluation (M&E), and knowledge management at the country level. At the time when this study was being conducted, the Ministry of Agriculture and Livestock, in conjunction with ReSAKSS-SA and the Indaba Agricultural Policy Research Institute, was advancing in its discussions toward the establishment of the Strategic Analysis and Knowledge Support System node in Zambia. The findings of this study will be used to further inform the design of the establishment and operationalization of that node for Zambia.

This report includes six chapters: Introduction, Methodology, Summary of Key Findings, Capacity Strengthening Strategy, Conclusions, and Recommendations. This chapter briefly describes the study background, along with some background on ReSAKSS, and a review of the agricultural policy process in Zambia.

1.1. Study Background

CAADP of the New Partnership for Africa’s Development (NEPAD) provides a framework for restoring agricultural growth, rural development, and food security in the African region.¹ In 2003, the need for strong engagement of African governments in the implementation of CAADP was highlighted, and subsequently the Maputo Declaration of Agricultural Ministers of African Countries was entered into. The Maputo Declaration provided strong political support to CAADP and its evolving Plan of Action. Consequently, the heads of state and government resolved to do the following:²

1. Revitalize the agricultural sector, including livestock, forestry, and fisheries, through special policies and strategies targeting small-scale and traditional farmers in rural areas, as well as enabling private-sector participation.
2. Implement CAADP and evolving Action Plans for agricultural development, at the national, regional, and continental levels, allocating at least 10 percent of national budgetary resources for their implementation within 5 years.
3. Call upon the African Union Commission, the Steering Committee of NEPAD, the Food and Agriculture Organization of the United Nations (FAO), and other partners to continue their cooperation, providing effective support to African countries and the regional economic communities (RECs) in the implementation of CAADP.
4. Ensure the preparation of bankable projects under CAADP for the mobilization of resources for investment in agricultural growth and rural development.

¹ Ministry of Agriculture and Livestock. May 2013. *Zambia National Agriculture Investment Plan (NAIP)*. Lusaka.

² Agricultural Research Council. 2004. *Implementation of the Comprehensive Africa Agriculture Development Programme (CAADP) of NEPAD Progress Review*. 23rd Regional Conference for Africa. South Africa ARC/04/4.1.

5. Ensure the establishment of regional food reserve systems (including food stocks) linked to Africa's own production, and the development of policies and strategies under the African Union and the RECs, to fight hunger and poverty in Africa.

Africa is the only region in the world that saw an increase in hunger between 1990 and 2012. In 2013, 25 percent of Africa's population was malnourished.³ However, these statistics hide the progress that many African countries have made in achieving the first Millennium Development Goal (MDG): to halve the prevalence of hunger by 2015. Although reasons for success differ, the common theme between all the success stories is adopting explicit food security policies and investment plans, and following these through with investment.

Because more than 60 percent of the Zambian population relies on agriculture for its livelihood and lives in rural areas, agriculture is a key priority in Zambia's growth and poverty reduction programs. Despite this emphasis, the last 10 years have shown that agricultural development is not receiving enough resources to equal its importance. In 2006, the Zambian government spent less than 5 percent of its budget on agriculture, which in turn resulted in the agricultural support infrastructure being run down, extension service delivery operating at only 40 percent of its capacity, and high recurring incidences of livestock disease. These outcomes resulted in low agricultural productivity and high incidence of poverty, particularly in rural areas.⁴ To reverse this situation, the Zambian government planned to increase its allocations to the agricultural sector to 9 percent by 2010, bringing Zambia closer to the Southern Africa Development Community (SADC) and the Maputo Declaration goal of allocating at least 10 percent of national budgetary resources to agricultural development.

Despite these aspirations, the allocation to agriculture in the budget still remains nearly half of the 10 percent target set by CAADP. The 2013 allocation to agriculture was 5.8 percent of the total budget. Furthermore, the government routinely spends more than 80 percent of the agriculture budget on the Farmer Input Support Programme and the Food Reserve Agency.⁵ This means that few resources are left to address other key development issues, such as research and development, extension services, irrigation, livestock development, and infrastructure. This has directly and negatively impacted rural poverty within Zambia.⁶ There appears to have been little improvement between 2003 and 2010, as rural poverty remains at 78 percent. Simply meeting the CAADP target is not enough to increase agricultural productivity and reduce the incidence of poverty.

This capacity needs assessment was undertaken at a time when the new government in Zambia had put M&E on top of its national development agenda,⁷ as exemplified by the president of the Republic of Zambia during the official opening of the 2011 and 2012 National Assembly, when he expressed concern about the lack of a system within government to monitor and evaluate the impact of government policies, especially as they relate to poverty reduction. The president called for immediate efforts to put such a system in place. Consequently, in 2012, the Cabinet Office, through the Policy Analysis and Coordinating Division, embarked on developing a government-wide M&E system, which will create an interface between ministerial M&E systems and the Policy Analysis and Coordinating Division. The government-wide M&E system will be an apex-level information system that will draw from the component systems in the framework to deliver useful M&E products for its users. It will facilitate the effective M&E of policies and programs to ensure that public policies translate into desired results that can positively

³ World Hunger. 2013. *Poverty Facts and Statistics*. www.worldhunger.org (accessed on May 21, 2014).

⁴ International Monetary Fund. 2007. *Zambia: Poverty Reduction Strategy Paper*.

⁵ Kuteya, A. 2012. *Analysing Zambia's Agricultural Sector Budget 2013*. Lusaka: Indaba Agricultural Policy Research Institute.

⁶ Zambia NAIP. May 2013.

⁷ Office of the President and Cabinet. 2012. *Presidential Opening Speeches of the National Assembly of Zambia, 2011 and 2012*. Lusaka.

improve people’s livelihoods and reduce poverty. This government initiative presents many opportunities to the Ministry of Agriculture and Livestock as it embarks on strengthening its M&E system. The Ministry of Agriculture and Livestock can simply ride on this initiative and use the technology, financial resources, and technical expertise that will be available through the government-wide M&E system to fully develop its sector M&E system. In fact, the ministry has been selected among the first wave of ministries where the government-wide M&E system will be implemented.

The driving force behind the CAADP agenda is the need to improve the quality of policy and strategic planning and implementation in order to accelerate growth and progress toward poverty reduction and food and nutrition security. For these reasons, ReSAKSS-SA is implementing the capacity needs assessment, to develop the CSS and contribute to the CAADP process through establishment of the country Strategic Analysis and Knowledge Support System.

This capacity needs assessment was undertaken at three levels (policy process, organizational, and individual), and included evidence generation on three core areas: (1) strategic policy analysis and investment planning, (2) M&E, and (3) knowledge management and sharing at the country level to help in the CAADP implementation process.

1.2. ReSAKSS

ReSAKSS is a knowledge management platform providing easily accessible, high-quality analysis, data, and tools to farmers, researchers, policymakers, and development professionals. ReSAKSS aims to promote evidence-based decision making; improve awareness on the role of the agricultural sector in poverty reduction and food and nutrition security; promote dialogue; and facilitate the review, learning, and adoption of best practices associated with the CAADP agenda. It is organized in three regional nodes: ReSAKSS-SA, based in Pretoria at the International Water Management Institute (IWMI); ReSAKSS-East and Central Africa, based at the International Livestock Research Institute in Nairobi; and ReSAKSS-West Africa, based at the International Institute for Tropical Agriculture in Ibadan. The Strategic Analysis and Knowledge Support System is a country-level version of the regional hub that is designed to respond to country-level specific needs, while taking advantage of the entire ReSAKSS network.⁸

The Consultative Group on International Agricultural Research’s (CGIAR) Africa-based centers—including the International Food Policy Research Institute (IFPRI), IWMI, and SADC—facilitate operation of the nodes for ReSAKSS-SA in partnership with the NEPAD Planning and Coordinating Agency (NPCA), the African Union Commission (AUC), RECs, and a network of other regional, national, and international organizations.⁹

CAADP was designed to increase economic growth within African countries, by addressing policy and capacity issues in the agricultural sector. The specific aims of the program are as follows:¹⁰

- Achieve the Millennium Development Goals (MDGs) of halving the proportion of poor and hungry people, through agriculture-led growth.
- Achieve a 6 percent annual agricultural sector growth rate at the national level.
- Allocate 10 percent of national budgets to the agricultural sector.

⁸ ReSAKSS literature.

⁹ Ibid.

¹⁰ Ministry of Agriculture and Livestock. May 2013. Zambia NAIP. Lusaka.

- Improve efficiency by promoting accountability and monitoring processes.

To achieve these objectives, ReSAKSS focuses on strategic analysis, knowledge management and capacity strengthening, and policy communication as a means of monitoring the CAADP implementation. In terms of customizing the Strategic Analysis and Knowledge Support System concept for Zambia, a capacity needs assessment was conducted using the following research questions, and a subsequent CSS was developed:

1. What are the country-specific needs for strategic agricultural policy analysis and investment planning, M&E, and knowledge management?
2. What individual and organizational capacities are needed for strategic agricultural policy analysis and investment planning, M&E, and knowledge management in the short, medium, and long terms to satisfy those needs?
3. How can these capacities be harnessed through their effective use in the organizations involved in the CAADP process, particularly for strategic agricultural policy analysis and investment planning, M&E, and knowledge management?
4. What institutional and capacity constraints exist in the policy process for the policy organizations to play their role effectively to meet the objectives of CAADP?
5. How can such capacity gaps be identified and filled?

2. METHODOLOGY

2.1 Study Design and Sampling

The methodology used in this study was based on the terms of reference (ToRs) in Appendix 1 for this assignment. Emphasis was placed on collecting both quantitative and qualitative information. The qualitative information was collected by (1) conducting key informant interviews with stakeholders in the agricultural policy process, (2) administering a capacity assessment questionnaire during interviews with selected institutions, and (3) compiling two relevant case studies regarding the policy process. Quantitative information was collected by administering a survey tool in Microsoft Excel to determine individual capacity needs. The study was conducted at three levels: the policy process, the institution, and individuals.

The policy process-level methodology was designed to obtain information on the specific workings of the agricultural policy and legislation formulation, implementation, M&E, and use of evidence. A simple checklist was designed (Appendix 2) to gather relevant information from key stakeholders on the above processes, as well as to assess the demand, usage, and entry points for strategic analysis and data utilization and the institutional constraints encountered. The stakeholders were selected after careful consideration of their respective roles and insight into the policy process. They encompassed all major stakeholder groups, including government, civil society, the private sector, donors, and research institutions. However, following discussions with IWMI, the checklist was not administered to all the intended stakeholders due to the revised time frame. The designed questionnaire for the institutional capacity needs assessment was used for both the policy and the organizational levels. Key informant interviews took place with the following organizations and institutions:

1. Ministry of Agriculture and Livestock, Policy and Planning Department
2. Agricultural Consultative Forum (ACF)
3. Civil Society for Poverty Reduction
4. Indaba Agricultural Policy Research Institute
5. United States Agency for International Development (USAID)
6. Zambia National Farmers Union

Further insight into the policy process was collected from the institutional capacity questionnaire (Appendix 3), further described below. Two case studies were selected to highlight the findings as per the ToRs: the National Agricultural Policy review process and the National Agriculture Investment Plan (NAIP) formulation process. The findings from this level are presented in Section 3, Policy Process Level.

Key institutions and organizations were identified through the first-level interviews and were selected for institutional capacity needs assessments. These organizational-level assessments were carried out with the help of a questionnaire (Appendix 3) supplied by IWMI. The questionnaire covered several key topics: (1) the level of effective leadership in the policy process; (2) the level of effective application of M&E; (3) the extent to which the organization delivers on planned objectives and mandates; (4) the level of engagement of the organization in networks, alliances, and collaborative efforts; and (5) the existence of mechanisms for coherence in the food and agricultural sector. A confidentiality clause was added to both the institutional- and the individual-level questionnaires after some interviewees raised concerns.

The institutions and organizations targeted for this level were selected based on information derived from the policy-level key informant interviews and aimed to encompass all major stakeholder groups. Such issues as level of influence, importance of role, representativeness, availability, and willingness to participate were taken into account. The findings from this level are presented in Section 3.12, Organizational Level. Table 1 lists the selected institutions and a briefly describes their roles.

TABLE 1: LIST OF SELECTED INSTITUTIONS AND THEIR ROLES

No.	Institution	Role
Government Sector		
1	Central Statistics Office	Gathers key agricultural statistics used in policymaking, as well as analysis and reporting.
2	Policy and Planning Department	Key department within the Ministry of Agriculture and Livestock, whose role is to formulate, monitor, evaluate, and update agricultural policy on behalf of the government, but involving all other actors.
3	Ministry of Finance, Economic and Technical Cooperation Unit	Coordinates donor support for particular projects.
4	Cabinet Office, Policy Analysis and Coordinating Division	Analyzes sector policies to ensure they are consistent with government aspirations and conform to the prescribed standards for drafting policy documents; monitors and evaluates the impact of government policies.
4	Ministry of Finance, Economic Monitoring and Evaluation Department	Responsible for the M&E of the Sixth National Development Plan, which includes a section on agriculture.
5	Parliament, Committee on Agriculture	Provides oversight in the agricultural sector, particularly through the Ministry of Agriculture and Livestock; facilitates stakeholder input into legislation by reporting to Parliament before the bill is enacted.
Civil Society Organizations		
6	Agricultural Consultative Forum	Multi-stakeholder platform that brings together government, civil society organizations (CSOs), and the private sector in agriculture; provides policy dialogue.
7	Civil Society for Poverty Reduction	Umbrella organization for a number of CSOs that performs budget tracking for national development plans and collects information on the ground.
Producers and Private Sector		
8	SeedCo	Large international private-sector company that produces maize seed and keeps strategic reserves.
9	Zambia National Farmers Union	The only farmers' union currently active encompassing small, medium, and large farmers.
Research and Policy Analysis Institutions		
10	Indaba Agricultural Policy Research Institute	Conducts primary research and provides empirical evidence and policy analysis related to agriculture.
11	Policy Monitoring and Research Centre	Newly established think tank that monitors implemented policies and provides policy guidance in a number of sectors.

No.	Institution	Role
12	University of Zambia School of Agricultural Sciences	Main research center for agricultural sciences that houses and participates in the Institute for Economic and Social Research. Staff is involved in relevant policy stakeholder consultations.

Source: Authors (2013).

The third part of the capacity needs assessment involved assessing individual needs of staff members who are key in the agriculture policy process, as well as the needs of the institutions. This was done through a self-administered Excel questionnaire supplied by IWMI. It contained sections on key areas: (1) human resources, (2) financial resources, (3) physical resources, (4) research policy linkages, (5) evidence-based policymaking, (6) M&E, (7) constraints and solutions, and (8) policymaking capacity.¹¹ The aim of the questionnaire was to collect detailed information on all aspects of an organization's operation and engagement in the policy process. It was distributed to all institutions that were interviewed for the capacity needs assessment, so that it could be completed in their own time after the consultants explained the purpose of the activity during the key informant interviews. Data collected were entered in a database that can be updated in the future by ReSAKSS. Findings from this level are presented in Section 3.13, Individual Level. Interviews for all levels took place between June 19 and July 19, 2013. For a detailed work plan for the study, see Appendix 4.

2.1.1. Methodology for the Capacity-Strengthening Strategy

The methodology for the CSS focused on three major steps. First, it sought to synthesize mapped gaps, challenges, and issues from the three levels of policy process, organizational, and individual. This involved a detailed analysis of the identified successes, challenges, gaps, and issues, among others, including an identification of root causes of both the successes and the challenges, and an appreciation of factors that gave rise to them. The successes, challenges, gaps, and issues were drawn from the capacity needs assessment.

The second step was to develop strategic interventions for the CSS. This included formulation of the vision, mission, and objectives of the CSS based on the synthesized successes, challenges, gaps, and issues. Every effort was made to ensure the strategic interventions were informed by lessons and good practices within the country and from the region.¹²

The third and final step was to develop an implementation framework, including a review of the policy, legal, institutional, and M&E frameworks. This step was aimed at creating an enabling environment that would be vital for supporting an effective implementation of the CSS.

2.1.2. Key Findings

The findings from all three levels are presented separately in this report, although information from all the three levels is used to enlighten specific findings on each level.

¹¹ Owing to its size, the questionnaire cannot be attached to this report, but will accompany the report upon electronic submission.

¹² See Appendix 10: RuralNet Associates. September 2013. *Capacity Strengthening Strategy for Zambia*. Lusaka.

3. POLICY PROCESS LEVEL

3.1 Overarching Policy Framework

The National Agricultural Policy covering the years 2004–2015 provides the overall policy framework for priority setting, program design, and implementation arrangements in the agricultural sector. The National Agricultural Policy was recently revised to focus on building a competitive, value-added, export-led agricultural sector that ensures food and nutrition security for the country. The revised National Agricultural Policy¹³ aims to achieve “An efficient, dynamic, competitive, sustainable, and value-added export-led agriculture sector that ensures income, food and nutrition security for vulnerable rural households while ensuring the competitiveness of the agriculture industry.”

The Revised Sixth National Development Plan covering the period 2014–2016 is linked to the Vision 2030 goal for Zambia to become “a prosperous middle-income nation by 2030.” The Revised Sixth National Development Plan names agriculture, livestock, and fisheries among the priority growth sectors of the economy.¹⁴

The Government of the Republic of Zambia signed a CAADP Compact in February 2011, which is intended to provide a coordinating framework for the government, development partners, nongovernmental organizations (NGOs), and the private sector’s investment in the agricultural sector. After signing the CAADP Compact, the Ministry of Agriculture and Livestock, in collaboration with its development partners, embarked on developing the NAIP, which provides an investment and implementation framework for the sector. The NAIP identifies four key investment areas that were selected for their potential to spur growth in the sector beyond the 6 percent CAADP target. The NAIP further estimates the financing needs to be provided by the government and its development partners. It is anchored to, and aligned with, the national vision of becoming a middle-income country by 2030. The NAIP, which was launched in May 2013, is a 5-year road map for agricultural and rural development. It was designed primarily to operationalize the National Agricultural Policy and the Revised Sixth National Development Plan.

3.2 Gaps in the Overarching Policy Framework

The respondents to the questionnaire felt that the government, private sector, and cooperating partners have realized that the existing policies and pieces of legislation are not adequate to create the enabling environment necessary for the private sector to drive the growth envisaged in the agricultural sector. Therefore, they indicated that existing policies and legislation need to be reviewed to align them to the current social and economic environment, and, where possible, develop new ones to ensure that the policy and legal framework is conducive to the attainment of the desired economic growth and reduction in poverty levels.

Although there is a clearly defined and consistent policy framework from the National Agricultural Policy, Revised Sixth National Development Plan, and NAIP with clear objectives and strategies, the biggest concern for all (100 percent) stakeholders interviewed is the unpredictability and inconsistency of policy implementation between stated intentions and priorities laid out in the plans and actions, especially in the maize subsector. The case in point is the government setting the floor price for maize marketing in a liberalized economy.

¹³ *The National Agricultural Policy, 2010–2015*. Draft.

¹⁴ Ministry of Finance. 2013. *Revised Sixth National Development Plan*. Draft. Lusaka.

3.2.1 Key Issues

- ✓ Existing policies and pieces of legislation are not adequate to create the enabling environment necessary for private-sector-driven growth.
- ✓ There is need to revise these policies and develop new ones.
- ✓ Policy implementation is unpredictable and inconsistent.
- ✓ Stakeholder consultation is inadequate at times.

3.3. Recommendations to Address Existing Policy Framework Gaps

In view of the inadequate legislation, the National Agricultural Policy was reported to be under review already. The respondents indicated that it is critical that the Ministry of Agriculture and Livestock accelerate the review of the National Agricultural Policy. The other legislation that they thought was critical and needed immediate attention includes the development of an Agricultural Marketing Act that will regulate market players in agricultural marketing; the review of the Agricultural Credit Act to provide for use of a warehousing receipt system as collateral in obtaining loans; legislation regarding animal health, livestock development, dairy development, animal identification and traceability, and veterinary and para-veterinary professionals, which is necessary to guide the agricultural sector on the control and prevention of livestock diseases, as well as regulate dairy and livestock production; and the Fisheries Policy and Fisheries Act.

Respondents indicated that most of the difficult food security policy and political issues concern maize. None-maize policies affecting crops (such as wheat, rice, and soybeans) and nonfood commodities are generally supportive of the private sector and involve little or no subsidies or restrictions on trade of inputs or outputs. Therefore, respondents felt that the government and its partners should make a clear distinction between maize and none-maize agricultural policies when engaging in policy dialogue, to avoid entangling none-contentious commodities.

Respondents felt that the government must make less use of statutory instruments in policy pronouncements and undertake more reviews and consultation.

3.4. The Policy Formulation Process

The Office of the President, working in collaboration with the Cabinet Office, is the highest policymaking body in the Government of the Republic of Zambia. The president makes policy pronouncements from time to time on agricultural development and marketing, which warrant policy reviews. The Ministry of Agriculture and Livestock, in consultation with the president, also makes policy pronouncements, particularly on agriculture marketing. The major challenge faced with most policy pronouncements made by the president or the Ministry of Agriculture and Livestock is the coming into effect of some of the major policies that are not always preceded by or based on normal policy development processes.

It was reported that, apart from policy pronouncements made by the president and the Ministry of Agriculture and Livestock, the normal policy formulation process is coordinated by the Policy and Planning Department and involves the following key players: ministries, Cabinet secretariat, Cabinet committees, and the Cabinet. This process is used to formulate sector and subsector policies, as well as various pieces of legislation, such as the revised National Agricultural Policy and NAIP (Sections 3.8 and 3.9) and the Irrigation Policy. The four stages in the policy process are described below.

3.4.1. Policy Formulation Stage

The formulation stage was reported to involve conceptualization through which the problem to be addressed is identified and defined. Any stakeholder who feels that an issue needs attention can participate in this stage. However, consensus is needed before escalating the problem to the Ministry of Agriculture and Livestock. The necessary consultation on the problem is undertaken with key stakeholders, after which it is analyzed. The possible policy options are determined, and the preferred course of action is recommended to the Cabinet Office for consideration by the Ministry of Agriculture and Livestock.

The key players at the policy formulation stage are the Ministry of Agriculture and Livestock's Policy and Planning Department, which coordinates the policy formulation process at the sector level; the Policy Analysis and Coordinating Division within the Cabinet Office; and other relevant stakeholders, including development partners, NGOs, the private sector, and farmer organizations. At the formulation stage, the Policy Analysis and Coordinating Division analyzes the policy proposal to determine whether it requires Cabinet consideration, and whether the draft policy is consistent with government policy and conforms to the prescribed formats for policy documents. The capacity needs that were highlighted to efficiently clear policy proposals were data management, storage, and retrieval.

3.4.2. Policy Adoption Stage

The adoption stage was reported to refer to the recommended course of action or approach being presented before a decision making body for approval. The key players in the agricultural policymaking process at this stage include the Cabinet secretariat—namely, the Policy Analysis and Coordinating Division. This office processes the policy for inclusion on the Cabinet agenda, issues a notice, dispatches it to relevant members, and records proceedings during the Cabinet meeting at which the policy is considered. Other stakeholders are the initiating minister (minister of agriculture) and the Cabinet, which approves the recommendations in the policy document.

3.4.3. Policy Implementation Stage

The implementation stage was said to refer to a set of activities undertaken to ensure that the decision made on the recommended course of action is implemented according to the approved implementation plan. Key stakeholders at this stage of the policy formulation include the Policy Analysis and Coordinating Division, which will convey the decision of the Cabinet and the minister of agriculture to the Ministry of Agriculture and Livestock, which will ensure that the decisions of the Cabinet are implemented. The other stakeholders are also sensitized on the approved policy through various media, such as launch events and workshops.

The recently revised livestock policy and the Farmer Input Support Programme review went through this process. However, the respondents felt that implementation poses the greatest challenge for government programs as the government implements policies to suit its needs. The capacity needs highlighted included a lack of logistical support to monitor and collect views and evidence, and low capacity to analyze policies and present the analysis in a format that can be understood in a short time.

3.4.4. M&E Stage

The M&E stage was said to be a continuous process of checking progress to ensure that the planned activities are being implemented within the approved implementation plan period. The key players at this stage are the Policy Analysis and Coordinating Division, which will demand quarterly progress reports on the implementation of the policy; the Ministry of Agriculture and Livestock, which will monitor the implementation of the policy and generate

quarterly progress reports; the Cabinet, which will demand policy impact reports; the agriculture development partners; the parliamentary Committee on Agriculture; the agriculture NGOs; the private sector; and farmer organizations, such as the Zambia National Farmers Union. The reports are kept in government offices and are not readily available to the public.

3.4.5. Key Issues

- ✓ There is a normal policy formulation process known to stakeholders.
- ✓ There is some level of consultation in the policymaking process.
- ✓ There is an M&E system, though it is inefficient.

3.5. Legislative Process—Act of Parliament

The respondents indicated that relevant legislation is passed through a procedure that is slightly different from that used for passing a policy. A proposed law is called a bill and can be introduced by any member of Parliament (MP). There are three types of bills, which follow slightly different procedures. However, all bills go through five stages before the president can assent to them to become law. For purposes of this report, the procedure for public bills, which are not for the alteration of the constitution, will be discussed. A public bill is one that affects the public as a whole.¹⁵ Examples of recent agricultural public bills are the Fisheries Act of 2011, the Veterinary Act of 2010, and the Agriculture Credit Act of 2010.

According to parliamentary reforms of 1999,¹⁶ a public bill should be advertised in the government and private print media for 14 days after it has been gazetted and before it goes to first reading in Parliament. A summarized process follows, while details are presented in Appendix 5.

- *First Reading Stage:* Bill is read and introduced to the House of Parliament, then referred to the parliamentary Committee on Agriculture for detailed scrutiny through consultations with various stakeholders.
- *Second Reading Stage:* During this stage—the most important stage—the bill is debated in detail.
- *Committee Stage:* The whole House debates the bill clause by clause. Amendments that are compatible with the bill may be introduced.
- *Report Stage:* Only additional amendments to the bill take place during this stage.
- *Third Reading:* The bill is reviewed in its final form without any debate, and is presented to the president for assent.
- *Presidential Assent:* If the president assents to the bill, it becomes law—an act of Parliament.

The challenges highlighted by the respondents included the following:

1. The members of the Committee on Agriculture have no background in agriculture; therefore, they may not follow the issues very well.

¹⁵ Zambia National Assembly. 2007. *Legislative Process: Stages through Which a Bill Passes to Become Law*, page 2.

¹⁶ The Zambian Parliamentary Reform 1999, page 7.

2. The time for interactions with stakeholders to collect their views is limited; hence, stakeholders may not be widely represented.
3. The Committee cannot hold government accountable; it can only recommend action. Therefore, the Committee's influence in the policy formulation process is limited.
4. The process can take a long time, with documents going back and forth.

