

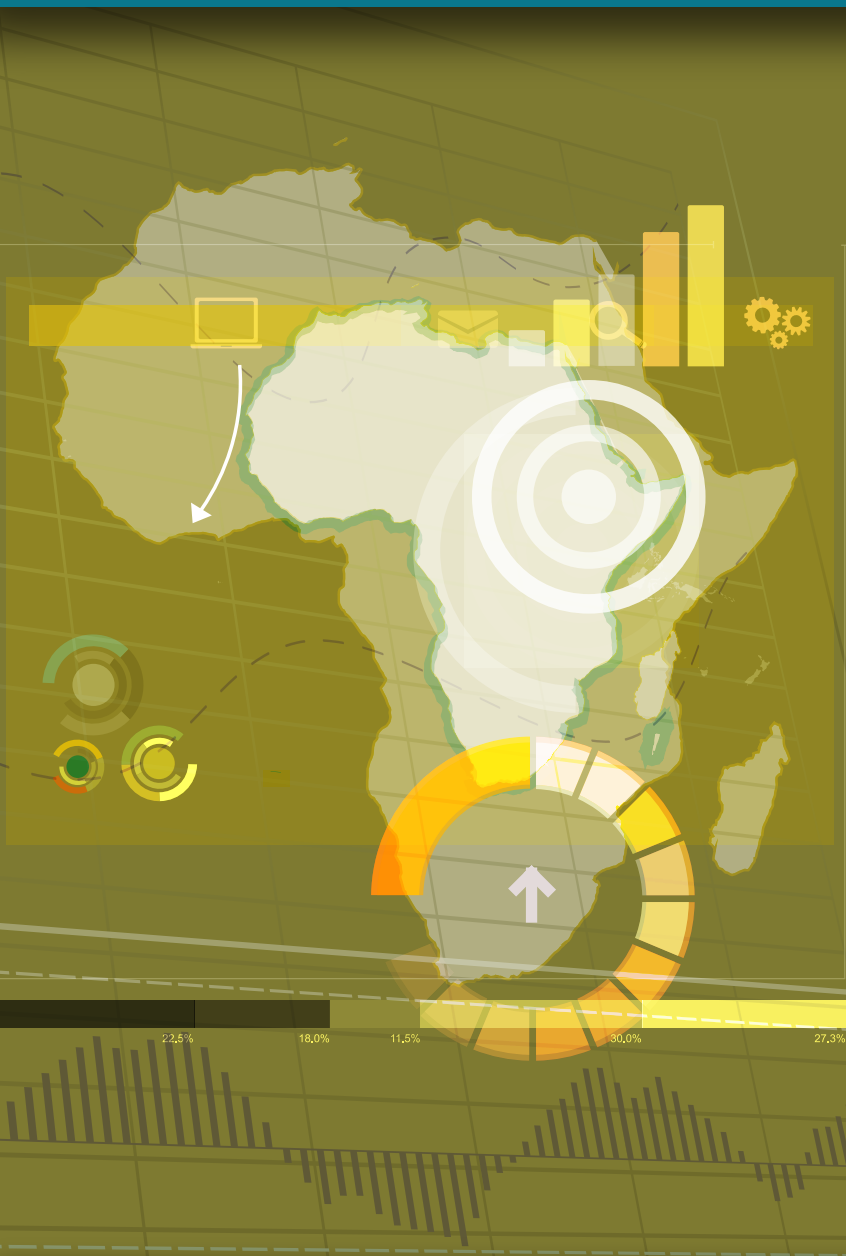
# ReSAKSS

Regional Strategic Analysis and Knowledge Support System  
Facilitated by IFPRI 

## ETHIOPIA

RESAKSS CNA REPORT 3

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



# ETHIOPIA

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## EXECUTIVE SUMMARY

A need for evidence generation, knowledge management, and sharing is at the heart of the Comprehensive Africa Agriculture Development Programme (CAADP) and is a key element for its successes and achievement of goals in the agricultural sector. As a result, an initiative for a country-level knowledge platform, that is, Strategic Analysis and Knowledge Support System (SAKSS), to facilitate knowledge generation and strategic policy analysis for success and achievement in the agricultural sector is being established. SAKSS is expected to improve the quality and utility of agricultural information by facilitating an evidence-based policy process, establishing a functional sectoral monitoring and evaluation process (M&E), and coordinating a knowledge management system with capable human resources on these three important aspects in Ethiopia. Thus, this study intends to identify the major players in the agricultural policy process of Ethiopia and to assess their capacity gaps in knowledge management, M&E, and strategic policy analysis, which will be used for designing and formulating a capacity-strengthening strategy for SAKSS.