3.6. Inclusivity and Stakeholder Participation in the Policy Formulation Process

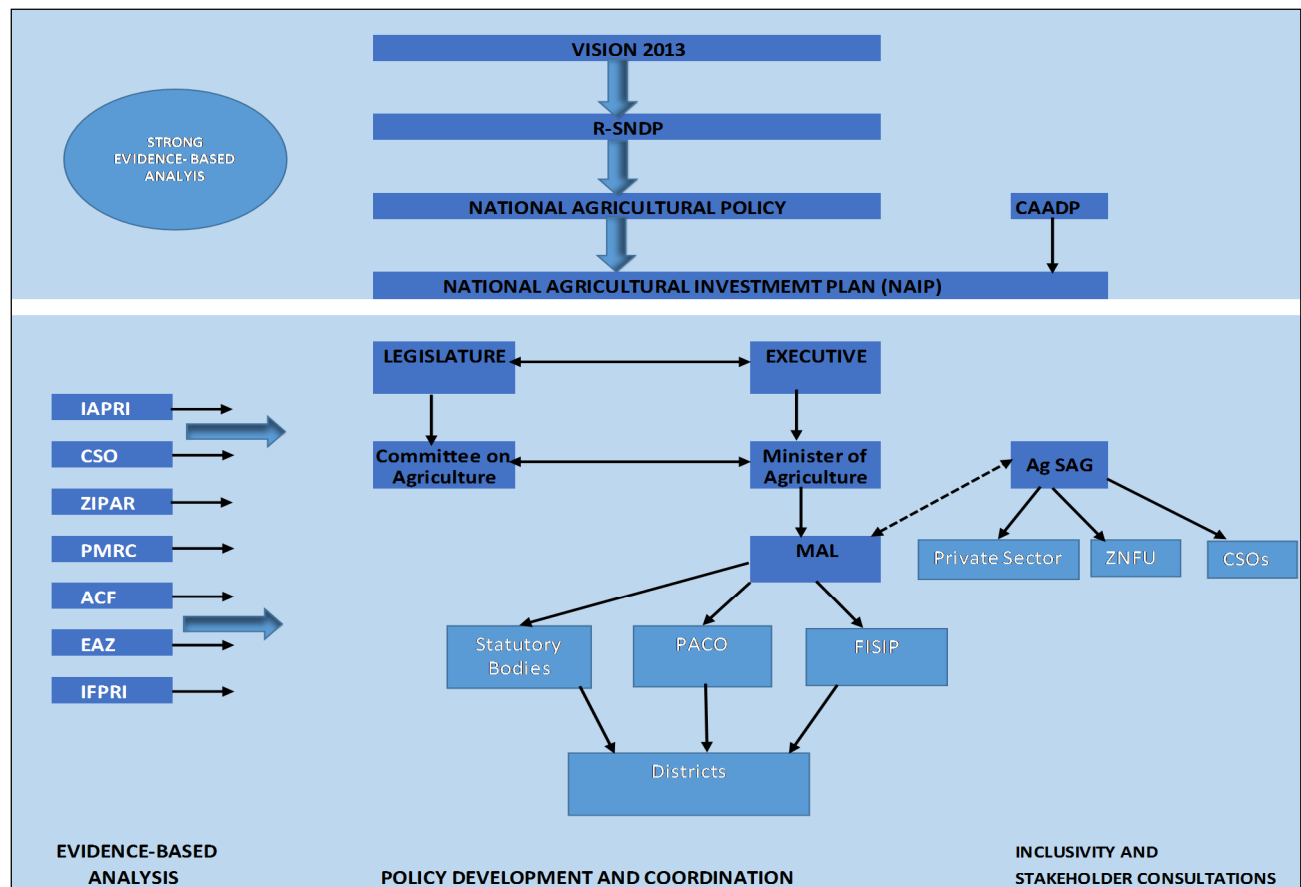
The government has been working with cooperating partners, civil society organizations (CSOs), and the private sector to establish various platforms and avenues through which consultation and dialogue can take place during the policy formulation process. For instance, the Agricultural Sector Advisory Group, which covers all the key stakeholders (development partners, NGOs, line ministries, Zambia National Farmers Union, Grain Traders Association of Zambia, and private sector), is supposed to meet quarterly with the government to provide input to policy development and implementation. However, the group was reported to have met only once in the last year. The causes of this irregularity were reported to be lapses in calling for meetings and budgetary constraints for associated costs of refreshments and sitting allowances for some stakeholders.

ACF is another multi-stakeholder platform for consultation and dialogue on agricultural policy development. ACF members elect the board, which has a full-time secretariat that is independent of the government. The Agri-Business Forum (ABF) is a private-sector initiative that also seeks to develop and maintain ongoing engagement with the government. ABF is also a member of ACF. Various agricultural subsector and commodity associations have been established in recent years, while the Zambia National Farmers' Union has existed (under different names) since 1905 and is a major voice in issues of agricultural policy development. The Indaba Agricultural Policy Research Institute is another influential stakeholder in agricultural policy development. Figure 1 on the following page shows the key stakeholders in the policy formulation process.

3.6.1. Key Issue

- ✓ Forums for consulting a diverse range of stakeholders exist, even though they are not maximized.

FIGURE 1: KEY STAKEHOLDERS IN THE POLICY FORMULATION PROCESS



Source: Authors (2013).

Note: ACF = Agricultural Consultative Forum; Ag-SAG = Agricultural Sector Advisory Group; CAADP = Comprehensive Africa Agriculture Development Programme; CSO = Central Statistics Office; CSOs = civil society organizations; EAZ = Economics Association of Zambia; FISIP = Farmer Input Support Programme; IAPRI = Indaba Agricultural Policy Research Institute; IFPRI = International Food Policy Research Institute; MAL = Ministry of Agriculture and Livestock; PACO = Provincial Accounting Control Unit; PMRC = Policy Monitoring and Research Centre; R-SNDP = Revised Sixth National Development Plan; ZIPAR= Zambia Institute for Policy Analysis and Research; ZNFU = Zambia National Farmers Union.

3.7. Major Players in the Policy Formulation Process

The major players can be divided according to their stakeholder interest groups, including government institutions, NGOs, CSOs, producers and private sector, research institutions, and donors. The stakeholders are brought together routinely during consultations, as well as in multi-stakeholder platforms, such as ACF, the Ministry of Agriculture and Livestock committees, and the Agricultural Sector Advisory Group, which is a high-level forum tasked with overseeing the agriculture sector. A comprehensive list of stakeholders and their roles is presented in Appendix 6.

The government institutions comprise the relevant public-sector entities, such as the Ministry of Agriculture and Livestock, the Ministry of Finance, the Ministry of Commerce, the Ministry of Community Development, Mother & Child Health, the Ministry of Lands, the Ministry of Local Government and Housing, the Food Reserve Agency, the

Zambia Development Authority, the Nutrition Commission, the parliamentary Committee on Agriculture, the Central Statistics Office, and the Bank of Zambia.

NGOs and CSOs are heavily involved in the agricultural sector and form part of the Agricultural Sector Advisory Group. Some of the organizations with the largest impact include advocacy NGOs, such as the Civil Society for Poverty Reduction and the Jesuit Centre for Theological Reflection, as well as others who implement community development and nutrition programs, such as World Vision, Oxfam, Caritas, and Concern Worldwide.

The producers and private sector includes farmers and agribusiness. Farmers are generally represented by the Zambia National Farmers Union, which represents all farmers in the country. The Peasant Farmers Association has lost steam, and now all farmers' interests, regardless of their size or commodity, are represented by the Zambia National Farmers Union. Within the union are farmer representatives from all the major districts in the country, commodity committees, specialized associations, corporate farmers, and agri-business representatives.

Research institutions comprise university departments, such as the University Of Zambia School Of Agricultural Sciences and the Institute for Economic and Social Research. Other institutions include autonomous and semi-autonomous think tanks, such as the Policy Monitoring and Research Centre and the Zambia Institute for Policy Analysis and Research; independent policy analysis institutions, like the Indaba Agricultural Policy Research Institute; and other trusts and associations, such as the Golden Valley Agricultural Research Trust and the Economics Association of Zambia.

Agribusiness interests are usually represented by ABF. Within ABF is a plethora of associations, such as the Grain Traders Association, the Millers Association, and the Bakers Association. Prominent agribusiness companies prefer to operate through these associations, so that they do not appear to be lobbying solely for their own interests.

Another important player is the donor group, which comprises an array of agencies active in the agricultural sector, such as FAO, the World Bank, the Swedish International Development Agency (SIDA), the Finnish Embassy, the Norwegian Agency for Development Cooperation, USAID (the current Chair of the Agriculture Troika), the World Food Programme, the International Fund for Agricultural Development, the Japan International Cooperation Agency, and the African Development Bank (AfDB).

The donors operate through three channels: multi-stakeholder groups, like the Agricultural Sector Advisory Group; directly as part of a cooperating group that meets with the Ministry of Agriculture and Livestock separately; and bilateral cooperation agreements with the government. The cooperating group comprises a troika of donors who take the lead, and another three who are active, as guided by the Joint Assistance Strategy for Zambia II.¹⁷

There are linkages between the stakeholder groups, as would be expected (Figure 2). For example, the donors and the government provide funding for the research institutions; some NGOs receive funding both from the donors and from the producers and private sector; and the government sometimes commissions research from the research institutions.

¹⁷ Government of the Republic of Zambia. November 2011. *Joint Assistance Strategy for Zambia 2011–2015*. Ministry of Finance: Lusaka.

FIGURE 2: LINKAGES BETWEEN THE STAKEHOLDERS



Source: Authors (2013).

The level of influence of the above groups is varied. Donors have a large role in influencing policy formulation and implementation in the agricultural sector. For example, the CAADP Compact was more influenced by donors than by any other stakeholder group. Other stakeholders described as relatively influential are the executive branch, the Ministry of Agriculture and Livestock, Zambia National Farmers Union, and Ministry of Finance. Zambia National Farmers Union has followed an aggressive policy. Given its political influence as an organization that represents all farmers, the union can raise issues and be listened to. However, because it cannot force the government to accept the proposed changes, its level of success is varied.

Above all, the executive branch is the major decision maker. All presidential pronouncements are policy directives, and the Cabinet Office has the last say on whether a policy is approved. In turn, the Ministry of Agriculture and Livestock is a key decision maker, as it can decide whether to pursue issues raised by stakeholders. Ministry of Finance also has some decision making power, as it decides on the budget, which defines the resources available to the Ministry of Agriculture and Livestock for policy implementation. Section 3.10 analyzes the capacities of the few stakeholders interviewed.

3.8. The National Agricultural Policy Review Process Case Study

The National Agricultural Policy (2004–2015) was launched in 2004 after wide consultations. During the following years, various socioeconomic developments took place that were not covered by the National Agricultural Policy, such as increased interest in climate change and biofuel production. Moreover, the National Agricultural Policy presented gaps in issues, such as out-grower schemes, training, and fisheries. In addition, Zambia needed to update the National Agricultural Policy to align its goals with those of the CAADP Compact. In the the National Agricultural Policy review case, the levers for change came from both the stakeholders and the leadership, and the process was spearheaded by the Ministry of Agriculture and Livestock.

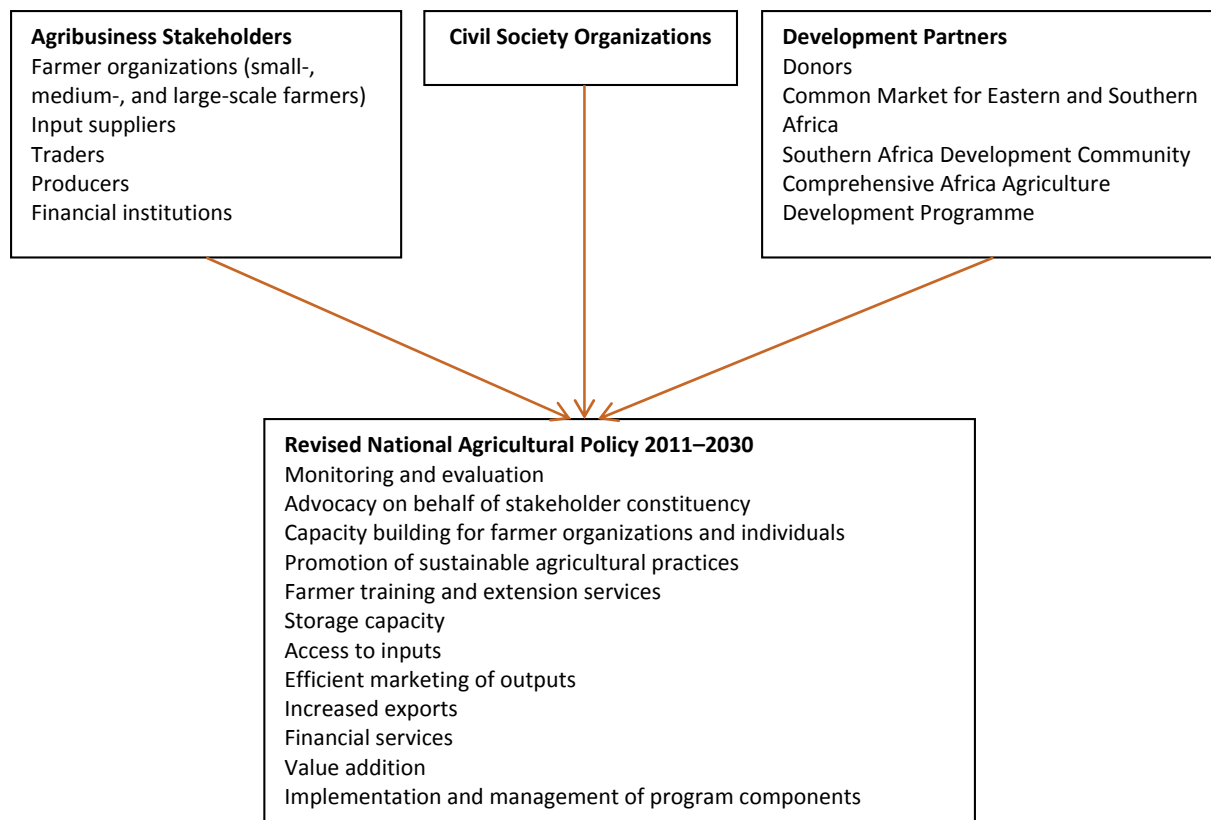
A process to review and update the National Agricultural Policy began in 2010 and aimed at encompassing all major stakeholders in the agricultural sector. Literature reviews, provincial and national participatory workshops, and written submissions were used to obtain stakeholder input. A consultant was hired to review the National Agricultural Policy and, once a draft was prepared, it was circulated to stakeholders who presented their views in a workshop. Key stakeholders were identified for each of the major stakeholder groups that encompassed 11 cooperating partners, 6 institutions, 3 seed companies, 1 chemical supplier, 1 agro-processor, 11 NGOs, and 9 farmer representatives. Further consultations took place at the provincial level, with six the Ministry of Agriculture and

Livestock staff; five farmer representatives covering crops, livestock, and fisheries; four agro-based NGOs; and three private-sector companies. While the document found most of the stakeholders broadly in agreement, some further emphasis was requested on the livestock sector, as the draft the National Agricultural Policy was found to have gaps in that area.

Comments were subsequently incorporated after these lengthy consultations, and a draft the National Agricultural Policy 2011–2030 was completed in early 2013. Delays were also necessitated by the splitting of the Ministry of Agriculture and Cooperatives into the Agriculture Ministry and the Livestock and Fisheries Ministry, and then merging them back together again. The overriding objective of the revised the National Agricultural Policy 2011–2030 is to accelerate reduction of food insecurity and poverty, and is based on the CAADP recommendations. It will ensure that vulnerable populations have the opportunity to contribute to and benefit from agricultural growth as the best way of achieving sustainable food security, and to reduce the vulnerability of households to economic and climatic shocks that often erode assets and coping mechanisms, and deepen poverty, hunger, and malnutrition.

The overall coordination and oversight of the implementation of the revised the National Agricultural Policy 2011–2030 is provided by Agricultural Sector Advisory Group, which is composed of all key stakeholders in the agricultural sector. As one of the major stakeholders, the Ministry of Agriculture and Livestock is the secretariat to the Agricultural Sector Advisory Group. Figure 3 highlights the key stakeholders in the development and implementation of the revised National Agricultural Policy 2011–2030.

FIGURE 3: KEY STAKEHOLDERS IN THE DEVELOPMENT AND IMPLEMENTATION OF THE REVISED NATIONAL AGRICULTURAL POLICY 2011–2030



Source: Adapted from the draft Revised National Agricultural Policy (2013) (Draft).

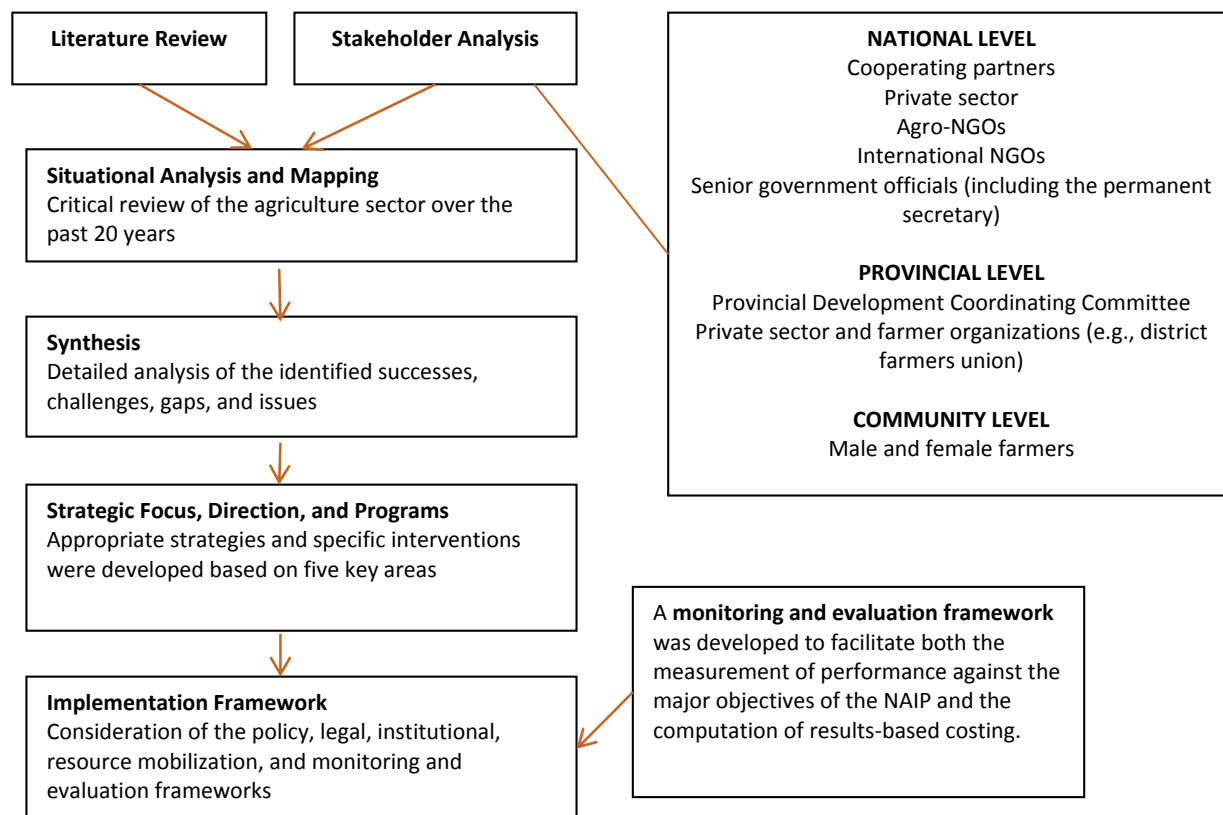
3.8.1. Capacity Gaps in the National Agricultural Policy Case Study

1. The consultations did not involve most of the key stakeholders (farmers), reportedly due both to financial constraints to prepare materials to distribute to them and to logistical costs to reach the farmers.
2. No research was conducted to create evidence for the gaps in the National Agricultural Policy, reportedly due to limited appreciation of use of evidence-based data in policymaking.

3.9. National Agriculture Investment Plan (2014–2018) Case Study

Under the CAADP framework, the NAIP has been designed to make a difference in how the agricultural development agenda is pursued in Zambia. The NAIP’s development is based on all the major strategies of the country: (1) the Fifth National Development Plan, 2006–2010; (2) the Sixth National Development Plan, 2011–2015; and (3) the Vision 2030. As a result of the large stakeholder base, the stakeholder consultation took nearly 2 years. During the formulation process, the Policy and Planning Department interacted with the NAIP Formulation Team on a daily basis. The Indaba Agricultural Policy Research Institute housed the team during the whole formulation process, and provided literature, professional inputs, and a situational analysis. The NAIP formulation process also benefited from the input of the Agricultural Sector Advisory Group and the Agricultural Cooperating Partners through their quarterly and monthly meetings, respectively. Figure 4 outlines the processes that were followed in the NAIP’s development.

FIGURE 4: THE NAIP FORMULATION PROCESS



Source: Adapted from the Zambia NAIP, Ministry of Agriculture and Livestock (May 2013).

3.10. Gaps in the Policy Formulation Process according to Respondents

3.10.1. Policy Implementation Is Unpredictable and Inconsistent

According to the majority of the respondents, the policy development processes are generally transparent and in line with the existing legal framework. However, while there is a clearly articulated legal process for developing and approving policy, this process is not always adhered to, and is often bypassed by the government to its advantage during the law-making and implementation processes. The respondents also indicated that the speed of the policy approval process is considerably influenced by a small group of high-level policymakers. Recent increased use of statutory instruments with little predictability and transparency has compromised this area due to this institutional problem.

3.10.2. Inadequate Legislature

According to most respondents, legislative requirements are defined, but further parliamentary reforms are still needed to get the legislature to a level where it can have real influence on food security policy. This was deemed so, because often the majority of MPs is from the ruling party, and is perceived to act in the best interest of the party. The balance of power tilts very heavily in favor of the executive branch. In practice, the executive branch exerts significant influence over the legislative branch, and the extent of parliamentary oversight is limited.

3.10.3. Opportunities for Manipulation of the Policy Formulation Process

The respondents acknowledged that key government responsibilities are defined, but the lack of consistency and predictability of application of policies remains a major source of concern to stakeholders, because it was felt that it paralyzes the policies. Unfortunately, they indicated that this problem seems to have grown in the use of statutory instruments (a way of delegating legislative and policymaking power to the executive branch). These instruments place significant power in the Ministry of Agriculture, without scope for review or questions by other arms of government, such as the legislature, or by nongovernmental actors.

3.10.4. Unpredictable Policy Agenda and Conflict of Interest

Policies in the National Agricultural Policy and NAIP are clearly articulated, consistent, and prioritized. There have been efforts to ensure that these two are harmonized, together with the Revised Sixth National Development Plan and the Strategic Plan of the Ministry of Agriculture. However, there has been unpredictability regarding policy implementation that is inconsistent with the priorities and policy reform needed, as stated in the documents. This is evidenced by unexpected export bans, a large budget allocation to maize marketing for the Food Reserve Agency in the 2014 planned budget, and 2 years of delays in implementing an e-voucher system. These well-known cases continue to undermine private-sector, donor, and stakeholder confidence in Zambia's food security policy agenda.

3.10.5. Lack of Functioning Coordination in the Policy Formulation Process

Although there are clearly defined structures for policy dialogue, it was reported that the coordinating process is weak. No functional formal policy coordination entity or mechanism exists to play this role. The Agricultural Sector Advisory Group and such institutions as ACF were established for this purpose, but their direct involvement in policy formulation is limited. The Donor Agriculture Sector Working Group meets monthly and is organized. It is usually attended by members of the Ministry of Agriculture and Livestock's Policy and Planning Department. The main platform where the ministry and its partners should engage in policy dialogue is the Agricultural Sector Advisory

Group. However, the group does not meet regularly in line with the prescribed schedule of one meeting every quarter. For instance, in 2013, the group only one meeting. Also, the group has not been used systematically as a platform for policy discussion, development, and coordination, as it was envisioned. However, there is dialogue between the government, the Zambia National Farmers Union, important nongovernmental actors, millers, and traders, but this dialogue is often held in isolation, and is not part of an organized Agricultural Sector Advisory Group.

3.10.6. Limited Secretariat and Administrative Support Function in the Policy Formulation Process

The Ministry of Agriculture and Livestock's Policy and Planning Department appears to have staff capable of performing required processes. However, the effectiveness of the administrative support functions within the ministry remains constrained by limited funding for equipment, training, and communications resources.

3.10.7. Limited Technical Capacity for Policy Formulation

The Planning Department, through the Policy Analysis Unit, has the mandate to perform the following functions: identify policy and technical challenges and issues, develop sector- or project-specific policies and strategies, consult with the private sector, and draft policy proposals. The Policy Analysis Unit has limited capacity in analyzing policy, applying research results to policy issues, setting the policy agenda, and monitoring the impact of policies.

3.10.8. Limited Engagement of Parliament or Legislative Body in Policy Formulation

The parliamentary Committee on Agriculture covers legislative issues on the agricultural sector. The committee may request reports from Ministry of Agriculture and Livestock officials on matters that have been referred to it by the Speaker of Parliament, including matters associated with planning or implementation. However, according to the respondents, the committee's capacity to undertake independent analysis is limited due to inadequate internal capacity, limited engagement with stakeholders, and weak systems for ensuring accountability of the executive branch.

3.10.9. Recommendations to Strengthen the Policy Formulation Process

1. Strengthen the Ministry of Agriculture and Livestock's capacity (particularly the Policy and Planning Department's capacity) to develop systems and mechanisms to enhance its planning function, especially in view of current efforts to enhance M&E that can strengthen stakeholder alignment, reporting results, and the rollout of M&E at district, provincial, and national levels.
2. Continue parliamentary reforms to enhance the role of Parliament in policy development and monitoring, in particular, strengthening communication and feedback mechanisms between the Subcommittee on Agriculture with stakeholders and the Ministry of Agriculture and Livestock, and use of new M&E systems aligned to the NAIP. Develop and support programs with Parliament, and make existing laws (including proclamations, regulations, and directives) more readily available to the public online and in print, starting with agriculture- and food security-related laws. Further, provide technical support to Parliament to develop and operate a web-based system that tracks the passage of legislation through its steps to Parliament, and make this available to the public online.
3. Support multi-sectoral coordination mechanisms and frameworks that strengthen the effectiveness of stakeholder input to agriculture policy. This could be through support to institutions (such as ACF) and structures (such as the Agricultural Sector Advisory Group).

4. Support networking and public-private dialogue forums and joint leadership training events that can continue to build trust among public, private, and civil society.
5. Strengthen the Agricultural Sector Advisory Group and other government and donor cooperation frameworks for stakeholder and donor engagement in policy dialogue on key issues affecting the agricultural sector, including much less use of statutory instruments, greater review and consultation, and longer comment periods.

3.11. Monitoring and Evaluation and Policy Analysis

The Patriotic Front has demonstrated political will to establish a government-wide M&E system after the discovery that for many years the public sector had operated without a comprehensive and effective system either for generating information to facilitate decision making and evidence-based policy formulation, or for evaluating the impact of government policies. This provides immense opportunities for the agricultural sector to strengthen its M&E system by riding on political good will.

At the sectoral level, over the years the Ministry of Agriculture and Livestock has attempted to develop an M&E system for the sector. However the M&E systems developed were designed to meet project or departmental reporting requirements. Consequently, the systems have been characterized by the following limitations:

1. Parallel reporting processes, separated by departments, have led to fragmentation in the generation of management information, due to setting up separately maintained, decentralized databases.
2. Limitations for aggregation of results are due to lack of standard indicators and formats.
3. Reporting is focused on activities and production figures. The Ministry of Agriculture and Livestock delivered little or no information on products and services (output level), or on beneficiaries' (smallholders') access to and satisfaction with these services (outcome level).
4. Indicators are collected from different sources without any interpretation or analysis to inform policy and management decision making. In addition, most indicators appear only on paper, and there is no integrated routine system for tracking and reporting them.
5. The selection of indicators is determined by what data can easily be collected, rather than the generation of information that is critical to inform policy and management decision making.

Over the last decade, technical support from different partners has been provided to the Ministry of Agriculture and Livestock to strengthen M&E functions. Nevertheless, the results obtained were discouraging because the M&E systems developed

1. were too complicated and sophisticated in terms of the Ministry of Agriculture and Livestock's human resources and information and communication technology capacities, and
2. were too ambitious in terms of the indicators to be monitored and the reporting system used.

In 2012, the Ministry of Agriculture and Livestock, with support from the Government of Finland, embarked on developing an integrated sector wide M&E system that will collect M&E data from the camp, district, provincial, and national levels. An M&E manual has already been developed, with definitions of 38 core indicators that will be

tracked in the sector. The manual has since been pretested and will be rolled out to all the districts in late 2014. RESAKSS-SA provided technical assistance for the development of the manual.

3.11.1. Institutional Constraints Contributing to Lack of a Comprehensive Sectoral M&E System to Inform Policy Formulation

Some of the factors that have generally contributed to lack of a reliable and comprehensive system to monitor and evaluate the government's policies and programs in the sector are as follows:

1. **Poor Coordination:** Due to the absence of an integrated M&E framework, there is poor coordination in the process of generating M&E data and products. As a result, government departments have been working in isolation, leading to fragmentation and duplication of activities and efforts related to M&E. This is compounded by the lack of standardized tools for M&E data collection in the sector.
2. **Inadequate Management Information System:** The Ministry of Agriculture and Livestock does not have a well-established, well-coordinated management information system to help with planning, monitoring, and evaluation that would support informed decisions.
3. **Weak Institutional Capacity:** M&E is being spearheaded by a small M&E unit in the Policy and Planning Department without any defined organizational structure. The unit lacks capacity in M&E processes in relation to data entry, analysis, interpretation, and generation of various M&E products to inform policy and investment decision making. In addition, there are no M&E structures or personnel at the provincial and district levels.
4. **Weak Human Capacity in M&E:** The function of M&E in the sector is managed by officers with limited or no skill in the appropriate discipline, thereby making it difficult to generate the necessary M&E products that should inform policy formulation, investment planning, and decision making.
5. **Low Appreciation and Utilization of M&E:** There is a low appreciation of M&E information as a vital input in policy development and decision making. This can be attributed to low appreciation of M&E as a vital mechanism in policy development. Consequently, information generated from the districts is used primarily for external reporting purposes, as opposed to internal evidence-based decision making. As such, the focus has been on outputs, rather than outcomes. This has resulted in a mismatch in policymaking, resource allocation, and program needs.

The M&E results and findings were reported to be used internally and kept within the department that conducted the monitoring, and are not available to other departments within the Ministry of Agriculture and Livestock. It was also felt that there should be duplication in some cases. In this case, the use of results was reported to be minimal.

3.12. Organizational Level

3.12.1. Scoring of Organizational-Level Needs Assessment

During the application of the organizational level questionnaire, respondents were asked to score 19 statements in five sections that represented core capabilities of their organization. The scores were from 1 to 5, with 1 being the highest and usually meaning, "strongly agree" or "highly effective," and 5 being the lowest and usually meaning "strongly disagree" or "highly ineffective." To facilitate analysis, the institutions were grouped according to their stakeholder interest groups, and the findings are presented according to the sections of the questionnaire. Averages

were taken to determine consensus on the scores. The results are presented in Table 2 on the following page. For a detailed presentation of the scorings per statement, see Appendix 7.

The results show that government institutions and CSOs gave the same scores on four core capabilities, except for mechanisms for coherence, and gave a generally more unfavorable picture (average to strategic leadership) than the research institutions and the producers and private sector, who indicated that leadership was strategic to highly strategic. On average, respondents perceived leadership in the sector as a whole and within their organizations as neutral (3), mostly stemming from negative perceptions of the political leadership and the challenges in keeping staff motivation high, given the low remuneration packages in government. The producers and private sector and research institutions gave higher scoring on average, mainly due to higher confidence regarding their own human resources, financing, and skill levels.

TABLE 2: SUMMARY OF SCORES FOR BENCHMARKS

Title of Section	Government Institutions	Civil Society Organizations	Producers and Private Sector	Research Institutions	Overall Scoring
I. Capability to act and commit—Level of effective leadership in the policy process	3	3	2	2	2
II. Capability to adapt, learn, and self-renew—Level of effective application of M&E	2	2	2	2	2
III. Capability to deliver on mandate and development objectives—Extent to which your organization delivers on planned objectives and mandates	2	2	1	1	2
IV. Capability to coordinate and relate—Level of engagement of your organization in networks, alliances, and collaborative efforts	2	2	2	1	2
V. Capability to achieve policy and strategy coherence—Existence of mechanisms for coherence in the food and agricultural sector	3	2	2	2	2

Scoring Key

- 1: Highly Strategic/Highly Responsive/Strongly Agree/Highly Skilled/Very High/Highly Adequate/Highly Effective
- 2: Strategic/Responsive/Agree/Skilled/High/Adequate/Effective
- 3: Neutral/Average
- 4: Nonstrategic/Nonresponsive/Disagree/Low Skilled/Low/Ineffective
- 5: Highly Nonstrategic/Highly Nonresponsive/Strongly Disagree/Very Low Skilled/Very Low/Highly Ineffective

Regarding core capability (II), the level of effective M&E application, all groups gave an average scoring of effective (2). In general, the M&E system of the government, even though in place, was judged as somewhat ineffective when it comes to influencing policy and strategy, especially since M&E in the Ministry of Agriculture and Livestock is still under review to make it more systematic. However, some respondents were not aware of any M&E system in the

Ministry of Agriculture and Livestock. The organizations generally thought their own M&E systems were effective, and there seemed to be a culture of openness across the stakeholders both in terms of their staff and regarding stakeholders and the public. Access to information remains a key challenge across the spectrum, with use of information and communication technology on the increase, but still underutilized by the government sector.

Furthermore, government institutions and CSOs ranked their ability to deliver planned outputs somewhat more unfavorably than other groups, by saying they agree/are effective (2), as opposed to the other groups who were more confident, saying they strongly agree/are very effective (1). Almost all respondents had a 5-year strategic plan that gave them clear operational guidelines. Additionally, the staff followed a work plan (either annual or monthly) with a related budget. Outputs were generally described as timely, with only financing posing a challenge.

The research institutions seemed to be the most confident regarding their ability to coordinate and relate, scoring highly effective (1), as opposed to all other stakeholders, who scored effective (2). Generally, all stakeholders made efforts to belong to networks and collaborate on common goals and projects with other institutions, although the efforts were not always systematic and formalized.

Finally, all groups scored an average of effective (2) in the last capability area—coherence in the food and agricultural sector—except for government institutions, which scored neutral (3). This can be attributed to the Committee on Agriculture, which has a setup significantly different from that of all other institutions in the study. Even though guidelines for aligning their goals with those of the government are not written for most institutions, their mandate is closely aligned to those of the Sixth National Development Plan or the Ministry of Agriculture and Livestock, so that their goals are harmonized. Also, all groups often discussed and reviewed their visions and missions, usually in line with their 5-year strategic plans.

The findings from the organizational assessment have also been grouped into a SWOT (strengths, weaknesses, opportunities, and threats) analysis along the main thematic areas. (For details, see Appendix 8.) The details of the findings about the organizational-level needs of each participating institution are discussed below, organized by category of stakeholders.

3.12.2. Government Sector

3.12.2.1. Central Statistics Office

The Central Statistics Office's primary needs stem from lack of adequate resources, mainly shortage of funds and staff. The remaining staff needs capacity development for in-depth analysis, while more funding is required to complete key surveys and keep staff motivated.

The Central Statistics Office has always been a department within the Ministry of Finance, even before Zambia's independence. Its main function is to provide data, analysis, and reporting to the government and the public, which are used to inform policy decisions. The Central Statistics Office produces two key surveys for the agriculture sector: the Post-Harvest Monitoring Survey and the Crop Forecast Survey.

The leadership in the agriculture sector was deemed strategic and described as pursuing changes actively, as demonstrated by recent policy changes (e.g., maize subsidy removal). Within the Central Statistics Office, staff seemed to lose motivation, as the department was understaffed and underfunded. Respondents mentioned that funding has not always been adequate to cover the costs of key surveys, and the staff needs more capacity building to provide in-depth analysis. On the positive side, some financial incentives were attached to fieldwork, and since unemployment in the private sector was high, overall staff turnover is low. The Central Statistics Office proposed

that being independent and not a department within the Ministry of Finance would improve its chance of receiving more government funding.

At the time of the writing of this report, the Central Statistics Office participated as a department in the Ministry of Finance's Monitoring and Evaluation Department system, but did not have an M&E system of its own. However, there were frequent management forums where the production of reports was discussed. The office did not participate in sector reviews, as its mandate was purely to provide data and some basic reporting. As an institution, the Central Statistics Office was open to stakeholder input—in particular during training sessions, before surveys were undertaken, and during management meetings. The staff was also free to raise issues and suggest improvements, but funding could be a constraint. Workshops were sometimes organized to receive stakeholder feedback, but there was no formalized system to receive feedback from the public. Finally, the Central Statistics Office kept in touch with trends and developments in the agricultural sector, although this contact was ad hoc, and no specific mechanism or staff was dedicated to it.

The Central Statistics Office operated on a clear annual work plan that the staff implemented, and made every effort to achieve timely outputs in spite of funding constraints. By organizing and conducting User Producer Workshops, the office was able to verify that its services meet client demand.

The Central Statistics Office collaborated often with partner institutions (especially the Ministry of Agriculture and Livestock and the Indaba Agricultural Policy Research Institute) on data collection, and was a member of CountrySTAT, the food and agriculture data network hosted by FAO. While the office collaborated on some joint projects with stakeholders, such as AfDB, interactions in some of these forums were not as regular as it would want, due to funding constraints and a significant workload.

Finally, according to the respondents, the Central Statistics Office discussed its vision and mission regularly in management meetings, but provincial staff was invited to participate only twice a year because of limited resources for logistics.

3.12.2.2. Ministry of Agriculture and Livestock, Policy and Planning Department

The overarching needs of the the Ministry of Agriculture and Livestock's Policy and Planning Department appear to be stable, with increased funding, short- and long-term training for staff involved in policy analysis, a more effective M&E system, and increased and more use of efficient information and communication technology.

The Policy and Planning Department started to take its current shape in the mid-1980s to 1990s, and has since grown into a key department within the Ministry of Agriculture and Livestock. Its role is to formulate, monitor, evaluate, and update agricultural policy principally on behalf of the government, but also all other actors. Therefore, the department has been involved in all recent policies and strategies that have affected the agricultural sector, such as the National Agricultural Policy review, the NAIP formulation, the Crop Diversification Strategy, and the Cooperative Policy.

The respondents at the Planning Department felt that the direction of the government was positive, and that there were signs of strategic leadership in the sector. The faith in the new government was reinforced by the regular engagement of top management in developing policies and strategies. However, decisions were not always driven by evidence, and there seemed to be a strong top-down approach, which occasionally pushed policy according to political priorities and sometimes bypassed the consultation process.

Within the Ministry of Agriculture and Livestock, staff motivation was reported to be kept high by recent adjustments in the conditions of service and the existence of special incentives. However, salaries were deemed to be low, and the Policy Analysis Unit staff lacked advanced skills to conduct in-depth policy analysis, as most of the staff was reported not to have skills in using analytical software. Donor funding was also reported to have dwindled between 2008 and 2012, making opportunities for capacity development scarcer.

The Policy and Planning Department's M&E system is currently under review by an independent consultant, in an effort to make it more systematic and harmonized. It would feed into the department's system for easier tracking in relation to the Sixth National Development Plan. Some sector performance analysis previously conducted and found to be useful has now stopped due to lack of funding, and the Ministry of Agriculture and Livestock did not undertake annual reviews like other ministries in the country. However, the existing M&E information was thought to have some influence on the policy process, for example, with the removal of maize subsidies and review of the National Agricultural Policy.

The Ministry of Agriculture and Livestock seemed to remain in touch with trends in the sector through a variety of means, such as conferences, dissemination workshops, and access to various information sources, but lack of funding puts a strain on that capacity. In most cases, the ministry remained open both to staff ideas and to stakeholder input, although the process was not always very consultative, and there were significant time lapses between ideas and implementation. The ministry does consult with stakeholders on issues of national interest, but was reported not to implement the ideas collected from the stakeholders, and does not to consult widely among all categories of stakeholders, as occurred with the removal of maize subsidy. Smallholder farmers were reportedly disadvantaged, because consultations would at most rise to the district level, with minimal representation of one category of major stakeholders.

According to the respondents, the Ministry of Agriculture and Livestock has incorporated its mandates into its strategic plan, and has an annual work plan with budgets attached to it. Copies of these plans were available to everyone, and output was mostly delivered on time. Lack of funding was the main source of uncertainty when it came to following the plans, as the staff would not adhere to the planned time frame when funding was not released on time. Funding was also reported to be released in a piecemeal fashion, contrary to the budgeted amounts. The respondents felt that this was compounded by the fact that unused funds are returned to the treasury at the end of each financial year.

The Ministry of Agriculture and Livestock has played a coordination role in the agricultural sector and, as such, has been very engaged with the other stakeholders. The ministry also participated in international and regional forums, such as the SADC and FAO platforms. However, it was perceived that lack of funding could pose a threat to the realization of the ministry's objectives for an effective coordination role. Finally, there were operational guidelines to achieve coherence in the food and agricultural sector through the policies and legislation, although these may have been outdated. At the time of the writing of this report, the goals of the National Agricultural Policy, NAIP, and Ministry of Agriculture and Livestock strategic plan were aligned.

3.12.2.3. Ministry of Finance, Economic and Technical Cooperation Unit

The Economic and Technical Cooperation Unit's major concern is low staffing levels. Currently, only two staff members are responsible for work previously performed by six people. The unit also expressed a need to restructure the Ministry of Agriculture and Livestock's departments, so that each department or unit can deal with one thematic area. This would enable staff members to specialize and improve their skills in that particular area. The unit also needs to know how it contributes to the agriculture policy process, as it was reported to be not fully linked.

The single respondent, who has been involved in the agricultural policy process since 2008, felt that the unit is not very directly involved in agriculture and is not specialized in any particular thematic area. It was also noted that no other institutions play a similar role. Nonetheless, it was reported that the unit played some roles in the removal of consumer subsidies, review of the Farmer Input Support Programme, and development of several statutory instruments.

The political leadership was deemed to be slow in decision making due to the structure of government and lack of technical knowledge in relevant thematic areas. On the other hand, staff members were reported to be competent in using evidence for strategic analysis, with low staff turnover, which was attributed to job security in government despite lack of incentives to motivate staff. Nonetheless, the respondent identified a need for putting in place necessary arrangements to motivate staff, like loans for acquiring assets.

The Economic and Technical Cooperation Unit showed a serious need for an M&E system in relation to the agricultural policy process. The specific needs included carrying out M&E activities that were not perceived as their unit's core function, participating in reviews, staying in touch with agricultural trends, and being responsive to stakeholders and the general public. Irrespective of all these needs, the staff was reported to be free to come up with ideas for implementation of program policy objectives.

The respondent also felt that the unit did not deliver planned outputs in a timely fashion, despite having these plans in place, due to limited resources and political interference. Political leaders' directives take priority. Additionally, the unit had no feedback mechanism to verify whether its services met client and beneficiary needs.

Coordination of networks and alliances and maintenance of partnerships were reported to be minimal, because the unit coordinates donor-funded projects and, hence, does not interact much with other stakeholders. The possible solution identified was to recruit more staff to reduce the workload and also for departments to specialize in specific thematic areas.

Mechanisms for coherence were reported to be absent, exhibited by a reactive, rather than a proactive, approach.

3.12.2.4. Ministry of Finance, Monitoring and Evaluation Department

The Monitoring and Evaluation Department's major identified needs are more advocacy skills for staff, more formal structures to encourage internal evaluations, external collaborations to stay in touch with agricultural trends and developments, more realistic budgeting, and improved use of information and communication technology for making research public.

The Monitoring and Evaluation Department was established within the Ministry of Finance in 2008. It is charged with the M&E of the National Development Plans and programs and produces the annual progress reports. The department is not involved in the policy formulation process, but the M&E evidence it collects is used to influence future policy. For example, staff members write Cabinet memoranda and advise the government on issues spanning all sectors, including agriculture. Most recently, they provided input to the government for the removal of the maize subsidies.

The leadership of both the agricultural sector and the Ministry of Agriculture and Livestock was judged in a positive light by respondents within the Monitoring and Evaluation Department. However, use of evidence in policymaking was perceived as not universal, and decision making is somewhat slow. Department staff members were motivated mainly by their working environment and by opportunities for career development and training. Demotivating

factors included uncompetitive salaries and flat structures that lead to fewer opportunities for promotion. In general, the department's level of analytical skills was high, as all staff members held a Master of Science (MSc) degree, but the respondents pointed out that more advocacy skills were needed to push for evidence to be used more effectively in policymaking. The department received funding only from the government, but that could be somewhat erratic throughout the year.

The Monitoring and Evaluation Department has been producing the annual progress reports that tracked the Sixth National Development Plan's completion. According to the respondents, the Ministry of Finance was a member of the Agricultural Sector Advisory Group and, as such, provided some input to the group's sector-wide reviews. Data from the annual progress reports and the reviews were perceived to influence future policy, although there was room for improvement on the degree of the data's effectiveness.

The respondents mentioned that the department encouraged critical reflection, and the staff was generally free to come up with ideas, but there were no formalized structures yet to guide the process. There was also willingness to be open to stakeholders, but the main problem was lack of tools to make the department's work accessible to the public, such as dissemination workshops, pamphlets, and newsletters. Furthermore, the department was tasked with monitoring a number of sectors, so no particular system was in place to stay in touch with agricultural developments and trends, although a desire to establish one was expressed, in the hope that better understanding of the sector would improve the department's monitoring.

The Monitoring and Evaluation Department functioned on the basis of clear operational plans and work plans. The central position of the Ministry of Finance in the economy provided good motivation for staff to deliver outputs on time, summarized in the phrase of the respondents "if we fail, the nation fails." However, at the time of the writing of this report, the Ministry of Finance's M&E system did not include a service delivery charter, meaning that there was no formal mechanism to verify whether the department is meeting the needs of clients and beneficiaries.

According to the information supplied by the respondents, the department did not have formal structures for encouraging collaboration with external entities, although some collaborative work and consultancies were occasionally undertaken.

Finally, the department operated on the basis of a Ministry of Finance-wide 5-year strategic plan, which means that its mission and vision are reviewed every 5 years. Even though these goals were aligned to the Sixth National Development Plan, there was still a misalignment between the department's budget and goals, and the Sixth National Development Plan; however, progress was underway in an effort to harmonize them. The budget is adjusted at a higher level before approval. Also, the approved budget is not released as planned, compounding the problem further.

3.12.2.5. Parliament, Committee on Agriculture

The major need of the parliamentary Committee on Agriculture is how to make it authoritative enough to make the government responsive to its recommendations or those of the stakeholders whose views the committee passes on to government. It was felt that the separation of power between the executive and legislative branches of government is not very clear, compromising the committee's effectiveness. Committee members may not be conversant with agricultural development, as they are elected at random and not on merit.

The Committee on Agriculture was identified as a segment of Parliament that is relevant to the policy process of the food and agricultural sector. The sessional Departmental Committee has a 1-year tenure of office, although

Parliament maintained the same members over time. However, it was reported that the committee had been involved in the sector's policy process since the 1999 parliamentary reforms on committees. The committee's role was identified as providing evidence oversight in the sector as well as evidence to inform legislation. In the past 5 years, the committee has contributed to legislation concerning fisheries, veterinary, dairy, and animal health issues.

The respondents could not give any opinion about the Committee on Agriculture's political leadership, due to the requirement that they should be nonpartisan. However, they indicated that the political leadership was highly strategic, as it identified gaps in legislation and sought to address them, despite the government not taking action on most recommendations. This was compounded by the fact that the committee members were not knowledgeable about agricultural issues, as their appointments were based on political influence, rather than merit. Nonetheless, the committee was supported by a competent secretariat. The committee was well funded, solely by the government. A similar identified need was building the capacity of committee members in areas related to agriculture, which was reported to be absent for this committee, unlike other departmental committees.

The Committee on Agriculture was reported to conduct M&E of programs that fell within the theme of that particular session and, hence, were included in its work program. Consultative sessions were also held with stakeholders and numerous reports were submitted, which provided the basis for the recommendations to the House of Parliament and the government. Therefore, the process was effective regarding agricultural sector reviews and staying in touch with trends in the sector. The committee was perceived to be free to raise ideas for implementation of policy objectives, although it could only make recommendations. The committee's reported needs included lack of authority to hold government accountable to the public, low capacity to handle the volume of information, and rigid standing orders and operations of Parliament. Even the Action Taken Reports from the government remained noncommittal. It was perceived that these needs could be addressed by building capacity, increasing access to research facilities, and electing qualified MPs.

The Committee on Agriculture was rated high in delivering planned objectives and mandates, as this is mandatory within Parliament. It compiled an annual work program and conducted tours and spot checks on agricultural development programs during each office's tenure. All of these activities were reported to the House and the government. The only aspect lacking in the committee's M&E was a mechanism to verify whether its services met client needs. The time allocated for interacting with stakeholders was also perceived to be too short, as it currently stood at 2 weeks to 1 month in the already short 1-year tenure.

The committee was reported not to have any formal partnerships, although members collaborated occasionally with key stakeholders—such as the Ministry of Agriculture and Livestock, Indaba Agricultural Policy Research Institute, and ACF—but only when the need arose, which was perceived to be a weakness. Consequently, the need to formalize partnerships was cited in order to be accountable.

The committee was reported not to have its own vision, mission, and strategies, as they were guided by those of Parliament, as well as by the standing orders for operational guidelines. Nonetheless, the parliamentary mechanisms worked well, as they were adapted to the agricultural thematic area. The only need identified was that the committee had no say in the sector budget—a situation that needed to be improved upon.

3.12.3. Civil Society Organizations

3.12.3.1. Agricultural Consultative Forum

The major need identified for ACF was increased funding and, consequently, increased staffing levels. ACF suffered setbacks in funding when some donors pulled out of the institution, which led to job losses. ACF has four staff members involved in the agricultural policy process who hold at least a Bachelor of Science (BSc) degree.

ACF has been involved in the agricultural policy process since its inception in 1998. It described its main role as facilitating the policymaking process by providing a platform for dialogue. ACF identified the following institutions as playing similar roles: Indaba Agricultural Policy Research Institute, Economics Association of Zambia, Zambia Institute for Policy Analysis and Research, and Institute for Economic and Social Research. ACF's involvement in the recent past was recorded in the Farmer Input Support Programme review, the development of Layman's Act on Marketing, the CAADP Compact, the Agriculture chapter in the Sixth National Development Plan, and several other government documents.

ACF leadership was reported to be moderate, as most relevant policy documents were in place. However, their implementation was reported to be a challenge, as some key bills were yet to be enacted. In contrast, ACF staff was reported to be qualified, experienced, and knowledgeable, with low turnover. The nature of work was seen to be attractive, despite the current low funding and the lean structure that does not provide for career development. ACF was addressing the financial problems encountered by implementing a recently developed Financial Sustainability Strategy.

Whereas ACF conducted budget tracking and individual institutions have their own M&E systems, ACF was reported not to have any M&E system in place. The committee ACF designated to spearhead this effort was reported to be inactive. Nonetheless, it was reported that evidence had been used effectively, as with the removal of consumer subsidies, although recommendations were not embraced at times. ACF staff was reported to be free to propose ideas for implementation of policy objectives, as this was ACF's core mandate and ACF played a neutral role. Access to information was reported to be very good, except for resources to verify media reports. The remedies to address these issues are improving both the political will to act on evidence and ACF's financial base.

Delivering planned objectives and mandates presented no issues for ACF, as it was implementing its second strategic plan with annual work plans, quarterly reviews, and weekly staff meetings. The only setback reported was that the M&E form developed had not been used, because the officer was laid off due to dwindling resources. However, it was hoped that the form could be used at the 2013 annual members' meeting.

Being a member-based forum, ACF was rated highly effective for its engagement in networks, alliances, and collaborative efforts, and was reported to have relevant capacity and experience. ACF enhanced these assets by partnering with local and international organizations. The challenge identified was lack of commitment from some members, which ACF was addressing by re-engaging them to determine their felt needs.

The existence of mechanisms for coherence was perceived as the main agenda for ACF. In addition, guidelines for policy coherence were also reported, as goals are aligned to the sectoral goals. However, the challenges identified were lack of commitment from some key members, as well as poor financial and human resources to implement some activities.

3.12.3.2. Civil Society for Poverty Reduction

The Civil Society for Poverty Reduction's capacity needs center on increasing staff research skills, promoting M&E training, and finding ways to decrease the staff's workload so it can undertake more M&E, collaboration, and networking responsibilities. This umbrella organization encompasses more than 70 organizations working for development that benefits the poor. Established in 2000, the organization focuses mainly on advocacy and lobbying. It is not involved heavily in the policy formulation process, but conducts budget monitoring and uses that data to push for change. As a member of ACF, it has provided input toward the Sixth National Development Plan and the Impact Evaluation of the Fifth National Development Plan.

According to the single respondent, the Civil Society for Poverty Reduction's leadership in the agricultural sector was poor and showed little strategic governance. A key issue was the perceived lack of consultation on several issues.

Within the organization, staff turnover was low, owing to a good working environment that encouraged training and provided competitive salaries to the extent that funding could permit, although salaries were lower than those offered by donors. Staff was described as very skilled in advocacy, but no one on the staff has research expertise. Lack of access to information and data on which to base policy analysis was considered an important demotivating factor. Funding has been largely adequate for the organization, although it has been reduced over the last few years and the funding base was not very diversified.

At the time of report writing, the Civil Society for Poverty Reduction had an M&E system in place that relied on both qualitative and quantitative information at the program level. It was described as varying in its effectiveness, as there is no M&E specialist within the organization. Through its work, the organization monitored budgetary figures for many sectors, including agriculture, but the channel between collecting the M&E data and using the data effectively in policymaking was deemed ineffective.

The staff was described to be free to raise issues and to openly be critical of the organization and the government. Meetings with the government occurred, and some of the staff's ideas for policy implementation were presented. The Civil Society for Poverty Reduction stayed in touch with wider developments in the sector through its relationship with the communities and the media, while it continued to be open to stakeholder input through a variety of platforms. However, staff members experience a heavy workload, which may limit their capacity to perform M&E duties, and stakeholder input cannot be collected in all regions.

According to the respondent, the Civil Society for Poverty Reduction had a clear operational plan, with a work plan and budget that staff members applied to their daily tasks, and delivery of outputs was judged as timely. However, the staff's workload could pose a challenge to smooth plan execution. Also, the organization verifies whether it meets client needs during its mid-term review.

As an umbrella organization, the Civil Society for Poverty Reduction had been very active in coordinating and organizing activities with partners. At the time of the interview, it was a member of different sector advisory groups (although not the Agricultural Sector Advisory Group), and organized national and provincial thematic meetings in partnership with an identified leading organization in the sector. In terms of networks, the organization had been a member of ACF, but had not been consistent in its approach, and staff workload hindered constant pursuit of such beneficial alliances.

Finally, the Civil Society for Poverty Reduction's mission and vision were reportedly discussed regularly and were reviewed according to its 5-year strategic plan. The review process was broad and included multiple stakeholders.

3.12.4. Producers and Private Sector

3.12.4.1. SeedCo

No capacity needs were identified within SeedCo, but the company would welcome a Seed Growers Association that would facilitate information sharing between companies in the sector.

Established in 1998, SeedCo is a major international seed grower. It is a key stakeholder having strong ties with the Ministry of Agriculture and Livestock and is a member of Zambia National Farmers Union. SeedCo is often invited to participate in consultations, and also holds strategic maize seed reserves. Thus, it plays an important role in national and regional food security.

Respondents gave a positive view of the leadership in the sector, describing it as “responsive” and “participatory.” Leadership was deemed strategic, announcing policy that is closely based on the SeedCo’s manifesto.

Staff motivation at SeedCo was high according to the respondents, owing to the good management policies and conditions of services. Performance bonuses also kept staff motivated, while educational assistance was given to personnel up to the Master of Business Administration level.

At the time of writing, the company did not have an M&E system, but performed sector reviews and held frequent internal evaluation meetings. Both were effective in changing internal policies. Staff was generally free to raise issues and pursue ideas on research, although some staff members were reluctant to do so, as this might be perceived as criticizing the organization. SeedCo kept in touch with general sectoral trends by having close contact with the Ministry of Agriculture and Livestock and participating in the Zambia National Farmers Union. Stakeholder feedback was obtained through field days and demonstration plots, and often coordinating activities, such as writing articles for the *Farmers Magazine*.

SeedCo had a number of mechanisms to ensure that it could deliver on its mandates—namely, a work plan with related activities and budget, and a performance management system. It could verify whether its services are met through the above-mentioned field days and demonstration plots.