The capacity needs assessment (CNA) was conducted at three levels: at the policy process/enabling environment level, organizational level, and individual level. The assessment focused on the thematic issues related to (1) strategic policy analysis, (2) M&E, and (3) knowledge management and sharing. Thirteen organizations were covered in this assessment: government ministries, research organizations, universities, and professional associations.

In the Ethiopian agriculture policy process, this study noted that the Ethiopian Ministry of Finance and Economic Development (MoFED) has a role in initiating country-level strategies, while the Ethiopian Ministry of Agriculture (MoA) plays a role in initiating sector-specific policies such as land policy, seed policy, and others. The Central Statistics Agency (CSA) is the major and the official source of data and information. Research centers and universities, on the other hand, are significant sources of rigorous research and policy analysis reports. The Parliament and the prime minister's office mainly ratify and follow implementation of policies, while donors play a key role by providing technical expert advice and funds.

The policy process in Ethiopia, according to key informants' interviews, particularly with government officials and policy documents, such as Plan for Accelerated and Sustained Development to End Poverty (PASDEP) and Growth and Transformation Plan (GTP), follows a systematic and consultative process. But key informants—mainly from Ethiopian Institute of Agricultural Research (EIAR), Addis Ababa University (AAU), Haramaya University (HU), Agricultural Economics Society of Ethiopia (AESE), and Ethiopian Economic Association (EEA) and literature (for example, Amdisa 2007; Future Agricultures 2010)—indicate that the policy process in Ethiopia is less systematic, lacks wider consultations, and is more top-down. With

regard to demand and supply of information and policy analysis results, although data are ample, information and research outputs are produced by organizations, information supply is not well organized and structured, and demand for policy analysis results is not explicit enough to encourage research centers and universities to engage in policy analysis and share findings with major stakeholders.

The main problems in the agricultural policy formulation and analysis in Ethiopia relate to the following<sup>1</sup>: (1) failure to consider reality on the ground; the policymaking process lacks evidence; (2) limited capacity within the public institutions for policy analysis; (3) research institutions involvement in policy dialogue is limited; (4) poor or nonexistent data management system; (5) lack of debate among the various stakeholders to inform policymaking; and (6) weak linkage and coordination among different stakeholders in the agriculture sector. Further, capacity constraints such as lack of manpower, statistical software packages, poor knowledge sharing (that is, publication, dissemination, and periodic forums) mechanisms, and poor collaborative research culture are some of the major challenges in the Ethiopian agriculture sector.

Human resource capacities related to professionals working on agricultural research and policy analysis in all the organizations covered in this study, indicate, in total, that about 28 percent have PhDs, 42 percent have a master's degree in science, and 30 percent have a bachelor's degree in science. Staff members in the government organizations (MoA, MoFED, and Central Statistics Agency of Ethiopia [CSA]), on average, have a bachelor's degree of art in their respective field of study. On the other hand, in research organizations (like the Ethiopian Development Research Institute (EDRI), EIAR, and Forum for Social Studies [FSS]) and professional associations (like EEA and AESE) staff members have a master's degree and above. In government organizations (such as MoA, MoFED, and CSA), the benefits are too low to attract and retain high-level (PhD and master's degree) professionals. This study also indicated about a 30 percent gap in human resources in the MoA Planning and Program Directorate (PPD), about a 57 percent gap in EAIR (Socio Economic Research and Extension Directorate), and about a 40 percent gap in the Macroeconomic Policy and Management Directorate and Development Planning and Research Directorate (ME&PD) of the MoFED. With respect to M&E and policy analysis, a training gap is particularly evident on the use of advanced analytical techniques, the use of different software packages, on areas related to result-based M&E, and data management techniques.