Finally, SeedCo’s vision and mission are discussed twice yearly at management meetings and are reviewed when the need arises. The company ensures policy coherence by aligning its goals to those of the Ministry of Agriculture and Livestock.

3.12.4.2. Zambia National Farmers Union

The major need for the Zambia National Farmers Union is financial resources to support small-scale farmers to participate in activities of interest to the union.

The union is an umbrella membership organization representing all categories of farmers in Zambia. It has been involved in the policy process in the food and agricultural sector since 1805 under different names. The union received its current name in the early 1990s. Its role in the policy process was defined as lobbying for policies that are appropriate for farmers. The union is reported to have participated in the development of the following policies and strategies: (1) Water Resources Management Act, (2) Farmer Input Support Programme, (3) Sixth National Development Plan, (4) National Agricultural Policy, (5) Food Reserve Agency strategy review, (6) Ministry of Agriculture and Livestock strategic plan, and (7) National Export Strategy.

The current political leadership of the Zambia National Farmers Union was reported to be settling down after coming to power in 2011. Therefore, the respondent felt that assessing it was premature. On the other hand, the respondent indicated that the union has skilled staff motivated by good remuneration compared with market conditions. However, it was felt that in-kind incentives could still boost staff motivation. Staff turnover was reported to be low due to job satisfaction because of the exposure to many issues, although competition for outreach staff was reported to be high.

Funding and activities for the union were reported to have increased. In addition, the union had investments to acquire self-sufficiency. According to the respondent, the union had two main donors and others who funded specific aspects of the strategic plan and research. Some donors joined the union in partnerships. The related need identified was that staff desired to acquire higher degrees from the master's level and beyond.

The Ministry of Agriculture and Livestock was reported not to have an effective M&E system in place, whereas the union has an effective M&E system, with performance markers that are aligned to those of the agricultural sector. Sector reviews formed part of this M&E system. Staff was reported to be free to suggest ideas for implementation, while internal evaluation was reported to have structured internal meetings. Many ideas were reported to arise from platforms facilitated by the union, and feedback comes through the same platforms. The challenges were that implementation of these ideas remained with the government, which was beyond the union's influence. Additionally, small-scale farmers needed financial support for them to participate, which limited resources could not always provide. A value-chain approach was employed in being open and responsive to stakeholders and the general public.

The respondent reported that the Zambia National Farmers Union was very strong on delivering planned objectives and mandates through a participatory budgeting process from national to district levels. The achievement level was estimated at 75 percent of the plans. The achievement was attributed to the fact that farmers wanted results, while the failure was attributed to high demands from stakeholders, including the government. Feedback mechanisms were reported to be in place. It was envisaged that the huge demand could be addressed by increasing human capacity.

The respondent also reported that the union networked and collaborated well locally and internationally by participating in different forums to address cross-cutting issues, such as regional trade, training, and learning. The union was also reported to be held as a model of bringing all categories of farmers into one union. The identified need was building the capacity of small-scale farmers to conduct farming as a business, and improving their participation.

To maintain coherence, work plans and strategies were regularly reviewed, involving the board, council, and staff, despite being costly. However, it was reported that the government had no operational guidelines, although many union members would like to align their guidelines to those of government.

3.12.5. Research and Policy Analysis Institutions

3.12.5.1. Indaba Agricultural Policy Research Institute

The Indaba Agricultural Policy Research Institute's capacity needs centered on improving an already advantageous environment, but involving more staff in capacity-strengthening activities, getting their message across to more stakeholders, and making their research more relevant to the current issues.

The Indaba Agricultural Policy Research Institute was established as a domestic institution in 2011, born out of the Food Security Research Project, which existed since 1999. The Food Security Research Project was spearheaded by the University of Michigan, with which the institute still has strong ties. The institute has become an important stakeholder in the policy process by providing relevant research and evidence, and collecting primary data through rural household surveys and through partnering with other stakeholders.

According to respondents, leadership at the Indaba Agricultural Policy Research Institute in the agricultural sector had become more responsive to evidence, but lacked the dynamism and inspiration it had in the past. The institute's leadership in the sector was also described as nonstrategic, since it did not provide appropriate guidance, although some recent policy pronouncements were moving in the right direction.

Staff turnover at was low, owing to the institute's competitive remuneration packages and opportunities for career development. Furthermore, staff capacity was improved continuously, as the institute takes advantage of its ties to the University of Michigan, although these programs did not encompass all members. Staff motivation was also kept high, because the institute had been perceived as an important stakeholder and met regularly with high-level officials of the Ministry of Agriculture and Livestock. However, there were some concerns about the fact that the institute was more geared toward academic research, which could pose a challenge to the relevance of its research to current issues. Funding was not identified as a need, as the institute receives adequate resources from USAID and SIDA, but would like to increase its own income-generating activities, so that noncore activities can be supported more easily.

The Indaba Agricultural Policy Research Institute's M&E system was in place and was described as effective, with its overall goal being to "facilitate agriculture policymaking." The institute also performed sector reviews in the form of budget performance, as stipulated by the NAIP, and the Ministry of Agriculture and Livestock staff was engaged in the process. However, the data gathered were not very effective in influencing policy, as the leadership in the policymaking system was not responsive. Therefore, there is need to build capacity in stakeholders of the policymaking process, including the think tanks, to package evidence well and to lobby their leadership to use evidence-based decision making.

Internally, the institute encouraged critical reflection in the internal reviews it conducted, and encouraged staff to work on its own research ideas. Similarly, the institute was open to stakeholders' input and was responsive to their feedback, although there was still room for improvement, as some stakeholders were still unsure about what services the institute could provide. The institute also kept in touch with agricultural trends and developments through a systematic review of media sources and by linking with other institutions. According to the respondents, the institute had clear operational plans that staff members understood and applied in their daily operations, as well as an annual budget that was followed. The institute also received feedback from the public, as its research is very accessible online and widely publicized, and it regularly monitored the use of its content by stakeholders.

The Indaba Agricultural Policy Research Institute partnered with other key stakeholders in the sector, such as the Ministry of Agriculture and Livestock, the Central Statistics Office, and the Zambia National Farmers Union, for the benefit of research, although that is mostly on a bilateral basis. The institute was also the secretary of the Regional Network of Agricultural Policy Research Institutions.

Finally, the Indaba Agricultural Policy Research Institute had a vision and mission enshrined in its 5-year strategic plan, which are discussed vigorously and reviewed when the new plan is designed. Guidelines for policy coherence in the sector were part of the institute's mandate, but were not in writing.

3.12.5.2. Policy and Monitoring Research Centre

The Policy Monitoring and Research Centre faces no immediate capacity needs, but would welcome better and timelier access to relevant and more consistent collaborations with other think tanks and research entities.

Since it started operating in 2012, this think tank has been embraced by the public and the political leadership. Although the organization has not participated actively yet in the policy process, it provided some input to the maize subsidy removal decision.

Respondents at the Policy Monitoring and Research Centre thought leadership has made significant steps in embracing evidence, being consultative, and conducting dialogue with the public. However, more efforts are required to include more key stakeholders and to make consultations more regular. Even if the political leaders lack the technical knowledge themselves, they are surrounded by expert technocrats who can provide strategic guidance.

Within the Policy Monitoring and Research Centre, staff was perceived to be very motivated, owing to an overall good working environment, openness, team spirit, a commitment to the goals of the organization and the nation, and nonfinancial incentives. The skill level was high, as the recruitment process was very rigorous and frequent training was encouraged.

The Policy Monitoring and Research Centre had an M&E system in place whose goals were aligned to the Sixth National Development Plan and the Patriotic Front Manifesto, which was described as highly effective. However, lack of access or untimely access to information from the government posed a challenge for the organization's M&E work and hindered the effective use of M&E and sector review data in policymaking. The center seemed to have a culture of openness, both to the public and internally, frequently stimulating critical reflection. The respondents thought staff ideas were accepted and often led to changes in sector policymaking, as with the recent subsidy removal, although the effectiveness of this channel could be enhanced by wider and more frequent consultations with the government. The Policy Monitoring and Research Centre did not have a specific agriculture department; therefore, it stayed in touch with developments in the sector when need arose through relevant stakeholders.

According to the respondents, the Policy Monitoring and Research Centre had a staff book that all staff members were required to study, and there was a monthly work plan with budgets. The organization delivered timely output, as staff could prioritize and set realistic aims. Service delivery satisfaction could be verified by public feedback, as the organization's output is highly publicized in the media and easily accessible.

The Policy Monitoring and Research Centre has not been very consistent in pursuing collaborations with partner organizations. However, it was a member of the Association of African Think Tanks and pursued opportunities for further work at the regional and international levels. The organization also participated frequently in workshops and symposia organized by stakeholders in the sector.

Finally, the Policy Monitoring and Research Centre emphasized its mission and vision, which were discussed regularly in meetings and were reviewed whenever circumstances called for it.

3.12.5.3. University of Zambia School of Agricultural Sciences

Being a public institution, the University of Zambia presented major needs in financial, infrastructure, and human capacity due to pressures of aging infrastructure and increasing student populations set against the mandate of providing higher education to an average Zambian. These needs are being addressed by diversifying sources of funding.

The School of Agricultural Sciences has a high-calibre staff, comprised predominantly of Doctor of Philosophy (PhD) holders who were reported to be involved in the policy process. The school started participating in the agriculture policy process in the 1980s through the Institute for Economic and Social Research, which was established in 1972. The School of Agricultural Sciences' role was identified as providing resource people. Other institutions identified as playing similar roles were the Indaba Agricultural Policy Research Institute, the Central Statistics Office, and the Ministry of Agriculture and Livestock's Policy and Planning Department. The school participated in the development of the NAIP, CAADP, the National Agricultural Policy, SADC agriculture research priorities, and the land and water management strategy.

Political leadership was found to be reactive to problems and people's demands, while most ministers were deemed not qualified and, hence, ineffective despite the fact that development documents were in place with clearly articulated goals. On the other hand, the School of Agricultural Sciences staff members were reported to be skilled in using evidence for strategic analysis, as they had interdisciplinary skills. Also, staff turnover was low, which was attributed to good conditions of service in the previous 5 years, coupled with incentives that motivated staff, such as workshops, annual awards, and freedom to do consultancy work. However, it was felt that other incentives beyond salary were needed, such as good medical benefits and property loans.

Other major needs identified were (1) poor funding for the institution, which is constrained to charge economic fees for its services; (2) the old and inadequate infrastructure, which has remained the same despite the student population increasing from 3,000 to about 12,000; and (3) freedom for staff to conduct consultancies, which create time conflicts for staff. It was suggested that these needs could be addressed by appointing qualified ministers, improving infrastructure and expanding facilities, and renting out land to developers.

The M&E system at the School of Agricultural Sciences was reported to be aligned to sector objectives, although it was not institutionalized, so most staff members were not yet familiar with the system. Nonetheless, all lecturers followed work plans and were accountable to their departmental heads. Staff members also participated in sector reviews, which informed strategic planning, and were reported to express themselves freely in suggesting ideas for implementation, although there was room for improvement if staff understood the sector objectives. The school kept abreast of trends in the food and agricultural sector through seminars, workshops, and journals, despite being constrained by limited staff time due to heavy workloads. The school remained responsive to its stakeholders through newsletters, University of Zambia Radio, television, and the Board of Studies. The board involved both University of Zambia staff and outsiders, although the outsiders are brought in a bit too late.

The School of Agricultural Sciences was reported to deliver planned activities in a timely fashion, as the staff made annual work plans aligned to the strategic plan and reported quarterly. The school also had an appraisal system to ensure accountability, while it conducted tracer study programs to verify whether its services met clients' needs.

The identified related needs were that the cumbersome procurement system delayed programs, and the costs of the tracer study were high. It was felt that the tracer study can be improved by introducing an alumni program.

The School of Agricultural Sciences networked with other institutions, such as the Regional Universities Forum for Capacity Building in Agriculture; the African Network for Agriculture, Agroforestry and Natural Resources Education; the Implementation and Coordination of Agricultural Research and Training project; and other universities, particularly regarding plant breeding, as the school was the best in southern Africa in the field. The school indicated that it maintained relationships because it had clear objectives and services to offer.

Mechanisms for coherence were reported to be internal reviews and a consultative process in formulating a vision and mission aligned to existing strategic documents. However, it was indicated that people do not read these documents; therefore, there was need for greater awareness and linking the guidelines to the M&E framework.

3.12.6. Key issues from the Organizational-Level Assessment

In addition to the summary of scores for benchmarks, the following are the major issues:

- ✓ Strategic leadership was rated to be average/neutral.
- ✓ Government institutions have low staff motivation.
- ✓ The Ministry of Agriculture and Livestock M&E was considered to be somewhat inefficient in influencing policy. Some stakeholders were not aware that there is an M&E system.
- ✓ Access to information was reported to be challenging across the stakeholders, compounded by low use of information and communication technologies in government institutions.
- ✓ The majority of stakeholders had strategic plans, although financing was challenging.
- ✓ Stakeholder mandates were reported to be closely aligned to the Revised Sixth National Development Plan or the Ministry of Agriculture and Livestock's strategic plan. Hence, goals were perceived to be harmonized.

3.13. Individual Level

The individual needs of the interviewed institutions were collected with a detailed questionnaire. The sections covered included institutional details, human resources, financial resources, physical resources, research policy linkages, evidence-based policymaking, statistics and M&E, constraints, solutions, and policymaking capacity. The findings below are presented following this structure to allow for easier comparisons. Some institutions, especially government institutions, might have subnational structures, but the needs of those offices were not included in the needs assessment. However, it is safe to assume that these would have needs similar to those of their headquarters.

The following institutions did not submit the questionnaire due to various reasons: the Civil Society for Poverty Reduction, the Policy Monitoring and Research Centre, the Zambia National Farmers Union, and USAID. USAID was not targeted for the individual needs assessment, as it was not relevant for the agency. The findings from the institutions that participated in the individual-level needs assessment are discussed below, arranged according to categories of stakeholders.

3.13.1. Government Sector

3.13.1.1. Central Statistics Office

Human Resources

The respondents felt that the Central Statistics Office does not participate in the agricultural policy process directly, as it only provides data that other stakeholders use. Therefore, they felt that the human resources needs that were required in the study were not applicable to the Central Statistics Office. However, they indicated that staff is retained by participating in national and international forums.

Financial Resources

The total budget for the Central Statistics Office decreased by 24 percent in 2011 compared with 2010, while it almost doubled in 2012 compared with 2011. On the other hand, expenditures were 81 percent lower in 2011 than in 2010, and 18 percent lower in 2012 than in 2011. The organization was reported to be financially neutral, as funding was not adequate to meet all the needs.

Physical Resources

For a workforce of about 600, the Central Statistics Office had 200 computers with Microsoft Word processing software, of which 120 had bibliographic management software, while another 20 had analytical software being used among 184 staff members. The required number of computers was reported to be 300. A total of 25 publications and reports had been produced in the previous 2 years. The software being used was reported to be Stata, SPSS, E-views, GIS Arc View, and SAS. E-views and Excel were used on a daily basis. The costly software licenses limited the number in use. The office also had 49 vehicles, while the office's space was judged as adequate to work in, as a new office block was under construction.

Research Policy Linkage

The Central Statistics Office's stakeholders in research were identified as follows, in order of decreasing importance: national planning commission and public organizations, government ministries, and the private sector. Due to the nature of the Central Statistics Office's mandate, the policy research linkages were non-existent, as they are not directly linked to the policy process. Consequently, the organization only participated in three 2-day workshops or conferences, and one regional event in the previous 2 years. The Central Statistics Office communicated research findings through personal, small roundtable, and public roundtable discussions with officials more than 20 times in the same period. It received direct requests for data from government and policymakers twice a month, and was rated a very valuable source of research data and statistics, although it did not have much impact on holding government accountable for implementing food and agricultural policy.

Evidence-Based Policymaking

The Central Statistics Office indicated that it did not participate in the evidence-based policymaking. However, some of its research and analytical products from the previous 5 years were used in the development of food and agricultural policies or programs.

Statistics and M&E

As found at the organizational level, the Central Statistics Office has no M&E system. Hence, it indicated that it had no M&E reports that were functional for learning purposes and did not produce any M&E reports. Nonetheless, the organization conducted five surveys in the previous 5 years. Although the Central Statistics Office was reported to have strong capacity for data collection and processing, capacity for analysis was reported to be non-existent, whereas capacity for reporting and sharing was rated neutral. Consequently, the need for training staff in analytical

data analysis, in-depth analysis, and diagnostic analysis was prominent. Similarly, the quality and quantity of human capacity were viewed as a constraint in the Central Statistics Office, since the majority of staff had no analytical skills. Also, the organization was understaffed, and especially lacked professional staff. Of about 600 staff members, fewer than 100 were professional staff.

3.13.1.2. Ministry of Agriculture and Livestock, Policy and Planning Department

Human Resources

The Policy and Planning Department was reported to have 38 professional staff: 23 MSc and 15 BSc degree holders (33 males and 5 females). The assessment of management of human resources being a constraint in the organization was perceived to be of no effect, while the quantity of human resources was perceived to be a constraint. The findings appear not to be representative of the Ministry of Agriculture and Livestock as a whole, but only of its headquarters, as the ministry's research department is large, with offices up to the provincial level and staffed with many PhD holders.

Financial Resources

The respondents reported a budget only for total expenditure, and not for capital costs. The budget increased by 18 percent from 2010 to 2011, whereas the growth increment from 2011 to 2012 was 102 percent. Similarly, the expenditure increased from 12 percent to 61 percent during the same period. The Ministry of Agriculture and Livestock was perceived to be financially secure, with 100 percent funding from government.

Physical Resources

The Policy and Planning Department was reported to have 20 computers, of which 15 had processing software and 5 had analytical software. The total number of computers needed was estimated at 30. However, no computer was reported to have bibliographic software, although it was reported that the Ministry of Agriculture and Livestock used OneNote. The respondents indicated that the Policy and Planning Department had five vehicles and six phones against a requirement of ten vehicles, while the phones were as required. SAS and Excel were used 2–3 days a week, while SPSS (used by six people), GIS Acr View, and Cs Pro were used on a quarterly basis. The major challenges reported were expensive software, especially SPSS, and slow Internet connectivity, as it was reported to take 1–2 minutes to load a website on the computer, while downloading a 1-megabyte file took more than 2 minutes.

Research Policy Linkage

The Ministry of Agriculture and Livestock conducted four public consultations on food and agricultural policy issues through one 1-day and six 2-day workshops or seminars in the review of the National Agricultural Policy and formulation of the livestock policy. The most important stakeholders were identified as the parliamentary Committee on Agriculture primarily, and government ministries secondarily. During the period under review, the respondents indicated that the Ministry of Agriculture and Livestock participated in three continental events in the CAADP policy dialogue and three regional events in the Common Market for Eastern and Southern Africa regional policy dialogue.

Evidence-Based Policymaking

The Ministry of Agriculture and Livestock participated in developing four policy documents in the previous 5 years: revision of the National Agricultural Policy, development of the Sixth National Development Plan, revision of the the Ministry of Agriculture and Livestock strategic plan, and the cooperative development policy. Its involvement included drafting a section or chapter of the documents and leading the drafting of the documents.

Statistics and M&E

The Ministry of Agriculture and Livestock was reported to have implemented three surveys in the previous 5 years: the annual Crop Forecast Survey and Post-Harvest Monitoring Survey, as well as the livestock census. The indicators the ministry monitored included crop yields, area planted, livestock population, and livestock disease incidences, which had national coverage with free access conditions. The data collected were disseminated to the public and used for calculating the national food balance sheet and directing government policy through press releases and bulletins.

Policymaking Capacity

The Ministry of Agriculture and Livestock participated in five committees for food and agricultural policymaking. Its involvement included providing verbal advice to drafters of the policy document during meetings or presentations, reviewing or providing written comments on drafts, and participating in committee deliberations. These activities led to the approval of five policy and strategic documents: Cooperatives Policy, NAIP, Zambia CAADP Compact, National Food and Nutrition Policy, and National Food and Nutrition Strategy.

3.13.1.3. Ministry of Finance, Economic and Technical Cooperation

Human Resources

The respondents thought that the Ministry of Finance does not engage in agricultural policy. Therefore, they could not provide any data on human resources, except that, in addition to salaries, the ministry provides allowances for some activities, training opportunities, and exposure.

Financial Resources

The data collected indicate that the Ministry of Finance had no specific budget for agricultural food policy. Therefore, budget and expenditure costs could not be provided.

Physical Resources

In view of the perception that the Ministry of Finance does not engage in agricultural policy, no assets were reported to be dedicated to this sector. However, office space was reported inadequate for all staff in the ministry, as a result of the establishment having grown, with the physical office space remaining the same.

Statistics and M&E

The Ministry of Finance was reported to have a fully functional M&E system, and periodically produces M&E reports for purposes of learning and redefining programs. It was also indicated that the capacity for data collection was adequate. In this regard, four annual progress reports were produced in 2007, 2008, 2009, and 2010.

Parliament, Committee on Agriculture

Information on the individual level was reportedly difficult to compile for Parliament. Specifying exactly which staff worked on agricultural issues was difficult, as research is conducted by anyone in the research department, and no research staff was allocated specifically to the committee. To compound the issue, the Ministry of Finance's information system was very bureaucratic and cumbersome, and the involvement of multiple departments (accounts, human resources, research, etc.) made gathering information difficult. The only information shared is presented below.

Research Policy Linkages

The Committee on Agriculture cooperated extensively with the Ministry of Agriculture and Livestock and the Central Statistics Office to obtain qualitative and quantitative data through its research. Given that the committee's role is

obtaining stakeholder input for draft bills, the committee had been active in public consultations over the previous 2 years. Input was obtained both by meetings with stakeholders for sessions and by tours to various locations (projects or agricultural institutions) to monitor legal implementation. Five acts had been passed with the help of the committee in 2010 and two in 2011, but there had been no agriculture-related acts in 2013.

3.13.2. Civil Society Organizations

3.13.2.1. Agricultural Consultative Forum

Human Resources

ACF had four professional staff, half of whom had an MSc degree. The staff spent 30 percent of its time on advocacy; 20 percent each on research, M&E, and knowledge management; and the remaining 10 percent on administrative issues.

Financial Resources

As a result of decreased funding, ACF's total expenditures were reduced by 8 percent in 2012 in relation to 2011, and by 49 percent in relation to 2010. The largest share of these expenditures (67 percent) was spent on food and agricultural policy research and analysis. ACF received the bulk of its funding (94 percent) from bilateral and multilateral donors, and the rest from income-generating activities and other sources.

Physical Resources

ACF had eight computers, all of which had word processing software, while five had analytical software. It also had six vehicles and two telephones, while the office space was judged as adequate to work in. The staff used STATA, SPSS, and Excel frequently, with the first two used on a monthly basis and the third on a daily basis.

Research Policy Linkage

Given ACF's mandate as a multi-stakeholder platform in the agricultural sector, the organization had conducted 26 public consultations on food and agricultural policy issues. The majority of these were half-day policy dialogues and meetings, while an additional two were 1-day workshops and conferences. Furthermore, ACF participated in nine events hosted by other stakeholders, each lasting from half a day to 2 days. Out of these events, two were regional events, with one hosted by the Food, Agriculture and Natural Resources Policy Analysis Network (FANPRAN) and the other by the Platform for African European Partnership on Agricultural Research for Development.

ACF used a number of tools to communicate research findings. The most frequently used tools were personal contact with officials, small roundtable discussions with officials and other stakeholders, and public roundtables with officials and the press. Presentations, policy briefs, and newsletters to officials were also used, and occasionally ACF worked with the media.

Evidence-Based Policymaking

ACF had acted as a policy advisor to the government in the past, and regarded its advice as being used by policymakers. ACF had been involved in a number of legislative acts and policies, such as the Agriculture Credit Act, the Agricultural Marketing Bill, the National Agricultural Policy, CAADP, the Sixth National Development Plan, and the livestock policy. Often, it either drafted some of the content or led the drafting. ACF could name six publications that have been used in the development of sector strategy and policies, two of which were used in CAADP, and another three were used in the development of relevant projects and programs. ACF's view was that, in general, all stakeholders were consulted during the policy process.

Statistics and M&E

ACF felt that the function of its M&E system and the production of its reports were average, but agreed that these reports function as a tool for learning purposes. The organization collected data and surveys for a number of products (wheat, bran, and dairy), and used the e-vouchers to produce specific studies. While ACF's ability to collect data was rated as average, the respondent agreed that the organization has the capacity to process and analyse data as well as to report and share data. Data collected are primarily shared with the government, the agribusiness sector, and NGOs. Most data are analysed using SPSS, and are fed into ACF policy briefs.

While leadership was not believed to be a constraint, and the quality and quantity of ACF's human resources were rated as average, funding was deemed the biggest constraint in the organization and affected all areas of work. Possible solutions suggested included hiring more staff or interns, fundraising and partnering with other organizations, procuring more vehicles, and acquiring ACF's own premises.

Policymaking Capacity

ACF participated in deliberations of the Committee on Agriculture, and reported that the committee has used various ACF publications. ACF has also facilitated many stakeholder meetings on topical agriculture-related issues, which have influenced policy. ACF is also a member of the FANPRAN regional network. Technical capacity was reported to be available, but was constrained by reduced staffing levels due to financial challenges. Some donors withdrew support of ACF.

3.13.3. Producers and Private Sector

3.13.3.1. SeedCo

SeedCo engages in research on maize varieties. It is invited as a stakeholder to the policy process, but does not conduct any policy research or analysis. Therefore, several sections did not apply, but the company provided information where applicable.

Human, Financial, and Physical Resources

SeedCo employs 22 research staff, with four holding a MSc degree and the rest a BSc degree. Four staff members were women, and the majority of staff members were in the 31–40 age group. The company reported that it feels financially secure. The staff currently has access to 80 computers, all of which have word processing software, and four have analytical software. The number of computers needed is slightly higher—100 computers—of which six would have analytical software. Moreover, the company has 40 vehicles and 18 telephones. The staff works exclusively with Excel, and the Internet connection was rated as fast.

Evidence-Based Policymaking

SeedCo did not produce any strategy or policy documents, but agreed that all relevant stakeholders had been consulted in the policy process during the past 5 years. Therefore, SeedCo participated in developing seed industry regulations.

Policymaking Capacity

SeedCo identified committees within the Ministry of Agriculture and Livestock as the major organizations in the food and agricultural sector, and participated in their deliberations. Furthermore the company reported that it belongs to relevant networks and associations, and has participated in meetings with the ministry and the Zambia National Farmers Union.

3.13.4. Research and Policy Analysis Institutions

3.13.4.1. *Indaba Agricultural Policy Research Institute*

Human Resources

Of the Indaba Agricultural Policy Research Institute's 12 professional staff members, 10 are male. Nine staff members have an MSc degree, and the rest have a PhD. The bulk (90 percent) of staff time is spent on research and analysis, an additional 5 percent is spent on training and teaching, and the remainder is split between M&E and knowledge management.

The respondent strongly disagreed that the quality of human resources is a constraint, as there is a critical mass of highly trained experts, but the number of staff should be increased. Furthermore, human capital is retained due to competitive remuneration, and it is very effectively utilized. The Indaba Agricultural Policy Research Institute uses a number of incentives other than salary to motivate its staff, including regularly recognizing staff achievements, participating in national and international forums, and serving as a policy advisor.

Financial Resources

The Indaba Agricultural Policy Research Institute is fully funded by bilateral and multilateral donors, and only a negligible part of its funding was unrestricted. Furthermore, even though there are financial commitments by donors for the next 5 years, the institute felt neutral toward its financial security, because if funding were withdrawn, the organization would collapse.

Physical Resources

Staff at the Indaba Agricultural Policy Research Institute used STATA, SPSS, and Excel daily, and more than 30 reports had been produced with these packages over the last 2 years. No capacity problems were reported by the institute on the use of this software. The Internet connection was fast, with a website loading within 14–29 seconds and a 1-megabyte file downloading within 5–14 seconds.