In most of the organizations covered in this study and particularly in the PPD of MoA, EIAR, and CSA, human resources in terms of required qualification and level of education are not adequate enough to undertake advanced policy analysis, establish and run a functional M&E system, and collect and manage knowledge. The problem is made even worse by the fact that there is very high staff turnover in these organizations. The turnover problem is critical in almost all organizations. Although the turnover rate is very high in government ministries and other government institutions (that is, MoA, MoFED, EIAR, and CSA), it is relatively less serious in research think tanks, universities, and nongovernmental organizations (NGOs). In government organizations, on average, about 10 percent of the staff left their jobs in 2011. In the CSA, for instance, during the past 6 years around 30 percent of the total staff left their jobs. Poor staff benefits, mainly salary and other incentive mechanisms, are the main reasons for high staff turnover.

The PPD of the MoA is the major organization responsible for M&E and knowledge management in the agriculture sector, particularly for the MoA. Organizations covered in this study also reported that they have functional M&E units. This study, however, found that there are poor systematic M&E systems in the Ethiopian agriculture sector, which limits periodic program and project revision and learning at the sectoral level. The PPD of the MoA is constrained by qualified manpower to undertake systematic M&E, hence limited to traditional monitoring—planning and reporting activities in the MoA level. Knowledge management in most organizations is practiced at the individual expert level rather than in a systematic manner.

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<sup>1</sup> Based on key informant interview and literature.

The problem is serious in the case of the PPD of the MoA where it is hard to find organized information and knowledge of the sector, and there is also a lack of a systematic link with regional offices for data and information flow. Human resource constraints in establishing a knowledge management system, lack of knowledge, and limited use of data and knowledge management software packages, particularly in government organizations, are some of the major problems. However, some organizations (for example, EDRI and EEA) have a relatively better organized set of information and knowledge accessible to stakeholders. Additionally, a promising initiative, the Ethiopian Agricultural Portal (EAP), could be used to build a coordinated system for knowledge management in the agriculture sector. In general, this assessment indicated that there is a lack of strategic policy analysis, a lack of systematic and periodic data collection based on established indicators of performance and success and coordinated knowledge management, and a poor M&E system. This calls for a structured and systematic M&E and knowledge management system in the agriculture sector for periodic assessment of implementation of agricultural programs, including CAADP implementation. It, therefore, requires an integrated capacity-strengthening strategy along with designing systems to improve organizations' roles in the Ethiopian agriculture sector.

The capacity-strengthening strategy aims to strengthen human, financial, and physical capacities of individuals and institutions to generate evidence-based information with systematic M&E and knowledge sharing for strategic policy analysis and investment planning. A galvanizing body like the SAKSS platform is required to bring together different stakeholders, coordinate strategic policy analysis and knowledge generation, and strengthen systematic M&E in the Ethiopian agriculture sector.

The strategies are framed around the individual, institutional, and policy process/enabling environment levels. The overall strategy is expected (1) to enhance knowledge and skills of individuals involved in agriculture and food policy process; (2) to strengthen institutions' capacities in human, financial, and physical resources required to proactively engage in agriculture and food policy formulation, implementation, and analysis, as well as in M&E and knowledge management; and (3) to create a well-functioning, enabling environment for individuals and organizations to critically engage in the overall processes of food- and agriculture-related policies.

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## LIST OF ABBREVIATIONS

AAU	Addis Ababa University
AAU-CDS	Addis Ababa University Center for Development Studies
ADLI	Agricultural Development–Led Industrialization
AESE	Agricultural Economics Society of Ethiopia
AGP	Agricultural Growth Program
ATA	Agriculture Transformation Agency
BoA	Bureau of Agriculture (regional level)
CAADP	Comprehensive Africa Agriculture Development Programme
CBO	Consumer Based Organization
CIDA	Canadian International Development Agency
CIMMYT	International Wheat and Maize Research Center
CNA	Capacity Needs Assessment
CCRDA	Consortium of Christian Relief and Development Association
CSA	Central Statistics Agency
DAG	The Development Assistance Group
EAP	Ethiopian Agricultural Portal
EDRI	Ethiopian Development Research Institute
EIAR	Ethiopian Institute of Agricultural Research
EPRDF	Ethiopian People Revolutionary Democratic Front
ESSP	Ethiopia Strategy Support Program
EU	European Union
FAO	Food and Agriculture Organization
FSS	Forum for Social Studies
FYP	Five-Year Plan
GTP	Growth and Transformation Plan