Research Policy Linkage

The Indaba Agricultural Policy Research Institute had undertaken 60 food and agricultural research and analysis projects over the last 2 years, all of which had been developed using a communication strategy. The institute rated all stakeholders as being equally important regarding its research, with the exception of donors, who came third in importance. The institute also held 60 public consultations in the assessment process, and used a variety of means to communicate its research findings, ranging from personal contact with officials and roundtables to newsletters, policy briefs, presentations, press conferences, panels, and work with media.

The Indaba Agricultural Policy Research Institute also receives requests from the government on a quarterly basis to provide specific information on food and agriculture issues. The respondent rated the institute as a very reliable source of information that somewhat influenced the budget-making process in the sector and held the government accountable for implementing relevant policies. Finally, the respondent strongly agreed that the institute's policy research was communicated effectively for use in policymaking.

Evidence-Based Policymaking

The Indaba Agricultural Policy Research Institute was reported to have played a significant role as a policy advisor in the food and agricultural sector, although it did not receive specific requests for providing such advice. The respondent rated the level of use of the institute's advice by policymakers as average. The organization has also been involved in the development of strategy and policy documents in the last 5 years—such as the National

Agricultural Policy, CAADP, NAIP, and Sixth National Development Plan—by providing advice and written comments, and sometimes participating during validation workshops. The respondent thought that the institute’s research is used to develop projects and programs in the sector, although could not offer specific numbers. The respondent also agreed that all relevant stakeholders were fully consulted in the policy process.

Statistics and M&E

The respondent agreed that the Indaba Agricultural Policy Research Institute had a fully functioning M&E system, where reports produced are used to redefine programs and are functional for learning purposes. The institute conducted a number of surveys over the past 5 years, including the 2008 Supplemental Survey to the 1999/2000 Post-Harvest Monitoring Survey, the 2008 Urban Consumption Survey, the 2012 Rural Agricultural Livelihoods Survey, and the Horticultural Trade Flows and Pricing Dynamics ongoing survey. The respondent agreed that adequate capacity existed in the organization for data collection, and strongly agreed that such capacity existed for data processing, analysis, and reporting.

The Indaba Agricultural Policy Research Institute’s main clients were described as the Ministry of Agriculture and Livestock, the Grain Traders Association of Zambia, and the Zambia National Farmers Union. Data were collected through quantitative methods, descriptive analysis with SPSS, and econometric methods using STATA. The data collected were used for policy analysis and outreach, and to respond to various stakeholder needs. The quality of human capacity and issues related to data collection, management, and distribution were not identified as constraints, but the respondent rated the quantity of human capacity, funding, and leadership as neutral.

Policymaking Capacity

The respondent named the parliamentary Committee on Agriculture and the Grain Stocks Monitoring Committee as the major committees in the sector, and mentioned that the Indaba Agricultural Policy Research Institute had provided advice to the first and participated in the deliberations of the second. Moreover, the institute participates in the secretariat of the Agricultural Institute of Zambia and attends presentations by the Economics Association of Zambia.

3.13.4.2. University of Zambia School of Agricultural Sciences

Human Resources

The School of Agricultural Sciences employed 59 staff members, 25 of whom had a PhD, and the rest had an MSc. Only two of the PhD holders were women, while the total number of women was 18, or about one-third of the staff. Thirty-two employees were in the 51–60 age group, and 17 were in the 41–50 group. The staff spent 50 percent of its time on teaching and training, and 25 percent on research and analysis. Approximately 25 percent of the time spent on research and analysis concerned food and agriculture-related policy research, and 15 percent of the time spent on advocacy related to the food and agricultural sector. The majority of staff members were occupied as lecturers, and only one person was employed as a professor.

Financial and Physical Resources

Because the School of Agricultural Sciences’s budget was centrally planned, exact figures could not be collected on its financial resources. Similarly, some of the physical resources that the school uses are university-wide. The school has access to a 128 computers, of which 20 have analytical software. The required number is 300 computers, with 80 possessing analytical software and 1 with bibliographic management software. The school also has access to eight vehicles and six landlines, and it was deemed that the staff did not have adequate working space. Regarding software, the staff used Excel daily, STATA and SPSS two to three times a week, SAS monthly, and GIS Arc View and MINITAB quarterly.

Research Policy Linkages

The School of Agricultural Sciences had undertaken three food and agricultural policy-related projects in the past 2 years, and one of those used a communication strategy. The respondent rated the private sector as the most important stakeholder for research, followed by donors, the ministries, and NGOs and CSOs. Furthermore, the school had undertaken three public consultations on food and agricultural policy issues in the past 2 years and conducted policy dialogues in the form of brief seminars. The school received requests from the government to provide specific information on food and agricultural issues frequently, as and when necessary. The respondent reported that while the school is a very valuable source of research and statistics, it did not have much influence on the budget-making process in the sector, and was very ineffective in holding the government accountable for implementing relevant policies.

Evidence-Based Policymaking

The School of Agricultural Sciences reported that two of its staff members had played a role as a policy advisor in the food and agricultural sector. While the school also received frequent requests from government to provide advice on related issues, the effective use of such advice was rated as neutral. The school had participated in consultations for the development of the CAADP Compact and NAIP, and two research products of its staff members were used in the development of the policy documents. Furthermore, two documents produced by staff members were used in sector donor-funded project and program development. Overall, the school agreed that all the relevant stakeholders had been fully consulted in the policy process during the past 5 years.

Statistics and M&E

The School of Agricultural Sciences agreed that it had a functioning M&E system, with relevant reports used for the purposes of learning and redefining programs. It completed three types of surveys over the past 5 years, including tracer studies, HIV/AIDS surveys, and evaluations of irrigation sites. The school mainly used two national indicators to track the progress of the agricultural sector: food security and agricultural gross domestic product. The first indicator is collected quarterly through free reports from the Public Relations Office, and the second is collected annually through Central Statistics Office reports.

The respondent agreed that the school had adequate human capacity to perform data collection, processing, analysis, and reporting. The data produced by the school were primarily used by the Ministry of Agriculture and Livestock as input for its reports. The biggest identified constraint to the school's operations was funding, followed by quantity of human capacity, and problems related to data collection, management, and distribution. The quality of human capacity was rated as fair, and leadership was not viewed as a constraint.

Constraints and Solutions

The same key constraints were identified for all thematic areas, such as research and analysis, program management and M&E, knowledge management, leadership, and governance. These included inadequate training opportunities, inadequate funding, and obsolete infrastructure. Solutions proposed included the development and implementation of a Human Resources Development Plan and increased capital expenditures.

Policymaking Capacity

The School of Agricultural Sciences identified the parliamentary Committee on Agriculture as the major committee in the sector, and it reported that it had provided the committee evidence for policy consideration. The committee used three of the school's publications for developing the Breeders' Rights Act and for the livestock policy currently under consultation. Finally, the school participated in networks and associations in the sector, was a member of the

Zambia National Farmers Union, and had performed consultancies for and was on the board of the Indaba Agricultural Policy Research Institute.

3.13.5. Key issues from Individual-Level Assessments

The following issues were found to be common among most institutions interviewed:

- ✓ Funding was reduced in recent years in government institutions, except for the Ministry of Agriculture and Livestock. However, most of the money in the ministry goes to the Farmer Input Support Programme and maize marketing.
- ✓ Staff is retained by attendance at national and international forums, scholarships, competitive remunerations, and recognitions in research institutions.
- ✓ Staffing levels are low. This constraint is compounded by low skills in using analytical software.
- ✓ Office equipment and analytical software are limited, with the latter being due to high costs for licenses. Internet connectivity was also reported to be slow in most institutions.
- ✓ The Ministry of Agriculture and Livestock has no bibliographic software.
- ✓ Staff was reported to be in need of analytical data analysis, as well as in-depth and diagnostic analyses.

3.14. Recommendations to Address the Capacity Gaps in Policy Analysis and M&E

Table 3 highlights the issues and recommendations for addressing the capacity gaps in policy analysis and M&E.

TABLE 3: RECOMMENDATIONS FOR POLICY ANALYSIS AND M&E

No.	Issues	Recommendations
Policy Analysis		
1	Existing policies and pieces of legislation are not adequate to create the enabling environment necessary for private-sector-driven growth.	Amend, repeal, and enact relevant policies as necessary.
2	There is need to revise these policies and develop new ones.	Amend, repeal, and enact relevant policies as necessary.
3	Policy implementation is unpredictable and inconsistent.	Improve the mandate of stakeholders to hold government accountable and follow the policies they have enacted.
4	Stakeholder consultation is low.	Improve the mandate of stakeholders to hold government accountable and follow the policies they have enacted.

No.	Issues	Recommendations
Monitoring and Evaluation		
1	Poor coordination is due to absence of an integrated and efficient M&E system.	Accelerate the implementation of an integrated sector wide M&E system.
2	Access to information is poor.	Improve the use of information and communication technologies to store and disseminate information and data.
3	Capacity to use analytical software is low.	Build capacity in collecting quality data, analyzing and interpreting data, and generating M&E products to inform policy formulation, decision making, planning, and budgeting.
4	Appreciation and utilization of M&E findings or evidence are low.	Undertake sustained capacity building in M&E.

4. INVESTMENT PLANNING

Over the years, the Ministry of Agriculture and Livestock has implemented reforms aimed at strengthening the planning and budgeting process by putting in place mechanisms that would generate information for evidence-based planning and budgeting. One such reform was undertaken from 1996 to 2001 under the Agriculture Support Investment Programme. Some of the systems introduced under the program that are still present today include the following:

1. Districts were identified as cost centers and decentralized from provinces to districts.
2. A budget line for the planning and budgeting process was created at the district and provincial levels.
3. The farmers were involved in the planning and budgeting through the District Agriculture Committees.
4. Priority programs were identified and approved in collaboration with District Agriculture Committees.

Over the past several years the CAADP process and the completion of the National Agricultural Policy and NAIP have strengthened the Ministry of Agriculture and Livestock's overall economic and financial analysis capability for sector planning. Challenges remain at the line ministry level, where short-term planning, monitoring, and evaluation systems need to be improved. However, budgets are not aligned with the analysis and priority setting found in the NAIP.

The agricultural sector is also privileged to have several primary government organizations engaged in data collection, compilation, analysis, and reporting at different levels that can provide evidence for investment planning. The Central Statistics Office is a lead institution, with the overall mandate of generating different economic and social statistics at the national and provincial levels. The Policy and Planning Department, through the Early Warning Unit, in collaboration with the Central Statistics Office, conducts the annual Crop Forecast Survey and Post-Harvest Monitoring Survey, which generate a wealth of statistics on agricultural production that can inform investment planning. In addition, the Indaba Agricultural Policy Research Institute and ACF carry out research and analysis on a wide range of agricultural topics, which they disseminate via workshops, seminars, and reports that track trends in investment over time to the agricultural sector and provide options on investment models that would accelerate the desired growth in the sector.

Despite the above strengths in the sector, objectivity and efficiency in the allocation of resources to all levels in the Ministry of Agriculture and Livestock have remained a challenge. Resource allocation is skewed toward two programs—the Farmer Input Support Programme and the Food Reserve Agency—which account for more than 60 percent of the the Ministry of Agriculture and Livestock budget. Meager resources are allocated to key drivers of agricultural growth, such as irrigation, extension service delivery, and research. Furthermore, the planning and budgeting processes are not inclusive and do not address the challenges faced at the implementation levels. As a result, the planning and budgeting processes have not adequately reflected the priorities and aspirations of the lower levels of the sector.

The main underlying challenge is the limited capacity for investment analysis. Although data are available for investment planning, there is no capacity within the Policy and Planning Department to analyze the data to generate economic models that would inform investment planning. Further, the Ministry of Agriculture and Livestock does not conduct annual performance measurements, which would inform the formulation of the following years' budgets. However, plans are underway to conduct a Joint Annual Review in 2014 that will inform the formulation of

the 2015 budget. In addition, independent analysis capacity exists through the Indaba Agricultural Policy Research Institute to conduct budget analysis that would inform investment planning.

4.1. Recommendations to Enhance Capacity for Investment Planning

1. Formalize agriculture performance review, reporting, and dissemination processes in the context of NAIP implementation through the establishment of a Strategic Analysis and Knowledge Support System node; an institutional framework that allows for mutual accountability of all partners; and regular, systematic reviews.
2. Strengthen the Policy and Planning Department's capacity to undertake financial and economic analyses that will ensure that resources are allocated to the key drivers of growth in the sector, such as irrigation, extension service delivery, and research.
3. Develop planning and budgeting guidelines that will provide a standard framework to guide the Ministry of Agriculture and Livestock at the headquarters, provincial, and district levels in the planning and budgeting processes. The guidelines should create a link between performance data generated through the M&E system and priority setting during the planning process, especially at the district level.
4. Support efforts to strengthen data and information flow between the national and local governments. Provide additional support to the Ministry of Agriculture and Livestock to strengthen and harmonize the new M&E systems manual, and support dissemination, training, strengthened systems, and use of M&E data at the district and provincial levels in the planning process.

5. KNOWLEDGE MANAGEMENT

Knowledge management was reported to be a new concept, where significant improvements are needed to enable a systematic harvesting and use of knowledge among stakeholders in the sector. Activities identified to bridge this gap were grouped into three major themes:

1. Building a knowledge management system
2. Providing access to food and agriculture information
3. Improving knowledge sharing among stakeholders

Most respondents indicated that their institutions do not have a knowledge management strategy or system in place. They identified the following as challenges:

1. Lack of knowledge and skill in managing knowledge and information
2. Lack of infrastructure and information and communication technology instruments
3. Poor access to data and information in the sector
4. Low knowledge sharing among stakeholders and the wider public

5.1. Recommendations to Address the Challenges Listed Above

1. Training should be provided for most staff to be able to grasp the basic ideas and implement simple methods of knowledge management.
2. Infrastructure for information and communication technology is instrumental to this aim, and funding is required so that some institutions are better equipped to implement knowledge management strategies. This can be addressed by creating a database that all stakeholders, and even the public, are able to access that could include all relevant data, research, and information that are relevant for policy analysis and research. Information access can also be enhanced by providing funding to enable participation in international forums and subscriptions to academic journals.
3. ReSAKSS should play a leading role in bringing stakeholders regularly together to
 - a. Enable information sharing and capacity building in developing formal structures for alliances and partnerships in the public sector; and
 - b. Facilitate attachments, expert coaching, and undertaking of joint projects.

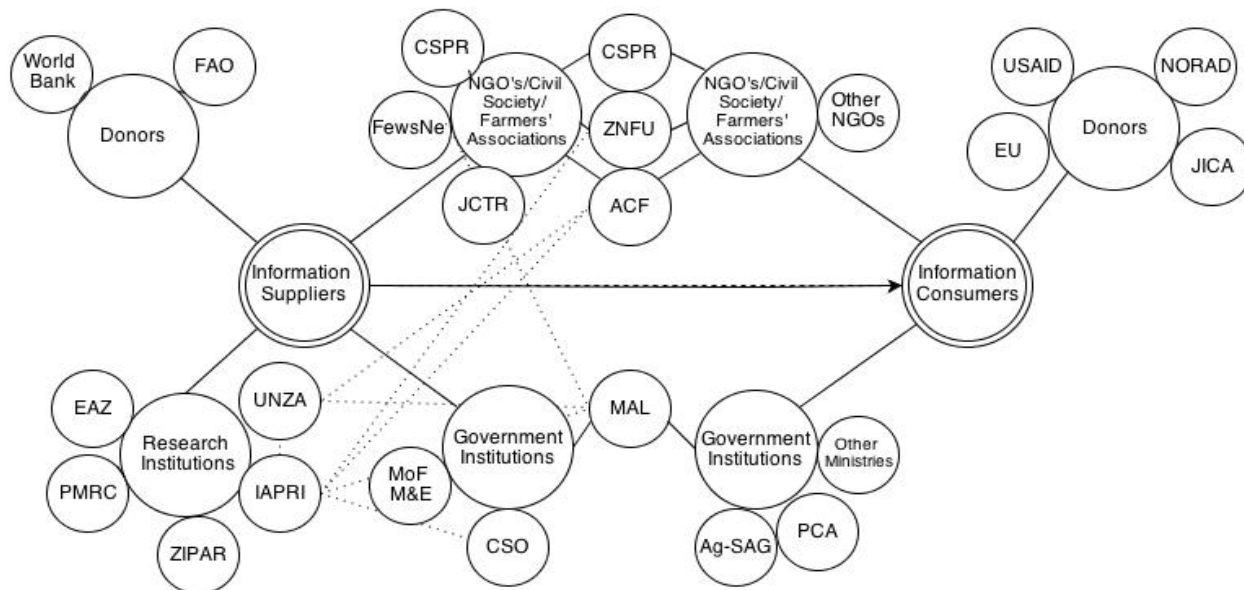
6. CAPACITY-STRENGTHENING STRATEGY

The CSS for Zambia, was developed based on the needs identified through the Capacity Needs Assessment Study conducted in the country, which targeted institutions that were representative of the stakeholders in the agricultural policy process.

The strategy highlights a summary of synthesized mapped gaps; challenges and issues; strategic interventions in three key thematic areas (policy analysis and investment planning, M&E and knowledge management); and an implementation framework. In addition, it identifies activities to be implemented to address the synthesized gaps, and recommends which institutions should be targeted. A work plan is provided for implementing activities in the first 3 years. For more details, see the CSS in Appendix 10.

Figure 5 shows the relationships between the key institutions that are targeted by the strategy. The dotted lines represent collaborations between institutions in information supply.

FIGURE 5: NETWORK DIAGRAM OF KEY INSTITUTIONS



Source: Authors (2013).

7. CONCLUSIONS

The findings from this capacity needs assessment revealed that many of the stakeholder organizations that participated in the study have institutional and individual capacity needs in policy analysis, M&E, and investment planning. Although the needs varied among stakeholders in the agricultural policy process, a range of issues identified affect important institutions. The issues relate to human and physical resources, human capacity, and the need for a robust M&E system with knowledge management and sharing among stakeholders. These issues informed Zambia's CSS, which outlines activities for intervention in each relevant thematic area. More specifically:

1. The agricultural sector has a clearly defined and consistent overarching policy framework, which should form the basis for priority setting, resource allocation, investment planning, M&E, and program planning. This framework is provided through the National Agricultural Policy, Revised Sixth National Development Plan, and NAIP. However there is unpredictability and inconsistency of policy implementation between stated intentions and priorities laid out in these policies and plans and the actual resource allocation as reflected in the annual budgets.
2. Coordinating structures for policy dialogue exist, such as the the Agricultural Sector Advisory Group, which creates a platform for the Ministry of Agriculture and Livestock to engage in policy dialogue with key stakeholders on major issues in the sector.
3. Analytical skills—especially advanced statistical skills—were reported to be lacking, particularly in government institutions. Also, most researchers in key institutions, such as the Ministry of Agriculture and Livestock's Policy and Planning Department, do not possess PhDs or other advanced degrees. However, given the wealth of skills in research institutions, such as the Indaba Agricultural Policy Research Institute, the Ministry of Agriculture and Livestock needs to harness strategic partnerships with such institutions to allow the partners to undertake critical analysis on key issues confronting the sector.
4. The main challenge regarding evidence-based policy formulation and investment planning is the lack of a robust sector wide M&E system that should generate data for policy formulation, investment planning, and decision making.
5. Staffing constraints arising from insufficient funding also mean that current staff members have an increased portfolio of responsibilities and can dedicate less time to each task, with M&E and networking functions usually trimmed in order to concentrate on key tasks.
6. The establishment of a Zambia Strategic Analysis and Knowledge Support System node could be very helpful in improving agricultural policy analysis, investment planning, and M&E. This node should further act as a knowledge broker by coordinating the flow and sharing of research results among key stakeholders in the sector, to ensure evidence-based policy formulation and investment planning.
7. Some challenges were encountered in the process of conducting the survey, and are highlighted in Appendix 9 for learning lessons for future studies.

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APPENDICES

Appendix 1: Terms of Reference

Regional Strategic Analysis and Knowledge Support System for Southern Africa (ReSAKSS-SA)¹⁸

Capacity Strengthening Strategy through Capacity Needs Assessment for Country Strategic Analysis and Knowledge Support System

Preamble

With the Maputo Declaration of Agricultural Ministers of African countries in 2003, the Comprehensive Africa Agriculture Development Programme (CAADP) has become the vehicle for directing agricultural development efforts and partnerships in Africa. To date, more than 29 countries, including seven Southern Africa Development Community (SADC) member states, have gone through the CAADP roundtable process. A majority of them are now elaborating their agricultural investment plans, which detail key investment areas for achieving agricultural sector objectives.

The CAADP process is progressing in these countries, albeit at various rates. One of the key elements needed for the success of the process and the achievement of its goals at the country level is the continuous generation of evidence for the design, implementation, and modification of various programs and interventions in the agricultural sector. To address this need, the compacts signed so far by the countries identify the need for establishing mechanisms for continuous analysis of emerging issues, constraints, and challenges facing the sector, and for developing a system of information generation, monitoring and evaluation (M&E), and knowledge management. Thus, the setting up of country-level knowledge platforms, a country Strategic Analysis and Knowledge Support System to focus on country-specific analytical and capacity needs, working in close collaboration with the regional-level knowledge platforms (ReSAKSS), is seen as an important initiative in the CAADP process.

At the heart of the CAADP agenda is the need to improve the quality of policy and strategy planning and implementation, in order to accelerate growth and progress toward poverty reduction and food and nutrition security. This calls for human and physical capacities, analytical tools, and information to generate credible, timely, and high-quality knowledge products to inform and guide agricultural sector policies and, in particular, the planning and review processes. However, capacity to generate evidence-based information, M&E, and knowledge sharing through effective communication of the information and knowledge to the policymakers and to promote policy dialogue needs strengthening to varying degrees in all countries.

¹⁸ ReSAKSS-SA was established for three reasons: (1) to support review and learning processes to ensure successful implementation of the New Partnership for Africa's Development's (NEPAD's) Comprehensive Africa Agriculture Development Program (CAADP) and the Southern African Development Community's (SADC's) Regional Indicative Strategic Development Plan and the achievement of their objectives; (2) to inform and guide program design and implementation by regional economic communities, SADC, and the Common Market of Eastern and Southern Africa and their member countries, and track program performance and progress; and (3) to promote evidence- and outcomes-based policy and strategy planning and implementation in the agricultural sector in southern Africa.

To customize the Strategic Analysis and Knowledge Support System concept (see Annex 1 of this appendix) to each country's context and capacity needs, the first important step is to undertake a capacity needs assessment and to formulate a capacity-strengthening strategy (CSS) for each country.

The International Water Management Institute in southern Africa/ReSAKSS-SA now wishes to hire an experienced consultant to undertake a capacity needs assessment for a country Strategic Analysis and Knowledge Support System and development of a CSS. The Indaba Agricultural Policy Research Institute has been identified as the consultant to undertake this task in Zambia, based on its long experience with agricultural and rural development M&E and capacity needs assessments in southern Africa.

Strategic Questions

Key questions regarding capacity needs assessment and capacity development include the following:

1. What are the country-specific needs for strategic agricultural policy analysis and investment planning, M&E, and knowledge management?
2. What individual and organizational capacities are needed for strategic agricultural policy analysis and investment planning, M&E, and knowledge management in the short, medium and long terms to satisfy those needs?
3. How can these capacities be harnessed through their effective use in the organizations involved in the CAADP process, particularly for strategic agricultural policy analysis and investment planning, M&E, and knowledge management?
4. What institutional and capacity constraints exist in the policy process for the policy organizations to play their role effectively to meet the objectives of CAADP?
5. How can such capacity gaps be identified and filled?

Answering these questions through a capacity needs assessment and a CSS is an important first step to customize the Strategic Analysis and Knowledge Support System concept (see Annex 1 of this appendix) to each country's context and capacity needs.

International Food Policy Research Institute (IFPRI) researchers and ReSAKSS coordinators will guide the local consultants to carry out the assessments and produce individual country reports, which will be published as individual ReSAKSS working papers. Findings and recommendations from the surveys will be used to design and implement country-specific CSSs toward the establishment of a functional country Strategic Analysis and Knowledge Support System node. The April 2012 workshops held in Nairobi and Dakar provide the basis for initiating the needs assessment exercise in the "Strategic Analysis and Knowledge Support System-ready" group of countries.

Objective

The overall objective of the country-level capacity needs assessment is to develop a country-specific CSS to meet the strategic analysis and knowledge management needs of the country CAADP process. The specific objective of the capacity needs assessment in selected countries is to identify areas for improving the quality and utility of agricultural policy analysis and investment planning, M&E, and knowledge management at the country level. The findings of the study will be used in designing and establishing a country Strategic Analysis and Knowledge Support System or in strengthening existing ones.

Context, Levels, and Themes

The development of the CSS will be undertaken in the context of contributing to the CAADP process through establishment of a Strategic Analysis and Knowledge Support System. The capacity needs assessment will be undertaken at three levels: individual, organizational, and policy process levels.

Specific thematic areas for the capacity needs assessment will include evidence generation through

1. Strategic policy analysis and investment planning,
2. Monitoring and evaluation, and
3. Knowledge management and sharing at the country level to help in the CAADP implementation process.

For example, capacity for strategic policy analysis and investment planning will involve specific research and analytical skills for evidence generation. This will further include skills for data generation, processing, and analysis of policy alternatives and impact assessment of the policies and programs that are implemented as part of CAADP process.

In terms of assessing the capacity of M&E systems, for example, identifying what systems for M&E are in place, strengthening them, and improving their synergy to provide sufficient data for producing periodic reports on the performance of the agricultural sector and at the country levels (such as the ReSAKSS flagship Agricultural Trends and Outlook Reports (ATORs)) need particular attention. These will include assessment of the following:

1. Indicators (definitions and measurements) for tracking agriculture and rural development (ARD) policy and planning processes and agricultural funding; monitoring performance in the agriculture and rural sectors; and monitoring changes in development outcomes, such as poverty, food and nutrition security, and hunger.
2. Data sources on the above, including instruments and tools.
3. Periodicity of data collection and reporting on indicators.
4. Data and knowledge management and analytical tools.
5. Availability of data, tools, and reports, including population targeted.
6. Integration of different data and M&E systems for monitoring and reporting on overall national growth and development objectives and assessing the impact of policies and programs on growth and development objectives.

Assessing the capacity for knowledge management and sharing information will involve, for example, systems for storing and managing data and communicating information using different knowledge products and channels to target different audiences.

Strengthening the capacity of the policy process will help identify opportunities for involving policy decision makers to demand policy analysis outputs and to put them to effective use. The policy process differs from country to country, depending on the nature of leadership and governance. Nevertheless, mapping the policy process by identifying key players and actors, their roles, and their influence will help in identifying opportunities for strengthening the policy processes for effective implementation of CAADP investment plans.