HPR	House of People’s Representatives
HU – CA&ES	Haramaya University College of Agriculture and Environmental Sciences
IFPRI	International Food Policy Research Institute
iGap	The information Guide for Agricultural Policy
ILRI	International Livestock Research Institute
MDGs	Millennium Development Goals
M&E	Monitoring and Evaluation
ME&PD	Macroeconomic Policy and Management Directorate and Development Planning and Research Directorate of the MoFED
MIS	Management Information System
MoA	Ministry of Agriculture
MoFED	Ministry of Finance and Economic Development
Mol	Ministry of Industry
MoT	Ministry of Trade
MoTI	Ministry of Trade and Industry
NBE	National Bank of Ethiopia
NEPAD	New Partnership for Africa’s Development
PADEP	Peasant Agricultural Development Extension Programme
PANE	Poverty Action Network of Ethiopia
PASDEP	Plan for Accelerated and Sustained Development to End Poverty
PIF	Policy and Investment Framework
PM	Prime Minister
PPD	Planning and Programming Directorate, MoA
PRSP	Poverty Reduction Strategy Paper
PSNP	The Productive Safety Net Program
RDPS	Rural Development Policy and Strategy
RED&FS WG	Rural Economic Development and Food Subsector Security Working Group

SDPRP	Sustainable Development and Poverty Reduction Programme
SNNP	Southern Nations, Nationalities and Peoples
TAC	Technical Advisory Committee of EDRI
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
WB	World Bank

# 1. INTRODUCTION

## 1.1. Background of the Study

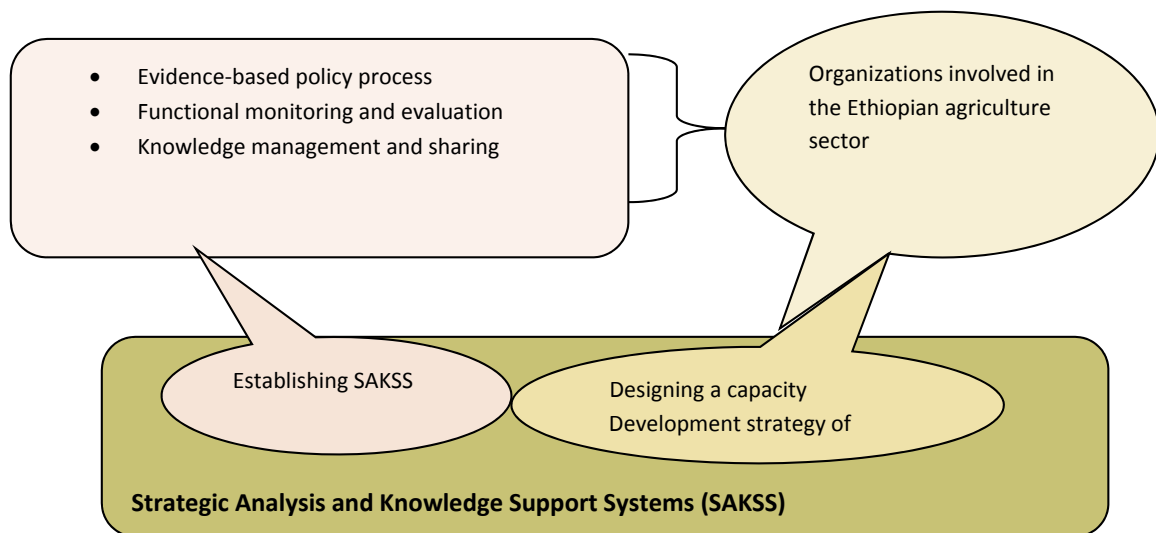
The agriculture sector in Ethiopia contributes about 43 percent of the country's gross domestic product (GDP) and 82 percent of the country's export earnings. For the past 5 years, the sector has been growing on average by 8 percent (CSA 2012). The Agricultural Development–Led Industrialization (ADLI) strategy, the main economic strategy of the country, gives high emphasis to the development of the agricultural sector—growth of which is expected to encourage industrial development, and thus transform the country's economy. The sector receives about 12 percent of the total country's budget (CSA 2011). Nevertheless, the agriculture sector is struggling with multifaceted challenges; the major ones include erratic rainfall, drought, soil degradation, poor access and use of modern technologies, etc., which have contributed to low agricultural productivity and food insecurity (Hassen et al. 2011). Though many development efforts have been channeled to the sector to tackle the problems, most of them fall short of addressing the persistent challenges the sector faces. Lack of access to information and knowledge and, therefore, proper understanding of the problems come at the forefront for persistent failures to address the challenges in the agriculture sector. This demands systematic documentation of knowledge outputs and smooth flow and sharing of synthesized information and knowledge through a coordinated system.