Specific Terms of Reference

1. Assess the existing capacity for strategic policy analysis and investment planning at the country level. This will require identifying key individuals within those organizations who are currently contributing to generation of evidence for policymaking in the agricultural sector. This level of assessment includes
 - a. Interviewing key informants to assess the need for human capacity in terms of total number of professionals and their qualifications needed for strategic policy analysis, M&E, and knowledge management and sharing.
 - b. Using formal instruments to identify the existing human capacity in the organizations involved in policy research and analysis, M&E, and knowledge management and sharing.
 - c. Identifying capacity gaps by compiling and analysing disaggregated data by gender, education attainment, and area of specialization.
 - d. Developing a baseline database on individual capacities, including their education, training, and experience by organizations, which will be used for periodic monitoring of progress made toward implementing the CSS.
2. Assess the organizational capacity and identify areas for improving the quality and utility of agricultural policy analysis and investment planning, implementation, and M&E, including strengthening organizational capacity to produce periodic reports on the performance of the agriculture sector, such as the ReSAKSS flagship ATORs. These will include
 - a. Developing an annotated list (including a map showing linkages) of the roles and responsibilities of the major government and nongovernment organizations involved in strategic policy analysis, investment planning, M&E, and knowledge management and sharing.
 - b. Assessing the existing organizational capacity for strategic policy analysis, investment planning, M&E, and knowledge management and sharing, and identifying areas for strengthening their efficiency, effectiveness, and sustainability.
 - c. Assessing the existing data and M&E systems related to tracking implementation of CAADP processes, and identifying areas for strengthening the systems for effectiveness, efficiency, and sustainability.
 - d. Assessing the existing contents and knowledge management systems related to ARD, and identifying areas for strengthening the systems for their effectiveness, efficiency, and sustainability.
3. Assess the institutional and capacity constraints in the policy process related to CAADP implementation (including development and implementation of investment plans), with particular reference to effective use of evidence (including policy analysis results and M&E data) in policy and program design and in investment planning. Specific activities and outputs include
 - a. Developing a network map of major decision makers in the agricultural and rural development sectors (ministers, principal secretaries, directors, Parliament members, federal executive councils, state governors, other Cabinet members, donors, etc.), specifying their roles and level of influence through discussions with key informants.
 - b. Assessing the demand for policy analysis results, M&E data, and other forms of knowledge by various players and actors of the policy process, and identifying the cycle of major ARD-related events, policy

- discussions, and planning processes (budget preparation, etc.) and key M&E data and policy analysis used and demanded.
- c. Assessing how evidence-based information is used by the policymakers and for what purposes.
 - d. Analyzing the current institutional and capacity constraints in the policy process that impede the design and implementation of investment plans, and identifying specific opportunities for strengthening the policy process.
4. Based on the above three levels of assessments across the three themes, develop a CSS for the country Strategic Analysis and Knowledge Support System. This will include
- a. Identifying specific capacity-strengthening activities and opportunities for strengthening the individual, organizational, and policy process capacity, with particular reference to the components and structure or architecture of the country Strategic Analysis and Knowledge Support System (e.g., coordination team, network, and members (institutions and key individuals), host institution(s), governance structure and members).
 - b. Relating the capacity-strengthening activities identified to the roles and responsibilities of the individuals and organizations involved in strategic policy analysis, M&E, development and implementation of investment plans, and knowledge management.
 - c. Suggesting how individual capacities could be effectively used by the country Strategic Analysis and Knowledge Support System.
 - d. Developing an initial capacity-strengthening work plan of the Strategic Analysis and Knowledge Support System—including inputs, outputs, and expected outcomes—as well as the roles and responsibilities of different actors to be involved.

Annex 2 of this appendix presents methods to be employed for accomplishing information collection for the first three tasks identified above.

Deliverables and Timelines

The main deliverable of this exercise is the comprehensive peer-reviewed ReSAKSS working paper on the country-level CSS based on the capacity needs assessment. The working paper will contain three major elements:

1. **Needs assessment reports:** The needs assessment component will be due within 3 months of signing the contract. This will be based on the first three tasks listed above.
2. **Baseline database for capacity M&E:** A major output of the capacity needs assessment is the development of the baseline database that could be tracked and monitored in the study countries. The capacity development strategy will be linked to the existing capacity and the level of capacity needed through the database. This deliverable is due within 1 month of completion of the needs assessment report.
3. **CSS and full report:** Within 1 month of completion of the capacity needs assessment, the CSS will be developed and incorporated into the full report. The full report will contain all of the above elements, including an introductory section, a methodological section, and a concluding section.

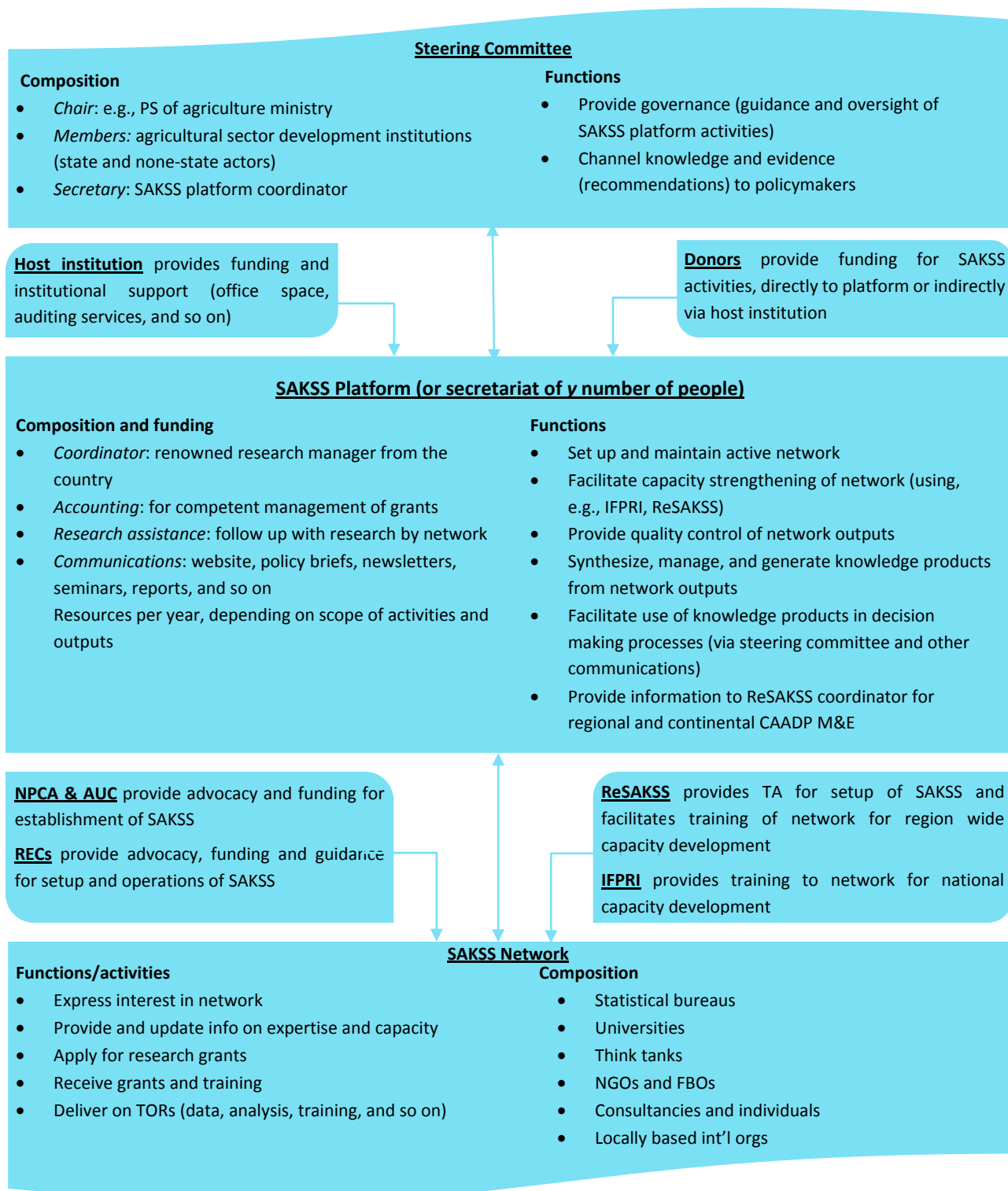
Logistics

The respective ReSAKSS coordinators will work with the identified in-country collaborators to facilitate the contracts and communications related to meeting the deadlines and deliverables. A senior researcher from IFPRI will provide the technical backstopping to the capacity development exercise.

Signature:

Date:.....

Annex 1: A Potential Country Strategic Analysis and Knowledge Support System (SAKSS) Operational and Governance Structure



Source: Study Terms of Reference.

Notes: AUC = African Union Commission; CAADP = Comprehensive Africa Agriculture Development Programme; FBO = faith-based organization; IFPRI = International Food Policy Research Institute; M&E = monitoring and evaluation; NEPAD = New Partnership for Africa's Development; NGO = nongovernmental organization; NPCA = NEPAD Planning and Coordinating Authority; PS = permanent secretary; REC = regional economic communities; ReSAKSS = Regional Strategic Analysis and Knowledge Support System; SAKSS = Strategic Analysis and Knowledge Support System; TA = technical assistance; TORs = terms of reference

Annex 2: Methods for Conducting a Capacity Needs Assessment at a Country Level

The country-level capacity needs assessment for developing a CSS for the CAADP process involves understanding what capacity exists, what capacity is needed, what gaps exist, and how to fill the gaps. The capacity needs assessment will be conducted at three levels: policy process, organizational, and individual. It will focus on the thematic issues related to (1) strategic policy analysis, (2) M&E, and (3) knowledge management and sharing at the country level to help in the CAADP process or the National Agriculture Investment Plan implementation process. The specific methods at these levels are listed below.

Policy process level: The collaborator will identify major actors and players in the policy process through network mapping exercises conducted with 8–10 key informants who play critical roles in the policy process. Two case studies of the recently developed policies or strategies in the agricultural sector will be used to develop the network map of the policy process. During these interviews, information related to the role of various decision makers and the level of their influence in the policy process will be identified. Using the specifics related to the two case studies, issues related to the demand for and the use of policy and strategic analysis, entry points for the use of information from policy analysis, data and briefs from monitoring and evaluation, and knowledge sharing will be analysed. Finally, the institutional and capacity constraints in the policy process, as indicated by the interviews, will be documented. A formal questionnaire to guide this process will be used.

Organizational level: Organizations identified by the collaborator through the policy process mapping exercise will be interviewed for their capacity needs in accomplishing the tasks related to the thematic issues. This will involve implementing a questionnaire that collects information on the characteristics of the organization and its role in the policy process and the thematic areas identified above. The questionnaire will also collect information related to how the organizations and their units are administered, coordinated, and led for accomplishing the tasks related to strategic analysis, M&E, and knowledge sharing. Further questions related to how the data, M&E, and knowledge-sharing systems are organized, what challenges they face, and what outputs are produced will also be part of the interview. Finally, capacity needs for improving the systems and the issues, constraints, and challenges to improve the effective function of the organizations and units will be identified through the interviews.

Individual level: A formal pretested questionnaire will be used to collect information on individual capacity in the organizations that will contribute to the thematic issues addressed above. The survey will involve interviewing heads of the organizations (identified through the two levels above) for the information on the individuals involved in the thematic areas, their current qualifications, the need for additional skills and tools, and the gaps that need to be filled through capacity-strengthening activities. It is expected that the number of organizations that will be interviewed will vary, depending on the country context and the nature of the organizations involved in the policy process.

Resources needed for implementing the study may vary, depending on the country. Instruments and guidelines for conducting the information gathering will be developed in consultation with the ReSAKSS coordinators and consultants identified for the study.

Appendix 2: Initial Checklist for Policy Process Level

1. In your understanding, what is the agricultural policy formulation process in Zambia—i.e., strategic policy analysis, investment planning, monitoring and evaluation, and knowledge management and sharing?
2. Who are the major players in this agricultural policymaking process?
3. Who are the major decision makers in agricultural policymaking process?
4. What are the roles of these major decision makers?
5. What is the level of influence of these decision makers?
6. How much demand is there for the use of policy and strategic analyses?
7. What are the entry points for the use of information from policy analysis, data, and briefs from monitoring and evaluation?
8. What is the level of knowledge sharing among the stakeholders?
9. Was the policy formulation process followed when developing the National Agricultural Policy and the National Agricultural Investment Plan?
10. What institutional and capacity constraints do you have in the policy process?

Appendix 3: Institutional-Level Capacity Needs Assessment Questionnaire

Capacity Assessment of Institutions Involved in the Policy Process

Interview Schedule

This interview will be carried out by the study researcher. Chairpersons and heads of the institutions involved in the policy process will be interviewed.

The purpose of the interview is to carry out an assessment of the capacity of the institutions involved in the policy process. This interview is expected to take 1.0–1.5 hours.

The focus of the interview will be on the core capabilities of the policy process institutions. Each capability is assessed with a select number of indicators. Ask interviewees to reflect on their organization’s strengths and weaknesses in relation to each of the underlined indicators, as of January 1, 2013. Following the assessment of each capability, ask the interviewees to describe where and how support for institutional and individual capacities is needed. Record their responses under *Suggestions for improvement*. Last, score each organization for each indicator, based on the scale provided,

Confidentiality/anonymity

All discussion between interviewer and interviewee will proceed on the basis of **full confidentiality**. This means that

- All information resulting from the discussion will be treated as confidential;
- Anonymization procedures will be applied to ensure that findings cannot be traced to individual respondents;
- Interview findings will be combined with findings from interviews with fellow experts—accordingly, no interview data will be presented as standalone findings; and
- At any moment, respondents have the right to withdraw cooperation or retract information given that the interview is confidential.

General Information			
1.1 Name of the institution/organization/committee/council/board/taskforce/association/network (from here on referred to as your organization):			
1.2 Name of the evaluator:			
1.3 Date and time of the interview:			
1.4 Location of the interview:			
1.5 Name and contact details:			
1.6 What is your function/role/job title in the organization:			
1.7. List below the names/gender/education/current occupation of the other members of your organization/committee/council/board/taskforce/association/network (relevant to the food and agriculture policymaking process):			
Name	Gender	Education	Occupation

1.
2.
3.
4.
6.
7.
8.(Add more as needed.)
1.8 Since when has your institution participated in/supported the policy process in the food and agricultural sector?
1.9 Since when have you personally been involved with this organization?
1.10 In general, what are your impressions about the role of this organization in the policy process?
1.11 List the institutions and committees in the country that play a similar role in the policy process in the food and agricultural sector (please list ALL those mentioned by the interviewee):
1. _____
2. _____
3. _____
1.12 List the policies/strategies that were developed in the last 5 years with the involvement of your organization, and the corresponding policy strategy/document that was produced.
1. _____
2. _____
3. _____

I. Capability to act and commit—Level of effective leadership in the policy process

1. Leadership is responsive, inspiring, and sensitive. (How would you describe the political leadership of the food and agricultural sector? This refers to the leadership in government policymaking. (Minister of Agriculture, Prime Minister, President, or whoever leads the policy process of the sector. Strong leadership is defined as being goal driven, strategic, and operational.)

Strengths:
Weaknesses:
Suggestions for improvement:
Score: 1. Highly responsive; 2. Responsive; 3. Neutral; 4. Nonresponsive; 5. Highly nonresponsive

2. Leaders of the policy process organizations provide appropriate strategic guidance (strategic leader and/or operational leader). (To what extent does the leader(s) provide strategic direction to the members of the organization? This refers to all leaders of the political organizations engaged in the policy process—parliamentary committees, food security task forces, and policymaking mechanisms and bodies.)

Strengths:
Weaknesses:
How to improve:
Score: 1. Highly strategic; 2. Strategic; 3. Neutral; 4. Nonstrategic; 5. Highly nonstrategic

3. Member or staff turnover in your organization is relatively low. (Explain the frequency of membership or staff turnover in the organization that is being interviewed, and the reason for its frequency.)

Strengths:
Weaknesses:
How to improve:
Score: 1. Strongly agree; 2. Agree; 3. Neutral; 4. Disagree; 5. Strongly disagree

4. Members and staff of your organization have the necessary skills to use evidence for strategic analysis and other policy-related work. (Do members or staff have the skills necessary to effectively use the available evidence and knowledge to engage in policy discussions and dialogues? What skills might they need?)

Strengths:
Weaknesses:
How to Improve:
Score: 1. Highly skilled; 2. Skilled; 3. Average; 4. Low skilled; 5. Very low skilled

5. Appropriate incentives are in place to sustain members'/staff's motivation. (What makes members and staff want to contribute to common food and agricultural policy goals? Incentives could be financial, nonfinancial, awards, recognition, gaining prestige, ability to influence policies, etc.)

Strengths:
Weaknesses:
How to improve:
Score: 1. Very high; 2. High; 3. Average; 4. Low; 5. Very low

6. There is adequate funding from multiple sources to cover the cost of operations. (How diversified are the funding sources of the organization over time? How has the level of funding changed over time? Does the funding cover all of your organization's costs?)

Strengths:
Weaknesses:
How to improve:
Score: 1. Highly adequate; 2. Adequate; 3. Neutral; 4. Low; 5. Very low

II. Capability to adapt, learn, and self-renew—Level of effective application of M&E

7. Activities, outputs, outcomes, and performance markers are effectively assessed through monitoring and evaluation (M&E) activities to address the goals of the food and agricultural sector’s programs and policies. (What does the sector-level M&E system look at? What type of information does your organization get? At the individual level? Project level? Organizational level?)

Strengths:
Weaknesses:
How to improve:
Score: 1. Highly effective; 2. Effective; 3. Neutral; 4. Ineffective; 5. Very ineffective

8. Sector reviews are performed and other research evidence is collected to effectively assess the effects of delivered products and services (outcomes) for future strategic planning. (What type of information does the organization seek and use to make decisions? Does it come from your own reviews or from commissioned research? Does M&E information influence strategic planning and modification of policies and programs?)

Strengths:
Weaknesses:
How to Improve:
Score: 1. Highly effective; 2. Effective; 3. Neutral; 4. Ineffective; 5. Very ineffective

9. Internal management and evaluation of your organization stimulate frequent critical reflection that results in learning from mistakes. (Do members or staff talk formally about changes to the policies and programs in the food and agricultural sector? If so, how frequent are these meetings? Are members or staff comfortable raising issues that reflect poorly on the government?)

Strengths:
Weaknesses:
How to improve:
Score: Score: 1. Highly effective; 2. Effective; 3. Neutral; 4. Ineffective; 5. Very ineffective

10. Members and staff of your organization feel free to come up with ideas for implementation of agricultural policy objectives. (Do members and staff feel that ideas that they propose for implementation of the program are welcomed, discussed, and effectively used in the policymaking process?)

Strengths:
Weaknesses:
How to improve:
Score: 1. Strongly agree; 2. Agree; 3. Neutral; 4. Disagree; 5. Strongly disagree

11. Your organization has an effective system to stay in touch with general trends and developments in the food and agricultural sector. (How does your organization know what is happening in the sector, and how does your organization respond to this information?)

Strengths:
Weaknesses:
How to improve:
Score: 1. Highly effective; 2. Effective; 3. Neutral; 4. Ineffective; 5. Very ineffective

12. Your organization is effective in being open and responsive to its stakeholders and the general public. (What mechanisms does your organization have to obtain input from its stakeholders? How is such information processed, and what does your organization do with that input?)

Strengths:
Weaknesses:
How to improve:
Score: 1. Highly effective; 2. Effective; 3. Neutral; 4. Ineffective; 5. Very ineffective

III. Capability to deliver on mandate and development objectives—Extent to which your organization delivers on planned objectives and mandates

13. Your organization has clear operational plans to carry out its mandate and objectives, which all members and staff fully understand. (Does each mandate and objective have an operational work plan and budget? Do members and staff apply this plan in their day-to-day operations?)

Strengths:
Weaknesses:
How to improve:
Score: 1. Strongly agree; 2. Agree; 3. Neutral; 4. Disagree; 5. Strongly disagree

14. Your organization delivers its planned outputs in a timely fashion. (Is staff able to carry out your organization’s operational plans? Why or why not?)

Strengths:
Weaknesses:
How to improve:
Score: 1. Strongly agree; 2. Agree; 3. Neutral; 4. Disagree; 5. Strongly disagree

15. Your organization has mechanisms in place to verify that its services meet client, stakeholder, or beneficiary needs. (How does your organization know that its services are meeting client, stakeholder, or beneficiary needs?)

Strengths:
Weaknesses:
How to improve:
Score: 1. Strongly agree; 2. Agree; 3. Neutral; 4. Disagree; 5. Strongly disagree

IV. Capability to coordinate and relate—Level of engagement of your organization in networks, alliances, and collaborative efforts

16. Your organization maintains effective coordination of its partner organizations and stakeholder groups for the benefit of the food and agricultural sector. (Does your organization engage partner organizations in developing its policies and strategies? If so, how? Does your organization effectively coordinate all members' roles and make them accountable through continuous interactions?)

Strengths:
Weaknesses:
How to improve:
Score: 1. Strongly agree; 2. Agree; 3. Neutral; 4. Disagree; 5. Strongly disagree

17. Your organization effectively maintains relationships with existing networks, alliances, and partnerships. (What networks, alliances, and partnerships does your organization engage in and why? Are they domestic or international? What do they do together, and how do they do it?)

Strengths:
Weaknesses:
How to improve:
Score: 1. Highly effective; 2. Effective; 3. Neutral; 4. Ineffective; 5. Very ineffective

V. Capability to achieve policy and strategy coherence—Existence of mechanisms for coherence in the food and agricultural sector

18. Vision, mission, and strategies are regularly discussed within your organization. (Are there a vision, mission, and strategy for the functioning of your organization? How often does your organization discuss or revise its vision, mission, and strategies? Who is involved in this process?)

Strengths:
Weaknesses:
How to improve:
Score: 1. Strongly agree; 2. Agree; 3. Neutral; 4. Disagree; 5. Strongly disagree

19. Operational guidelines to achieve policy and strategy coherence in the food and agricultural sector are in place, and the organization effectively follows them to achieve coherence by working with the members and stakeholders. (Are there operational guidelines? What are they? How are they used?)

Strengths:
Weaknesses:
How to improve:
Score: 1. Strongly agree; 2. Agree; 3. Neutral; 4. Disagree; 5. Strongly disagree

Any other issues that come up:

Thank you very much for your cooperation!

Appendix 4: Work Plan for Strategic Analysis and Knowledge Support System Capacity Needs Assessment

Activities		Time Period	Number of Days
Inception Phase			
1.1	Studying Data Collection Tools	17–18/06	2
1.2	Identifying Stakeholders for Different Levels of Interviews	18/06	1
1.3	Making Appointments for Policy Process Interviews	18–25/06	5
1.4	Making Appointments for Organizational-Level Interviews	26/06–19/07	17
1.5	Briefing Meeting with Client	19/06	1
Data Collection			
2.1	Policy Process Interviews	19–25/06	4
2.3	Briefing Meeting with Client	25–26/06	2
2.4	Organizational-Level Interviews	26/06–19/07	17
2.5	Individual-Level Data Collection	21/06–26/07	24
Data Processing, Analysis, and Interpretation			
3.1	Data Analysis & Interpretation of Datasets—Policy Process	3–5/07	2
3.2	Data Entry—Organizational Level	10–21/07	3
3.3	Analysis & Interpretation of Datasets—Organizational Level	12–21/07	3
3.4	Designing Database	24/07	2
3.5	Data Entry into Database—Individual Level	24–29/07	4
3.6	Analysis & Interpretation of Datasets—Individual Level	29–30/07	2
Draft Report Preparation and Submission (Needs Assessment)			
4.1	Draft Report Writing	15–19/07	5
4.2	Submission of Draft Report	19/07	1
4.3	Review of Draft Report by International Water Management Institute-SA	23–26/07	4
4.4	Development of Capacity-Strengthening Country Strategy	29/07–2/08	5
4.5	Submission of Country Strategy	2/08	1
Final Report Preparation and Submission (Full Report)			
5.1	Incorporating Client’s Comments, Strategy	7–9/08	2
5.2	Submission of Database	9/08	1
5.3	Submission of Final Report	9/08	1
Deliverable: Submission of Final Project Completion Report			
Total Number of Days			109

Appendix 5: Detailed Legislative Process

Relevant legislation is passed through a slightly different procedure. A proposed law is called a bill and can be introduced by any member of Parliament. There are three types of bills, which follow slightly different procedures. However, all bills go through five stages. For purposes of this report, the procedure for public bills, which are not for the alteration of the constitution, will be discussed. A public bill affects the public as a whole.¹⁹ It goes through three readings before the president can assent to it to become law.

According to parliamentary reforms of 1999,²⁰ a public bill should be advertised in the government and private print media for 14 days after it has been gazetted, before it goes to its first reading in Parliament.

Issues are raised in the same way as for the policy process by anyone in the sector. A narrow selection of stakeholders was consulted. When there is consensus about the issue, the Ministry of Agriculture and Livestock develops a layman's bill, with help from legal practitioners from the Ministry of Justice or hired personnel. The final draft of the proposed legislation is presented to the Ministry of Justice, which drafts a legal bill and leads consultations with a narrow selection of stakeholders. Then line ministries are consulted for technical input through a Cabinet memorandum. Thereafter, the Ministry of Justice presents the draft bill to Parliament.

First Reading Stage

At the bill's first reading, it is just read and introduced to the House, and then referred to the relevant committee—in this case, the Committee on Agriculture. The committee subjects the bill to detailed scrutiny through consultations with various stakeholders, reports back to Parliament to inform the debate in the House, and makes recommendations on the bill to the House.

Second Reading Stage

The second reading is the most important stage, when the bill is debated in detail. The House decides whether the bill should proceed to the committee stage. If the bill cannot proceed to the committee stage, it is withdrawn and cannot be re-introduced during the same session.

Committee Stage

At this stage, the entire House becomes a committee and debates the bill clause by clause. Members may introduce amendments that are compatible with the bill.

Report Stage

This stage is similar to the committee stage, except only additional amendments to the bill that were not moved at the committee stage and are not clauses, are considered. This stage provides an opportunity to members to make further amendments, so long as they give notice.

¹⁹ National Assembly Research Department. May 2007. *Legislative Process: Stages through Which a Bill Passes to become Law*, page 2.

²⁰ The Zambian Parliamentary Reform 1999, page 2.

Third Reading Stage

At this stage, the bill is reviewed in its final form without any debate. Once the House passes the bill, it is presented to the president for assent.

Presidential Assent

The bill is presented to the president only 3 days after the date of the third reading. If the president assents to the bill, it becomes law—an act of Parliament. If not, it is returned to Parliament with a message for reconsideration. Thereafter, if the House passes the motion with a two-thirds majority, the bill is again presented to the president for assent. The president should assent to this bill within 21 days of its presentation, unless he or she dissolves Parliament sooner.

Appendix 6: List of Stakeholders Involved in the Agriculture Policy Process

No.	Name	Role
Government Sector		
1	Central Statistics Office	Gathers key agricultural statistics used in policymaking, analysis, and reporting.
2	Policy and Planning Department	Key department within the Ministry of Agriculture and Livestock responsible for formulating, monitoring, evaluating, and updating agricultural policy on behalf of the government, but involving all other actors.
3	Ministry of Finance, Economic and Technical Cooperation	Coordinates donor support for particular projects.
4	Ministry of Finance, Monitoring and Evaluation Department	Responsible for the monitoring and evaluation of national development plans—e.g., the Sixth National Development Plan, which includes a section on agriculture.
5	Parliament, Committee on Agriculture	Provides oversight in the agricultural sector, particularly through the Ministry of Agriculture and Livestock; facilitates stakeholder input to legislation by reporting to Parliament stakeholders' views to inform debate on the bill and how it will be enacted.
6	Ministry of Commerce	Facilitates trade and industry policies and activities, which affect trade for agricultural products.
7	Ministry of Local Government and Housing	Controls water resources management and markets within its municipalities that affect trade for agricultural products.
8	Food Reserve Agency	Parastatal organization tasked with buying, storing, and marketing strategic reserves, mainly maize, and to a lesser extent other products, such as rice. The Food Reserve Agency and Farmer Input Support Programme routinely absorb more than 70 percent of the budget allocation to the agricultural sector.
9	Agriculture Sector Advisory Group	High-level forum that meets quarterly and involves both public and private stakeholders. The Agricultural Sector Advisory Group is tasked with planning, budgeting, and monitoring activities. The Ministry of Agriculture and Livestock's Policy and Planning Department is the secretary of the Agricultural Sector Advisory Group.
10	Zambia Development Authority	Semi-autonomous institution that promotes trade and investment in a number of sectors, including agriculture.
11	National Food and Nutrition Commission	Advisory organ under the Ministry of Health that aims to improve the nutritional status of Zambians. The commission promotes and oversees nutrition activities, particularly involving vulnerable groups.
12	Bank of Zambia	Responsible for monetary policy in Zambia, having an impact on inflation, interest rates, and exchange rates.

No.	Name	Role
Civil Society Organizations		
13	Agricultural Consultative Forum	Multistakeholder platform that brings together government, civil society organizations (CSOs), and the private sector in agriculture. Provides policy dialogue.
14	Civil Society for Poverty Reaction	Umbrella organization for a number of CSOs that performs budget tracking for the national development plans and collects information on the ground.
15	Programme Against Malnutrition	Umbrella organization that promotes food security through capacity development, food production programs, and capacity building.
16	Famine Early Warning Systems Network	USAID-funded activity implemented in several African countries, including Zambia, that provides information and analysis on food security.
17	Jesuit Centre for Theological Reflection	Local research and advocacy nongovernmental organization (NGO) that conducts an influential monthly price survey of basic commodities and provides advocacy.
18	World Vision	International faith-based NGO that also operates in Zambia. Implements community development programs focused on food security, water and sanitation, nutrition, and health.
19	Concern Worldwide	International humanitarian organization with projects in Zambia that focus on nutrition, livelihoods, and HIV/AIDS.
20	Community Markets for Conservation	Nonprofit company steered by the Wildlife Conservation Society that uses a business approach to find economic solutions to end poverty among rural small-scale farmers and encourages improved farming technologies to help end hunger.
21	Caritas Zambia	Catholic organization that raises awareness and provides humanitarian assistance.
22	Young Women's Christian Association of Zambia	Member of the World Young Women's Christian Association that promotes women's rights through advocacy and training.
23	Oxfam Zambia	International advocacy NGO that operates programs in Zambia focused on developing sustainable livelihoods.
Producers and Private Sector		
24	SeedCo	Large international private-sector company that produces and markets maize seed and keeps seed strategic reserves.
26	Zambia Seed Company	Private seed company that produces various types of seeds for both domestic markets and exports.
27	MRI Seed Zambia, Ltd.	Private company (acquired by Syngenta) that is a leading developer, producer, and distributor of white corn seed in Zambia.
28	Livestock Services Co-operative Society	Farmers' cooperative that sells farming inputs for both crops and livestock.
29	ATS Agro-Chemicals	Private-sector supplier of agricultural chemicals.
30	Zambia National Farmers Union	The only farmers' union currently active, encompassing small, medium, and large farmers. Mainly lobbies, but also conducts and commissions relevant research.
31	Agri-Business Forum	Membership organization that includes mainly grower schemes operators and input suppliers, and focuses on capacity building, knowledge sharing, and networking.
32	Nyiombo Investments	Private fertilizer supplier.

No.	Name	Role
33	Conservation Farming Unit	Independent organization associated with the Zambia National Farmers Union and funded by the Norwegian Agency for International Development, which promotes conservation farming.
34	Zambia Agricultural Marketing Commodity Exchange	Privately funded commodity exchange that promotes transparent and formalized commodity trade. Led efforts to pass the Commodity Exchange Bill.
Research and Policy Analysis Institutions		
35	Indaba Agricultural Policy Research Institute	Conducts primary research and provides empirical evidence and policy analysis related to agriculture.
36	Policy Monitoring and Research Centre	Newly established think tank that monitors implemented policies and provides policy guidance in a number of sectors.
37	University of Zambia School of Agricultural Sciences	Main research center for agricultural sciences that houses and participates in the Institute for Economic and Social Research. Staff members are involved in relevant policy stakeholder consultations.
38	Zambia Institute for Policy Analysis and Research	Semi-autonomous think tank whose mandate is to conduct research and analysis regarding economic policies.
39	Economics Association of Zambia	Undertakes research, training, education, publication, and consultancy in economics and related disciplines.
40	Golden Valley Research Trust	Autonomous public-private partnership research organization created in partnership with the Zambia National Farmers Union that undertakes conservation farming and smallholder livestock development programs.
41	Livestock Development Trust	Private- and public-sector partnership that promotes environmentally friendly livestock development initiatives for livestock farmers.
Donors and Cooperating Partners		
42	United States Agency for International Development	Key donor in the sector that provides direct policy funds and supports other stakeholders, such as the Indaba Agricultural Policy Research Institute.
43	European Union	Support the agriculture sector through budget support and projects aimed at strengthening rural development.
44	Food and Agriculture Organization of the United Nations	Implements programs, assists in developing strategies, and helps raise awareness to reduce hunger and promote sustainable development of the agricultural, forestry, and fisheries sectors.
45	World Bank	Implements a Country Partnership Strategy aligned to the Sixth National Development Plan, aiming to foster a competitive and outward-oriented economy in order to significantly reduce hunger and poverty and reach middle-income status.
46	Swedish International Development Agency	Supports Zambia's National Agricultural Policy.
47	Norwegian Agency for International Development	Provides budget support for and funds the Conservation Farming Unit CFU.
48	Japan International Cooperation Agency	Implements a number of projects in the sector to increase the capacity of farmers and extension staff, and provides technical assistance.

No.	Name	Role
49	World Food Programme	Zambia's country program supports social protection for vulnerable households and protracted relief and recovery operations, and provides food assistance to refugees in need.
50	International Fund for Agricultural Development	Provides financing for rural development and agricultural programs.
51	African Development Bank	Provides funding for agricultural programs.
52	Finnish International Development Agency	Provides funding for agricultural programs.

Appendix 7: Group Scoring per Section and Statement

Acronyms

GIs: Government Institutions
 CSOs: Civil Society Organizations
 PPS: Producers and Private Sector
 RIs: Research Institutions

Scoring System

- 1 Highly Strategic/Highly Responsive/Strongly Agree/Highly Skilled/Very High/Highly Adequate/Highly Effective
- 2 Strategic/Responsive/Agree/Skilled/High/Adequate/Effective
- 3 Neutral/Average
- 4 Nonstrategic/Nonresponsive/Disagree/Low Skilled/Low/Ineffective
- 5 Highly Nonstrategic/Highly Nonresponsive/Strongly Disagree/Very Low Skilled/Very Low/Highly Ineffective

Sections and Statements	Average GIs	Average CSOs	Average PPS	Average RIs	Overall Average Scoring
I. Capability to act and commit—Level of effective leadership in the policy process	3	3	2	2	2
Leadership is responsive, inspiring, and sensitive.	3	5	1	3	3
Leaders of the policy process organizations provide appropriate strategic guidance.	2	3	1	3	2
Member or staff turnover in your organizations is relatively low.	2	3	2	1	2
Members and staff of your organization have the necessary skills to use evidence for strategic analysis and other policy-related work.	3	2	2	1	2
Appropriate incentives are in place to sustain members' or staff's motivation.	3	3	2	2	3
There is adequate funding from multiple sources to cover the cost of operations.	3	4	2	4	3
II. Capability to adapt, learn, and self-renew—Level of effective application of Monitoring and Evaluation (M&E)	2	2	2	2	2
Activities, outputs, outcomes, and performance markers are <i>effectively assessed</i> through M&E activities to address the goals of the food and agricultural sector's programs and policies.	3	3	2	2	3
Sector reviews are performed, and other research evidence is collected to effectively assess the effects of delivered products and services (outcomes) for future strategic planning.	2	4	3	2	3

Sections and Statements	Average GIs	Average CSOs	Average PPS	Average RIs	Overall Average Scoring
Internal management and evaluation of your organization stimulates frequent critical reflection that results in learning from mistakes.	3	2	2	1	2
Members and staff of your organization feel free to propose ideas for implementation of agricultural policy objectives.	1	2	2	1	1
Your organization has an effective system to stay in touch with general trends and developments in the food and agricultural sector.	2	2	2	2	2
Your organization is effective in being open and responsive to its stakeholders and the general public.	2	2	1	2	2
III. Capability to deliver on mandate and development objectives—Extent to which your organization delivers on planned objectives and mandates	2	2	1	1	2
Your organization has clear operational plans to carry out its mandate and objectives, which all members and staff fully understand.	1	2	1	1	1
Your organization delivers its planned outputs in a timely fashion.	2	2	2	1	2
Your organization has mechanisms in place to verify that its services meet client, stakeholder, or beneficiary needs.	3	3	1	1	2
IV. Capability to coordinate and relate—Level of engagement of your organization in networks, alliances, and collaborative efforts	2	2	2	2	2
Your organization maintains effective coordination of its partner organizations and stakeholder groups for the benefit of the food and agricultural sector.	2	2	2	2	2
Your organization effectively maintains relationships with existing networks, alliances, and partnerships.	3	3	2	1	2
V. Capability to achieve policy and strategy coherence—Existence of mechanisms for coherence in the food and agricultural sector	3	2	2	2	2
Vision, mission, and strategies are regularly discussed within your organization.	3	2	2	1	2
Operational guidelines to achieve policy and strategy coherence in the food and agricultural sector are in place, and the organization effectively follows them to achieve coherence by working with members and stakeholders.	3	1	2	2	2

Appendix 8: SWOT Analysis for Core Capabilities

I. Capability to act and commit—Level of effective leadership in the policy process

Strengths	Weaknesses
Government Institutions	
<ol style="list-style-type: none"> 1. Leadership is strategic. 2. Leadership is acting in the interest of the nation. 3. Leadership engages technocrats to find solutions to problems. 4. Staff skills are reasonable. 5. Special incentives are in place. 6. Opportunities exist for career development. 7. Some donor funding is available for Ministry of Agriculture and Livestock-specific projects. 8. Willingness to change is demonstrable with recent policies (e.g., subsidy removal). 9. Staff turnover is low, as competition from the private sector or donors is not strong. 	<ol style="list-style-type: none"> 1. Might be sensitive to discuss political leadership. 2. Policy positions are sometimes predetermined and not based on evidence. 3. Decisions sometimes take too long. 4. Conditions of service are poor. 5. Nonfinancial incentives are lacking. 6. Flat structures hinder career progression. 7. In-depth analysis skills are lacking. 8. Ministry of Agriculture and Livestock’s Policy and Planning Department has no staff with PhDs. 9. Funding from the government is erratic. 10. Donor funds are dwindling. 11. Ministry of Finance does not engage much with sector trends. 12. Some departments are significantly understaffed. 13. Cost of some core operations is not always covered. 14. Ministers are unqualified in thematic areas to which they are appointed. 15. Political expediency disturbs program implementation.
Civil Society Organizations (CSOs)	
<ol style="list-style-type: none"> 10. Staff turnover is low. 11. Working environment is good. 12. Training is encouraged. 13. Staff is skilled and experienced. 14. Staff is committed to achieving goals in sector. 15. Funding from partners is solid. 16. Work is challenging and attractive. 17. Evidence is used. 	<ol style="list-style-type: none"> 16. Government leadership is poor. 17. Government provides no strategic direction. 18. Good governance in the sector is lacking. 19. Consultations in the sector are lacking. 20. Remuneration cannot match donor levels. 21. Institutions have no research experts. 22. Access to information is lacking. 23. Funding base is not diversified. 24. Funding has reduced over time. 25. Government at times does not use recommendations

Strengths	Weaknesses
Producers and Private Sector	
<ul style="list-style-type: none"> 18. Leadership is responsive and participatory. 19. Policy is based on manifesto. 20. Management policies at the organizational level are good. 21. Conditions of service are good. 22. Financial incentives are provided. 23. Government prioritizes the agricultural sector. No. 10, 12, 16, 13 	<ul style="list-style-type: none"> 26. Agricultural input is not always timely. 27. Resources to support small-scale farmers are limited. 28. Participation of small-scale farmers is low due to poor financial capacity. No. 25, 19, 5,
Research Institutions	
<ul style="list-style-type: none"> 24. Leadership is embracing think tanks. 25. Leaders receive guidance from technical experts. 26. The president is open. 27. There is dialogue with CSOs. 28. There is teamwork in organizations. 29. Hiring procedures are rigorous. 30. Nonfinancial incentives are provided. 31. High-level meetings with the Ministry of Agriculture and Livestock are regular. 32. Funding is adequate. 33. Staff is free to do both academic work and consultancies. No. 18, 14, 11, 12, 21, 6 	<ul style="list-style-type: none"> 29. Government is not inspiring and dynamic. 30. Infrastructure at the University of Zambia is inadequate and old. 31. Government is reactive. No. 19, 14, 2, 17, 23, 13
Opportunities	Threats
Government Institutions	
<ul style="list-style-type: none"> 1. Comprehensive Africa Agriculture Development Programme (CAADP) framework stipulates increased budget allocation to the sector. 2. National Agricultural Investment Plan (NAIP) was published to guide investment in the sector. 3. Restructuring of the Ministry of Finance to create departments with thematic focus will improve outputs. 4. Education and training opportunities are available at domestic and regional levels. 5. Ministry of Finance is interested in agriculture. 6. Increased funding is available through subsidy removal. 	<ul style="list-style-type: none"> 1. Donor confidence in the Ministry of Agriculture and Livestock is lacking. 2. Vastness of agriculture sector vis-à-vis program harmonization. 3. Fiscal situation in the country is deteriorating.
Civil Society Organizations	
<ul style="list-style-type: none"> 7. CAADP framework requires participation from CSOs. 8. Some CSOs are members of the Agricultural Sector Advisory Group. 	<ul style="list-style-type: none"> 4. Donors might pull out from key institutions.

Opportunities	Threats
Producers and Private Sector	
9. Staff wants training in higher qualifications.	5. Competition for outreach staff on the ground might reduce availability of high-skilled staff.
Research Institutions	
10. Goals are clearly articulated in development documents. 11. Career opportunities are available. 12. Meetings with high-level officials at the Ministry of Agriculture and Livestock are regular.	6. Conflict of interest in staff time at the University of Zambia between private consultancies and work might limit time spent on official duties. No. 4

II. Capability to adapt, learn, and self-renew—Level of effective application of M&E

Strengths	Weaknesses
Government Institutions	
1. Ministry-wide monitoring and evaluation (M&E) systems are in place. 2. M&E output serves a feedback mechanism for policy review, indicating that M&E is functional to an extent. 3. Staff participates in sector reviews. 4. Staff feels free to come up with ideas. 5. Staff ideas can influence policies through Cabinet memos, briefs, etc. 6. Variety of ways to keep in touch with agricultural trends (Internet, seminars, workshops, etc.). 7. Ministry of Agriculture and Livestock is very consultative. 8. Annual progress reports from Ministry of Finance monitor Sixth National Development Plan, including agriculture. 9. Ministry of Finance collaborates with Ministry of Agriculture and Livestock on M&E indicators. 10. Ministry of Agriculture and Livestock is willing to be in touch more with and use of information and communication technology. 11. Staff has good level of competence.	1. Past Ministry of Agriculture and Livestock M&E system was not systematic or harmonized. 2. Information is not always available. 3. Ministry of Agriculture and Livestock sector performance analysis reports have stopped. 4. Ministry of Agriculture and Livestock has no annual reviews to encourage critical evaluations. 5. Political prioritization of ideas that will be implemented. 6. Ministry of Agriculture and Livestock is not always consultative. 7. Ministry of Agriculture and Livestock is not very consistent with policy implementation. 8. Ministry of Agriculture and Livestock has no formal system to keep in touch with agricultural trends. 9. Ministry of Agriculture and Livestock has no formal system to receive feedback from the public. 10. Coordinating projects and donors from different thematic areas is difficult.

Strengths	Weaknesses
Civil Society Organizations	
12. M&E system is in place. 13. M&E data are qualitative and quantitative. 14. CSOs make suggestions to Ministry of Agriculture and Livestock. 15. Civil Society for Poverty Reduction stays in touch through media and grassroots information. 16. CSOs have inclusive and wide platforms for collecting stakeholder input. No. 4	11. Sector M&E is not visible. 12. There is no M&E specialist in the organization. 13. M&E is not very effective in changing sector policies. 14. There is a gap between recommendations and policy implementations. 15. It is difficult to stay in touch without a seat in the Agricultural Sector Advisory Group.
Producers and Private Sector	
17. Sector reviews are performed. 18. Internal management evaluations are frequent. 19. Staff can implement their ideas in research. 20. Sector stays in touch through the Ministry of Agriculture and Livestock and the Zambia National Farmers Union. 21. Sector obtains feedback through field days and demo plots. No. 4, 12	16. SeedCo has no M&E system. 17. Companies do not share information. 18. People sometimes think their ideas can be perceived as criticisms.
Research Institutions	
23. Goals are aligned to the Sixth National Development Plan and the Patriotic Front Manifesto. 24. Internal M&E is effective. 25. Some people in government have embraced evidence. 26. Staff ideas have found their way into policy. 27. All research is available online. 28. Research institutions are very responsive to stakeholder input. No. 12, 6, 4, 18	19. Data from government are not available on time. 20. Level of bureaucracy poses challenges for information access. 21. Consultations are lacking. 22. Policy Monitoring and Research Centre is inconsistent with the way it stays in touch with sector trends. No. 6, 1
Opportunities	Threats
Government Institutions	
1. There is donor interest in funding a new M&E system in the Ministry of Agriculture and Livestock. 2. M&E is becoming more important in government.	1. Might be difficult or take too long for institutions to adopt new ideas. 2. Funding might not increase in line with needs.
Civil Society Organizations	
1. Some institutions sit in the Agricultural Sector Advisory Group and can have input in sector M&E. 2. M&E systems are adopted more widely and are becoming mainstream. 3. Evidence is used in decision making. 4. Government accommodates freedom of speech.	

Opportunities	Threats
Producers and Private Sector	
5. Sector reviews are performed. 6. There is communication with the high-level Ministry of Agriculture and Livestock team. No. 3, 4	3. Work overload due to limited staffing levels might limit uptake of M&E responsibilities by staff. No. 2
Research Institutions	
7. Media are used to disseminate information. No. 4	

III. Capability to deliver on mandate and development objectives—Extent to which your organization delivers on planned objectives and mandates

Strengths	Weaknesses
Government Institutions	
1. Strategic plans are in place. 2. Work plans with budgets are available. 3. Plans are available to everyone. 4. Outputs are delivered on time. 5. Mid-term reviews are conducted. 6. Performance audits are conducted. 7. Central Statistics Office has user-producer surveys to verify needs are met.	1. Plan implementation might suffer from lack of funding. 2. Some planning failures are exaggerated in the press. 3. Ministry of Finance does not have a mechanism to verify service delivery.
Civil Society Organizations	
8. Policy documents are well articulated. No. 2, 5	4. Staff might be overwhelmed due to heavy workload and M&E responsibilities on top. 5. Responsiveness is hampered by lack of resources in CSOs.
Producers and Private Sector	
No. 1, 2	No. 4
Research Institutions	
9. Staff can prioritize its tasks. 10. Staff can set realistic aims. 11. Feedback is received by the public. 12. Feedback is discussed in meetings. No. 1, 2, 3, 4	6. University of Zambia’s feedback mechanisms are costly (e.g., tracer studies). 7. University of Zambia’s staff is not yet familiarized with newly adopted operational plans.
Opportunities	Threats
Government Institutions	
	1. Lack of funding might jeopardize plans. 2. Late release of funds might impede plan implementation.

Opportunities	Threats
Civil Society Organizations	
1. Increased use of social media allows public to interact more with institutions.	3. Staff might be overwhelmed due to heavy workload. No. 1
Producers and Private Sector	
Research Institutions	
No. 1	No. 1

IV. Capability to coordinate and relate—Level of engagement of your organization in networks, alliances, and collaborative efforts

Strengths	Weaknesses
Government Institutions	
1. Ministry of Agriculture and Livestock plays a coordination role. 2. Staff communicates with many stakeholders. 3. Staff participates in international forums. 4. Staff collaborates with partner organizations on projects.	1. Sector is too big, and needs are diverse. 2. Lack of funding hinders representation at many forums. 3. Ministry of Finance does not have a formal structure to allow for cooperation with alliances and networks.
Civil Society Organizations	
5. Are very experienced in coordinating partners. 6. Have many platforms for partner coordination. 7. Are members of some networks.	4. Staff might be overwhelmed due to heavy workload. 5. Attitude to networking is not very consistent.
Producers and Private Sector	
8. Sector participates in stakeholder groups and networks.	6. Farmers' participation is poor due to low capacity.
Research Institutions	
9. Staff participates in workshops. 10. Staff belongs to associations. 11. Indaba Agricultural Policy Research Institute staff belongs to regional groups. No. 2	No. 5
Opportunities	Threats
Government Institutions	
1. Ministry of Agriculture and Livestock plays a coordination role. 2. Communication with many stakeholders. 3. Participation in international forums. 4. Collaboration with partner organizations on projects.	1. Sector is too big, and needs are diverse. 2. Lack of funding hinders representation at many forums. 3. Ministry of Finance does not have a formal structure to allow for cooperation with alliances & networks.

Opportunities	Threats
Government Institutions, Civil Society Organizations, Producers and Private Sector, Research Institutions	
<ul style="list-style-type: none"> 5. Existence of numerous regional and international networks. 6. Emergence of strong domestic institutions that would be good candidates for partnering. 5. ReSAKSS can play a coordinating role. 	<ul style="list-style-type: none"> 4. Lack of funding might hinder representations.

V. Capability to achieve policy and strategy coherence—Existence of mechanisms for coherence in the food and agricultural sector

Strengths	Weaknesses
Government Institutions	
<ul style="list-style-type: none"> 1. Vision and mission are discussed whenever the need arises. 2. There is coherence between the National Agricultural Policy, NAIP, and Ministry of Agriculture and Livestock strategic plan. 3. Review process includes stakeholders. 4. Guidelines for coherence are in the form of policies and legislation. 5. Strategic plans are in place. 	<ul style="list-style-type: none"> 1. M&E is not effective. 2. Guidelines might be outdated. 3. Ministry of Finance’s budget is not completely harmonized with departmental goals and Sixth National Development Plan. 4. Central Statistics Office’s provincial staff is sometimes not involved in vision and mission reviews.
Civil Society Organizations	
<ul style="list-style-type: none"> 6. Vision and mission are discussed regularly. 7. There is a 5-year strategic plan. 8. Structures are clear. 9. Objectives are aligned to sectoral objectives. No. 3 	<ul style="list-style-type: none"> 5. Financial resources are dwindling. 6. Structures are lean; hence, workload is huge.
Producers and Private Sector	
<ul style="list-style-type: none"> 10. Vision and mission are revised when the need arises. 11. Goals are aligned to Ministry of Agriculture and Livestock. 12. Operational guidelines are clear. 13. No. 5 	<ul style="list-style-type: none"> 7. Costly reviews may lead to abandoning them.
Research Institutions	
<ul style="list-style-type: none"> 14. Vision and mission are known to everyone. 15. There is a mandate for coherence. No. 3, 5, 6, 7, 10 	<ul style="list-style-type: none"> 8. Meetings are infrequent for members who do not belong to the core team. 9. Guidelines for coherence are not written down.

Opportunities	Threats
Government Institutions	
<ol style="list-style-type: none"> 1. National Agricultural Policy has been reviewed to align goals to CAADP. 2. Efforts are made for the Sixth National Development Plan, the National Agricultural Policy, and NAIP to be consistent. 	<ol style="list-style-type: none"> 1. Decision to further improve harmonization might not be taken or might be delayed.
Civil Society Organizations	
Producers and Private Sector	
<ol style="list-style-type: none"> 3. Members want to align guidelines to government. 	<ol style="list-style-type: none"> 2. Harmonization might be impeded if guidelines do not become formalized.
Research Institutions	
	No. 2

Appendix 9: Study Limitations

No.	Limitations	Solutions
1	Capacity needs assessment tools could not be adapted to Zambian context or to specific stakeholders. This has potential to reduce the accuracy of the findings and has caused some confusion during interviews.	Questionnaires were administered as they were written, but consultants offered oral guidance during interviews.
2	Institutions interviewed refrained from participating in one or more levels of interviews, as information requested was perceived to be strictly confidential, bulky, and too detailed.	A confidentiality clause was inserted that ensures that anonymity procedures would be followed. Institutions were allowed to drop out if they still felt the clause was not acceptable.
3	Chairpersons and heads of institutions were not available for interviews.	Interviews were scheduled with more junior staff if senior managers were not available, given that the junior staff was equally knowledgeable on the content of the questionnaire.
4	Some institutions were reluctant to complete the Excel tool, as it was long and required a lot of details that needed several departments and people to participate.	Consultants were in constant contact with institutions to offer help and track the progress of this questionnaire.
5	Institutions failed to complete the Excel tool within the given timeframe.	The consultants will try to incorporate information in the final report that will arrive after the submission of draft report.
6	The short timeframe means the list of selected institutions could not be exhaustive.	Selected institutions were targeted as a representative sample of stakeholders in the agricultural policy process to provide data on the status of the country.

Appendix 10: Capacity-Strengthening Strategy for Zambia

This capacity-strengthening strategy is included in this report to provide easy access to the strategy that was developed after synthesizing the gaps that were identified from the data collected. The strategy gives details of the gaps, challenges, proposed strategic interventions, and proposed intervention framework. In addition, it provides a tentative work plan. However, the logical frame was not constituted because of lack of adequate stakeholder participation.



Capacity Strengthening Strategy for Zambia

Strategic Analysis and knowledge Support System (SAKSS)

September 2013

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ACRONYMS

ACF	Agricultural Consultative Forum
AgSAG	Agriculture Sector Advisory Group
CAADP	Comprehensive Africa Agriculture Development Programme
COMESA	Common Market for Eastern and Southern Africa
CP	Cooperating Partner
CSO	Central Statistics Office
CSO	Civil Society Organizations
CSS	Capacity Strengthening Strategy
CSPR	Civil Society for Poverty Reduction
GRZ	Government of the Republic of Zambia
IAPRI	Indaba Agricultural Policy Research Institute
ICT	Information & Communication Technology
IWMI	International Water Management Institute
M&E	Monitoring and Evaluation
MAL	Ministry of Agriculture and Livestock
MoF	Ministry of Finance
NAP	National Agriculture Policy
NAIP	National Agricultural Investment Plan
ReSAKSS	Regional Strategic Analysis and Knowledge Support System
SADC	Southern Africa Development Community
SAG	Sector Advisory Group
SAKSS	Security Analysis and Knowledge Support System
SPSS	Statistical Package for Social Sciences
UNZA	University of Zambia
ZNFU	Zambia National Farmers' Union

1 GAPS, CHALLENGES, AND ISSUES

1.1 Brief Situation Analysis

The capacity strengthening strategy is relevant for all institutions that are involved in the food and agriculture policy process in Zambia.²¹ This includes all major stakeholder groups such as government agencies, civil society, producers, private sector, and research institutions. The capacity of these institutions regarding strategic agricultural policy analysis and investment planning, monitoring and evaluation, and knowledge management is varied and is not coordinated by any current initiatives.

The sector leadership seems to be increasingly responsive to evidence as demonstrated by the recent removal of subsidies on maize production and marketing and fuel. This is an added incentive to stakeholders to provide evidence based policy advice. Staff skills regarding policy analysis can be varied with some institutions like the Indaba Agricultural Policy Research Institute featuring highly skilled staff and others like the Ministry of Agriculture and Livestock (MAL) in need of further training. Some financial and other incentives are in place although these lack competitiveness in the government sector. In general, staff turnover is low and there is willingness to further improve education, skills, and staff conditions of service.

Most institutions have a Monitoring and Evaluation (M&E) system in place as well as a Strategic Plan that is aligned to sector goals. However, the performance of such an M&E system in most institutions leaves much to be desired. The institutions also embrace openness to stakeholders and seek partnerships with domestic and international organizations to achieve common goals but with varied success. Knowledge management is an area where progress is needed, as even though all institutions recognize that keeping in touch with trends and accessing information is important, formal mechanisms to achieve that are not in place.

1.2 Gaps, Challenges, and Key issues

While each institution faces unique gaps and challenges, there are some common issues affecting multiple stakeholders, indicating key systemic issues that need to be addressed. For a detailed list of these gaps, please see Annex 1.

Regarding **policy analysis and investment planning**, sector leadership was described as not strategic enough and often formulating policies based on political priorities and not evidence. This was reported to demotivate staff. The situation was exacerbated by the lack of financial and non-financial incentives, especially in the public sector. Information and Communication Technology (ICT) usage was reported to be low in most institutions and a need for more specialized software and hardware was identified. Staff skills in some institutions were lacking, especially regarding the use of advanced software, performing data collection, and delivering in-depth analysis. Funding also presented a key challenge, either because it was not diversified or because it was inadequate, erratic, and decreasing. Finally, institutions that focus on research often lack lobbying and advocacy skills, which would help them to become more effective.

²¹ The views of this report were informed by the Capacity Needs Assessment that was carried out by RuralNet Associates Ltd on behalf of the International Water Management Institute to guide the establishment of a Strategic Analysis and Knowledge Sharing System (SAKSS) node in Zambia. The assessment involved interviewing and collecting data from 12 institutions involved in the food and agriculture policy process in Zambia.

Regarding **M&E**, it was evident that the sector M&E system, as implemented by MAL, lacks coherence and is not visible to stakeholders who are not part of the Sector Advisory Group (SAG). Its effectiveness in changing policy is also questionable. However, it is worth noting that the MAL M&E system is currently under review to make it more systematic, robust, and harmonized. The institutions themselves, however, have in place an M&E system that can vary in its effectiveness depending on staff familiarity, their skills, their experience, and time. Finally, feedback mechanisms for obtaining stakeholder input are sometimes lacking.

Finally, **Knowledge Management** is an area that was identified to be in need of significant improvement. Most institutions did not have a formal mechanism to stay in touch with trends in the sector and knowledge sharing among stakeholders was found to be low. Sharing of research and other outputs with the public is also lacking, apart from notable exceptions, and it is difficult for those not involved in the sector to obtain information. A key reason was low ICT usage and the lack of ICT facilities. The Internet and social media were used but sometimes not consistently. While networks and alliances exist between institutions, they are not governed by formal mechanisms and funding presents a challenge in maintaining them.

Overall, challenges such as funding, understaffing, and lack of access to information affected the ability of staff to perform in all three thematic areas and have implications concerning the institutions' effectiveness in the policy process. Moreover, these challenges magnify the capacity gaps over time as a vicious circle is created. Therefore, a careful consideration of bridging these gaps in a sustainable manner is needed in order to improve the policy process in the context of the CAADP implementation.

1.3 Major Lessons

Drawing on some of the positive experiences of the institutions involved in sector policy, there are lessons learnt that could be useful to consider when looking at developing the country capacity strengthening strategy, these are:

- i. When leadership embraces evidence based policymaking, institutions are motivated to provide better policy analysis.
- ii. Research and analysis outputs that are made available to the public and to stakeholders via different channels tend to be discussed more widely and to find greater usage.
- iii. Room for synergies between institutions exists in the agricultural sector and it is often harnessed successfully.
- iv. An operational Strategic Plan ensures policy coherence in the sector.

2 STRATEGIC INTERVENTIONS

In order to ensure that the implementation of the strategy is focused and strategic, the vision, mission, and objectives for the Capacity Strengthening Strategy for Zambia are outlined below.

2.1 Vision, Mission, and Objectives

Mission

To strengthen capacity of stakeholders in food and agriculture policy process by improving the quality of policy and strategic planning and implementation.

Vision

Establish a functional Country SAKSS node that promotes food and nutrition security through an effective food and agriculture policy process.

Objectives

The following objectives will ensure that the vision and mission set out in this Capacity Strengthening Strategy are realized.

- i. Strengthen capacity of stakeholders in strategic agricultural policy analysis and investment planning, monitoring and evaluation, and knowledge management.
- ii. Identify opportunities for involving policy decision makers to demand policy analysis outputs and put them to effective use.
- iii. Facilitate knowledge sharing among stakeholders in order to help in the CAADP implementation process.

2.2 Key Thematic Intervention Areas

2.2.1. Agricultural Policy Analysis and Investment Planning

The activities recommended to address the gaps in the agricultural policy analysis and investment planning were grouped into themes that broadly correspond to the gaps identified in Annex 1. For a detailed list of recommended activities and the targeted institutions see Annex 2. The major themes addressed are:

- i. Improving staff motivation
- ii. Skills Development I (data collection)
- iii. Skills Development II (research analysis)
- iv. Skills Development III (project and investment management)
- v. Resource Mobilization
- vi. Advocacy, Lobbying, and Campaigning

While increasing staff levels and core funding is outside the scope of ReSAKSS, there are ways of improving **staff motivation** by coordinating lobbying activities to promote the use of evidence in policymaking and providing some much needed physical assets and necessary software. The top management could also participate in workshops where the use of financial and non-financial incentives can be discussed to promote its usage, especially in the government sector, to improve motivation.

Skills development is the core of the strategy in this area. It addresses data collection skills and advanced research analysis skills, which are needed predominantly in the public sector, and project and investment management skills that are useful for all institutions. While short term training is recommended for almost all professional staff in the sector, either as a refresher or in order to bridge gaps, some specialized and advanced training is recommended for key staff involved in policy analysis, research, and project management.

Finally, other areas that need to be addressed are **resource mobilization**, with courses on how to best address funding gaps and the use of commercial investments as well as a course on **advocacy, lobbying, and campaigning** in order to increase the institutions' effectiveness in the policy process.

2.2.2. Monitoring and Evaluation

For ReSAKSS to deliver on its objectives, the Network will need a strong and robust M&E system for it to effectively contribute towards the successful implementation of the CAADP agenda. Capacity will be looked at as having the right numbers of people with the necessary knowledge and skills, and the means (resources) to enable them to carry out their functions effectively.

Such a system, if adapted to the M&E systems of the stakeholders, should be able to harmonize monitoring and evaluation of the agriculture policy process among stakeholders and assist in strengthening the M&E system of MAL, which some stakeholders reported to be missing all together.

Two key activities are recommended to improve the M&E functions in the ReSAKSS Network. For a detailed list of component activities, please see Annex 3.

- i. Skills Development I (Short-term training in M&E)
- ii. Skills Development II (Learning by doing)

The most effective way of ensuring a functional M&E system in all institutions is **short-term training in M&E**, involving all relevant staff regardless of their previous experience. For those who have some knowledge of M&E concepts, this can be a refresher course, while the rest will have a chance to gain a solid foundation in basic M&E concepts and functions. Topics to be covered should include all major aspects of an M&E system, which could include Introduction to M&E, Major Focus of an M&E System, and Report Writing.

Additionally, activities that enhance **learning by doing**, such as practical sessions in short-term training could be beneficial to staff who might find it difficult to implement key concepts in their own organization based on theory only. Activities could include attachments to domestic and international organizations with a well-functioning M&E system and engagement of relevant staff in M&E assignments.

2.2.3. Knowledge Management

Knowledge management is still a new concept and significant improvements are needed to enable a systematic harvesting and use of knowledge among stakeholders in the sector. Activities identified to bridge this gap were grouped into three major themes:

1. Building a knowledge management system
2. Access to food and agriculture information
3. Improving knowledge sharing among stakeholders

Firstly, most institutions do not have a knowledge management strategy or system in place. Training should be provided for most staff to be able to grasp the basic ideas and implement simple methods. Infrastructure for ICT is instrumental to this aim and funding is required so that some institutions are better equipped to implement knowledge management strategies. Access to data and information in the sector is a key challenge and this can be addressed by creating a database that all stakeholders and even the public are able to access that could include all relevant data, research, and information that is relevant for policy analysis and research. Information access can also be enhanced by providing funding to enable participation in international forums and subscriptions to academic journals.

Finally, a key issue facing the sector is the need to improve knowledge sharing among stakeholders and the wider public. This can be achieved if ReSAKSS plays a leading role in bringing identified and other stakeholders regularly together to enable information sharing. Holding seminars on how to build formal structures for alliances and partnerships in the public sector will also be of use as options such as attachments, inviting experts, and performing joint projects can be discussed. ReSAKSS can also collate and provide information on stakeholders and aid institutions in its network in identifying opportunities for partnering.

3 IMPLEMENTATION FRAMEWORK

3.1 Policy and Legal Framework

The key policy governing the agricultural sector is the National Agricultural Policy (NAP). The NAP (2004-2015) is currently under review to accommodate emerging issues such as climate change and a draft of the NAP (2011-2030) has been the subject of stakeholder reviews. A number of relevant pieces of legislation also exist that aim to provide the legal framework for the implementation of sector policies. Additionally, the National Agriculture Investment Plan (NAIP) was designed under the CAADP framework to steer the agriculture development agenda.

The NAP and NAIP are the basis for the implementation of the Capacity Strengthening Strategy. The NAP²² (2004-2015) stipulates that “the Policy will ensure that knowledge, competences and skills of staff and other stakeholders are constantly developed in order to close gaps that may arise.” Similarly, the NAIP mentions that institutional strengthening is essential for the implementation of the investment program.²³ This can be achieved by strengthening sector policy dialogue and policy analysis; improving financial management, procurement, and audit systems; improving human resources management and ICT systems; and strengthening planning, monitoring, and evaluation systems. ReSAKSS was developed as a strategy for the CAADP Compacts in order to identify the need for the establishment of mechanisms for continuous analysis of emerging issues, constraints, and challenges facing the agricultural sector and for developing a system of information generation, monitoring and evaluation, and knowledge management.²⁴

3.2 Institutional Arrangements

The overall responsibility to implement the Country SAKSS Capacity Strengthening Strategy will fall under the SAKSS Node to be set up in Zambia. The Node will be supported by the Ministry of Agriculture and Livestock (MAL) whose major focus will be to strengthen the capacities of stakeholders in the agriculture policy process.

The SAKSS Node will ensure that capacities of stakeholders are strengthened and information management, knowledge sharing, and networking are improved among stakeholders. The Node, with support from MAL, will ensure that the agriculture policy process is based on evidence and strategic policy analysis. The SAKSS Node will use the established MAL structures (the key one being the AgSAG) to engage stakeholders on key issues affecting the policy process and capacity strengthening. This will be aimed at promoting stakeholder participation and coordination to enhance support for policy reviews and formulation.

²²GRZ (2012), the National Agricultural Policy, Draft, Ministry of Agriculture and Livestock.

²³National Agricultural Invest Plan, Un-published.

²⁴IWMI and ReSAKSS (2013), Regional Strategic Analysis and Knowledge Support System for Southern Africa (ReSAKSS-SA) Capacity Strengthening Strategy through Capacity Needs Assessment for Country SAKSS Terms of Reference (TOR).

Since the policy process involves the whole range of stakeholders as revealed by the needs assessment study, they will all participate in the strengthening strategy. These stakeholders are grouped into interest groups to define their roles. These groups are: i) Government Institutions; ii) Civil Society; iii) Producers & Private Sector; iv) Cooperating Partners (CPs); v) Research and Policy Analysis Institutions; and vi) Regional economic communities such as the Common Market for Eastern and Southern Africa (COMESA) and the Southern African Development Community (SADC).

3.3 Institutional Roles

The **SAKSS Node** will take a leading role in strengthening the policy process of the agricultural sector by setting up and maintaining an active network; facilitating capacity strengthening of the network; providing quality control of network outputs; synthesizing, managing, and generating knowledge products from network outputs; facilitating the use of knowledge products in decision making processes; and providing information to the ReSAKSS Coordinator for regional and continental CAADP M&E.

As a host Institution, **MAL** will provide funding and institutional support such as office space and auditing services. MAL, along with other government institutions, will play facilitating functions which may include: strategic planning; research; policy formulation input; capacity building of private sector and civil society organizations; implementation; enforcement of legislation; regulation and inspection; sector coordination; and overall monitoring and evaluation.

The **Civil Society organizations** and the rest of the SAKSS Network will provide support services such as policy implementation; providing evidence; raising awareness; training of stakeholders and policy implementers; and monitoring and evaluation.

Cooperating Partners will play a unique role of providing funding for SAKSS activities, either directly or through the host institution.

The **Producers & Private Sector** are critical to the policy process as they bear the effects of the policy process. These stakeholders will play similar roles as the Civil Society although from a different perspective. These roles include: policy implementation; providing evidence; raising awareness; training of stakeholders and policy implementation; and monitoring and evaluation.

The other important sector in the policy process is that of **Research and Policy Analysis Institutions**. The major role of this category of stakeholders is to provide data for evidence based policy process. The other roles they may play include: conducting research on agriculture policy; data analysis; and information dissemination.

3.4 Monitoring and Evaluation

Monitoring in the context of the Capacity Strengthening Strategy (CSS) will focus on the process of continuously and systematically collecting and processing information on the different aspects of the CSS and using the same information to compare actual performance of the strategy against objectives and planned activities. It will also ensure accountability and will provide a basis for evaluation and learning. Evaluation of the CSS will be a process of facilitating judgments concerning the merits of what was and was not accomplished by the Strategy and for setting

realistic goals for the future. Monitoring will be ongoing, while evaluation will be periodic and will be done after longer periods of time, at least midway the implementation of the CSS (envisaged to take 5 years) and at the end.

Consequently, the M&E system of the Strategy will, at a minimum, have the following six major elements for it to perform to expectation (see Annex 5):

- i. A clearly stipulated purpose and scope;
- ii. Well documented performance questions, indicators and information needs;
- iii. A plan for information gathering and analysis;
- iv. A plan for reporting and communication;
- v. A plan for critical reflection processes and events, and;
- vi. A plan for the necessary conditions and capacities.

Purpose and Scope of the CCS M&E: As noted in Annex 5, the M&E system to be developed will have a well-defined purpose and scope. The purpose will be concerned with the reasons why the M&E system should be set up. Consequently, it will answer the question, “Why was the M&E system established?” On the other hand, the scope will be concerned with the coverage of the M&E system. It will answer the question “What is to be monitored and evaluated?” Defining the purpose and scope of an M&E system will be important, as it will have implications on the resources needed to effectively implement the CSS M&E activities.

Information needs and indicators: As indicated in Table 1 above, the CSS M&E system will clearly identify and document the interests and information needs of key stakeholders. The information needs of key stakeholders will differ from one to another. For instance, among other things, donors will be concerned with issues of accountability in program/project management and the impact of every dollar given. After knowing the concerns of key stakeholders indicators will be developed by using key performance questions. In the case of donors whose major concern, among other things, will be accountability, indicators that capture the presence, absence, or level of accountability in the management of a CSS intervention will be developed.

Data Gathering and Information Dissemination: M&E systems will have a plan of how data will be gathered that will meet the information needs of the key stakeholders. The plan will show what kind of data will be gathered, when it will be gathered, and who will gather it. The M&E systems will generate information to inform key players involved in the implementation process to undertake informed decisions for improved implementation performance. As noted in Table 1 above, a list of key stakeholders needing M&E information will be developed, as well as an indication of the nature of information required by each stakeholder and the timing/frequency of such information. Reporting formats will be given appropriate attention, as these would differ depending on the capacity of the user to absorb the reported information. Reporting and communicating to community level stakeholders will be as simple as possible. Due to low levels of literacy among community members, particularly in rural areas, pictorial reporting will be used as it has in the past proved helpful to many communities.

Reflective Learning: The M&E systems will not only provide information, but they will also be a means to facilitate learning by all stakeholders involved at various levels of implementation (i.e. national, provincial, district, and community levels). Individual learning will take place all the time. The M&E systems will enhance this learning process so that individuals and groups will share their learning for the benefit of all stakeholders at various levels of implementation. Thus the M&E systems will provide for formal (planned) critical reflection processes and events and encourage informal ones as well. In other words, its essential message with regard to informal critical reflection will

be “People, open your eyes, think things over, sit down together, and talk to each other”.²⁵ Formal critical reflection will go a step further and plan for reflective learning processes and events and document the lessons learnt for improving implementation performance.

Conditions and Capacities: It will be important to know what it will take to effectively implement an M&E system. In other words, the question on what kind, quality, and quantity of resources will be needed to implement the M&E plan, will adequately be dealt with. Thus, the necessary conditions and capacities will be planned for, as this will help in resource allocation. Otherwise, those who allocate resources may not be aware of the resource requirements of M&E, resulting in underperformance due to inadequate capacity.

Ideally, a Logical Framework should have been part of this CSS as an Appendix. However, it is not feasible at this stage to formulate one on account of the lack of stakeholder input into this CSS. Once consensus has been reached on the major elements proposed in this Strategy, only then should a log-frame be developed. It is proposed that the log-frame development follows the following steps:

- **Step 1:** The country SAKSS M&E expert develops a draft log-frame for circulation to the other country SAKSS staff, allowing for at least two weeks for those concerned to review the document.
- **Step 2:** Hold a two day meeting/workshop of the log-frame reviewers to critically look at the issues each one would have raised, including: the vertical as well as the horizontal logic; the appropriateness of the indicators under each level of the objective hierarchy (i.e. from bottom up: activities, outputs, outcomes, and impacts); and appropriateness of the assumptions.
- **Step 3:** Incorporate changes following the above process to produce a second draft of the log-frame.
- **Step 4:** Circulate the second draft log-frame to a wider range of key stakeholders (i.e. beyond the country SAKSS). Allow for at least three weeks for comments.
- **Step 5:** Consolidate stakeholder comments. Appoint a five person core group drawn from five key institutions involved in agriculture policy process, including the country SAKSS.
- **Step 6:** Hold a three day meeting/workshop for the five person core group to carefully look at each comment and seek to address it. Repeat the process highlighted in the second step above. This should result in the production of the third draft log-frame. This draft should then be circulated to the rest of the stakeholders and should be used for planning, implementation, monitoring, and evaluation of CSS interventions.

²⁵ GTZ (1996). Participatory Impact Monitoring Booklet 4: The concept of participatory monitoring, page 211

ANNEX 1: GAPS AND CHALLENGES ACROSS THE KEY THEMATIC INTERVENTION AREAS

Policy Analysis and Investment Planning	
1	The effectiveness of policy analysis is limited as some decisions are politically predetermined
2	Poor conditions of service demotivate staff
3	There is a lack of non-financial incentives
4	Career progression is slow and impacts staff motivation
5	Lack of computers and software
6	Lack of in-depth analysis skills
7	Lack of skilled staff in empirical data analysis
8	No research experts in some institutions
9	Cost of operations sometimes is not funded
10	Erratic funding from GRZ
11	Dwindling donor funds
12	Funding base not diversified
13	Planned implementation might suffer from lack of funding
14	Lack of adequate number of staff
15	No formal mechanism to verify service delivery
16	Lack of consultations in the policy process
17	Lack of access to information
Monitoring and Evaluation	
1.	Sector M&E system (MAL) not systematic and harmonized
2.	Sector M&E is visible if one is not a member of Ag-SAG
3.	Information not always available from the government
4.	Government is not always consultative, so M&E data is not always effective
5.	Specialized M&E staff do not exist in all institutions
6.	Staff are not yet familiarized with M&E systems
7.	Staff might be overwhelmed due to heavy workload and M&E responsibilities on top
8.	Surveys to verify service delivery are too costly
9.	Some stakeholders have no feedback mechanisms
Knowledge Management	
1	No formalized knowledge management system
2	No systematic way to stay in touch with agricultural trends
3	Coordination of sector by MAL is difficult as sector is too big and needs are diverse
4	Lack of funding hinders representation in domestic, international, and regional forums
5	Lack of a formal structure to allow for alliances and partnerships
6	Staff is overwhelmed by workload and cannot put more effort into networking
7	Attitude to networking is not very consistent
8	ICT usage is low in government
9	Research and M&E outputs are not shared with the public
10	Lack of adequate facilities for ICT technology

ANNEX 2: POLICY ANALYSIS AND INVESTMENT PLANNING – CAPACITY STRENGTHENING ACTIVITIES

Capacity Strengthening Activities	Targeted Institutions
1. Improving Staff Motivation 1.1. Coordinating lobbying activities to promote use of evidence in policymaking 1.2. Workshops for top management on the use of financial and non-financial incentives 1.3. Procurement of software and physical assets (cross cutting issue)	MAL, CSO, MoF, UNZA
2. Skills Development I (Data Collection) 2.1. Short-term training in survey design and methodology 2.2. Field visits to enhance quantitative and qualitative data collection 2.3. Funding for participation in relevant international forums 2.4. Funding for subscription to academic journals	MAL, CSO, MoF, ZNFU, CSPR
3. Skills Development II (Research Analysis) 3.1. Short-term training on policy cycle 3.2. Short-term training in SPSS, data cleaning, and analysis 3.3. Long-term training for MSc/PhD level 3.4. Attachments in international research organizations 3.5. Sensitization on NAIP principles and implementation strategies	MAL, CSO, MoF, ZNFU, ACF, Committee on Agriculture (Secretary)
4. Skills Development III (Project and Investment Management) 4.1. Short-term training on the project cycle 4.2. Advanced training on economic appraisal techniques (for economists/project managers) 4.3. Advanced short-term training on risk management 4.4. Workshops/seminars on aligning investment plans to strategic plans and sector investment plans (NAIP)	All Institutions
5. Resource Mobilization 5.1. Short-term training on resource mobilization techniques 5.2. Workshops/seminars on commercial investments opportunities	SAKSS MAL
6. Advocacy, Lobbying, and Campaigning 6.1. Short-term training on advocacy, lobbying, and campaigning 6.2. Seminars on the use of social media and other technologies to effectively communicate research	All Institutions

ANNEX 3: MONITORING AND EVALUATION – CAPACITY STRENGTHENING ACTIVITIES

Capacity Strengthening Activities	Targeted Institutions
<p>1. Skills development – Short-term training in Monitoring and Evaluation targeting:</p> <ul style="list-style-type: none"> i. Introduction to M&E ii. Major Focus of an M&E System iii. Introduction to Logical Framework iv. Operationalization of M&E: Basic Elements of an M&E System v. Evaluations vi. Types of Data and Data Collection Methods vii. Data Analysis viii. Reflective Learning Processes ix. Report Writing 	All institutions except IAPRI
<p>2. Skills development – Learning by doing targeting:</p> <ul style="list-style-type: none"> i. Attachments of M&E staff, Programme and Project Managers; Key Project Stakeholders etc. to institutions that have well performing M&E systems in the country ii. Exchange visits to countries with SAKSS that have functioning M&E in place iii. Inclusion of M&E and related staff into M&E assignments for the purpose of gaining experience 	All institutions

ANNEX 4: KNOWLEDGE MANAGEMENT – CAPACITY STRENGTHENING ACTIVITIES

Capacity Strengthening Activities	Targeted Institutions
1. Building a knowledge management system 1.1. Short-term training in knowledge management 1.2. Procurement of software and physical assets (cross cutting issue)	SAKSS, All Institutions, Cooperating Partners
2. Access to food and agriculture information 2.1. Build a database where information, data, and research from all network participants is stored and is open to the public 2.2. Funding for participation in relevant international forums 2.3. Funding for subscription to academic journals 2.4. Short-term training in using the internet and social media to promote research findings and data	SAKSS, All Institutions, Cooperating Partners
3. Improving knowledge sharing among stakeholders 3.1. Seminars on building formal structures for building partnerships and alliances in the public sector 3.2. Providing information on other regional and international institutions in the sector and upcoming forums and events 3.3. Organizing regular networking sessions with other stakeholders that facilitates news and information exchange	SAKSS

ANNEX 5: BASIC ELEMENTS OF THE CAPACITY STRENGTHENING STRATEGY M&E SYSTEM

M&E Element	Reason(s)/Justification for the Element
Clearly stipulated purpose and scope	<p>a. Purpose of the M&E system will be: to support all those involved in the implementation of the CSS to ensure compliance with the strategy’s vision, goal, and objectives to thereby improve responsiveness, efficiency and effectiveness by providing constant feedback from the various stakeholders, and to contribute to the learning of all stakeholders.</p> <p>b. To facilitate the formulation of a purpose, the following question will be asked: What are the main reasons for setting up and implementing an M&E for the (i) implementing partners?, (ii) primary stakeholders, and (iii) other key stakeholders?</p> <p>c. Scope will be concerned with the extent and level of sophistication of the M&E system. This will be important to establish because M&E systems can be highly sophisticated, requiring high levels of expertise in qualitative and quantitative research methods and extensive information management. Conversely, M&E systems can be simple, requiring minimal gathering of data and largely depending on discussions with stakeholders.</p> <p>d. The appropriate level of sophistication of the CSS M&E system will be determined primarily by the following three issues: (i) the M&E purpose; (ii) the available resources, and (iii) available M&E expertise (including among partner organizations).</p>
Performance questions, indicators and information needs	<p>a. Performance questions will assist in indicator development by ensuring that what is included is what is most relevant. Performance questions will not be concerned just with what has been achieved, but they will also deal with <i>why</i> there is success or failure and lessons learned to improve future action. What external factors have influenced any changes? Performance questions will be needed for each level of the objective hierarchy (i.e. interconnectivity of the objectives from the lower to the higher level, with the lower levels contributing to the higher level). An example of performance questions in an objective hierarchy is given below:</p> <ul style="list-style-type: none"> i. Activities: what has actually been done? ii. Outputs: what has been delivered as a result of project activities (e.g. number of people trained)? iii. Outcomes (results): what has been achieved as a result of the outputs? (e.g. the extent to which those trained are effectively using their skills)? iv. Impacts: what has been achieved as a result of the outcomes (e.g. the extent to which the livelihood of target beneficiaries has been improved as a result of using the acquired skills)? <p>b. Indicators of the CSS will help communicate changes that are usually more complex. Indicators will help reduce data to the symbolic representation of the Strategy, in a manner relevant and significant for those who will use the information.</p> <p>c. Indicators will be either qualitative or quantitative. An intervention within the CSS may be targeted at a particular impact such as the one related to “household food security” or “poverty alleviation”. There will be need to compare to see change. This will require a baseline. A baseline will serve as a point of comparison, with three possible options:</p> <ul style="list-style-type: none"> i. Will compare the situation “before the CSS intervention started” with that “after it started,” ii. Will track changes “with” and “without” the CSS present, and iii. Will compare the difference between similar groups (one which will have been working with the CSS intervention, and another which will not, i.e. control group). <p>a. Information needs will be identified through understanding information needs of various stakeholders of the CSS. An analysis will need to be done with such stakeholders on their specific information requirements.</p> <p>b. Each level of the objective hierarchy (i.e. from bottom up: activities, outputs, outcomes, and impacts) will need to have its own information requirements. This is similar to the case of performance question above.</p>

M&E Element	Reason(s)/Justification for the Element
Plan for information gathering and analysis	<ul style="list-style-type: none"> a. This will relate to an assessment of what information will be realistically collected, given available human and financial resources. b. For each information need or indicator, there will be an elaboration of the ways information will be collected and organized. c. Details of who to use what information and which method to gather/synthesize what information will be articulated. d. Schedule of frequency of information collection, when, place of collection, persons to be involved, and expected information product will be in place. e. There will be need to ensure the existence of technical and resource feasibility of information needs, indicators, and methods. f. Formats for data collection and synthesis will be developed.
Plan for reporting and communication	<ul style="list-style-type: none"> a. A list of all the key audiences, their information requirements, when they will need it, and the format they will need the information in, will be developed. b. A comprehensive schedule for information production, showing who will do what and by when, will be developed. c. Definition of what is to be done with the information (whether simply for onward transmission, for analytical discussion, etc.) will be undertaken.
Plan for critical reflection processes and events	<ul style="list-style-type: none"> a. Detailed methods/approaches to use, with which stakeholder groups and for what purpose will be undertaken. b. There will be an identification of who will be responsible for which reflective events. c. A schedule for integrating all the key lessons and recommendations and a monitoring system of progress to that effect, will be developed.
Existence of plan for the necessary conditions and capacities	<ul style="list-style-type: none"> a. Number of M&E staff will be determined b. Their responsibilities and linkages will be worked out c. Organizational relationships between key M&E stakeholders will be identified d. Incentives needed to make M&E work will be identified e. The type of information management system to be established and a detailed budget will be worked out

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ReSAKSS

Regional Strategic Analysis and Knowledge Support System
Facilitated by IFPRI 

Established in 2006 under the Comprehensive Africa Agriculture Development Programme (CAADP), the Regional Strategic Analysis and Knowledge Support System (ReSAKSS) supports efforts to promote evidence and outcome-based policy planning and implementation as part of the CAADP agenda. In particular, ReSAKSS provides data and related analytical and knowledge products to facilitate benchmarking, review and mutual learning processes. It is facilitated by the International Food Policy Research Institute (IFPRI), in partnership with the African Union Commission (AUC), the NEPAD Planning and Coordinating Agency (NPCA), and leading regional economic communities (RECs). At the regional level, ReSAKSS is supported by three Africa-based CGIAR centers: the International Livestock Research Institute (ILRI) in Kenya, International Water Management Institute (IWMI) in South Africa, and International Institute of Tropical Agriculture (IITA) in Nigeria. www.resakss.org.

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