The Comprehensive Africa Agriculture Development Programme (CAADP)—which aims at directing agricultural development efforts and partnerships in Africa—highlights a need for evidence generation, knowledge management, and sharing as a key element for its successes and achievement of goals in the agricultural sector (CAADP 2009). Under the CAADP, an initiative is underway to establish a country-level knowledge platform (that is, Strategic Analysis and Knowledge Support Systems [SAKSS]) to facilitate knowledge generation and strategic policy analysis for success and achievements in the agricultural sector. This platform galvanizes sectoral strategic policy analysis and knowledge management and establishes a systematic monitoring and evaluation (M&E) system, which could be instrumental in producing, synthesizing, documenting, and sharing of knowledge in the agriculture sector in a coordinated manner to facilitate informed policy and strategy formulation and implementation. SAKSS mainly aims to improve the quality and utility of agricultural information through facilitating evidence-based policy process, and establishing a functional sectoral M&E and a coordinated knowledge management system in Ethiopia.

SAKSS is expected to bring on board all relevant stakeholders to continuously generate information, knowledge, and evidences at the country-level, which will be used to review and modify programs and investments in the agricultural sector. SAKSS further helps to facilitate capacity-strengthening activities of major organizations involved in the Ethiopian agricultural policy process with respect to knowledge management, M&E, and policy analysis. For this to happen, assessment of organizations' capacities with respect to human, financial, and physical capacities in the knowledge management, M&E, and policy analysis is a first and crucial step. Thus, this assessment intends to identify organizations' capacity gaps in knowledge management, M&E, and strategic policy analysis, which will be used to design and formulate a capacity-strengthening strategy of SAKSS. Strengthening capacities of organizations involved in the agriculture sector help to generate reliable, timely, and high-quality knowledge products to inform and guide agricultural sector policies and investment planning. This assessment particularly focuses on capacity needs of organizations in knowledge management and strategic policy analysis in the Ethiopian agricultural sector and its major findings are used to establish SAKSS and design a capacity-strengthening strategy.

Figure 1 depicts the linkage between SAKSS, capacity development, and relevant stakeholders that will both support SAKSS and use its products.

**FIGURE 1 RELATIONSHIP BETWEEN CAADP, EDPRS, AND PSTA**



Source: CNA survey (2013).

The Capacity Needs Assessment (CNA) attempts to answer the following questions and issues:

- What are the specific needs for strategic agricultural policy analysis and investment planning, M&E, and knowledge management?
- 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?
- 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?
- How can such capacity gaps be identified and filled?

Specifically, the CNA will respond to these questions and instructions: What existing capacities are there? What is needed? What is the gap? Identify a strategy to fill the gap at the policy process level. Assess the organizational capacity in leadership, coordination, and mobilization. How do organizations work together? Do organizations have functional M&E systems? Do they collect data? Do they analyze it? How is it reported and shared to other stakeholders? Identify factors that trigger the demand for data and information. Assess if there are other ongoing initiatives and investments to suggest where SAKSS could come in.

Answering those questions and addressing those issues through a CNA and a capacity-strengthening strategy is an important step to customize the SAKSS concept to Ethiopia’s agriculture sector context and capacity needs.

## **1.2. Objective of the Capacity Needs Assessment**

The main purpose of the CNA is to identify areas for improving the quality and utility of policy analysis and investment planning, M&E, and knowledge management in the Ethiopian agriculture sector. The CNA will specifically guide the establishment of SAKSS in Ethiopia to develop a capacity-strengthening strategy that will be used for strategic analysis and knowledge management of the agricultural sector in Ethiopia. The assessment will focus on three thematic issues related to (1) strategic policy analysis, (2) M&E, and (3) knowledge management and sharing.

## 2. CAPACITY NEEDS ASSESSMENT FRAMEWORK AND APPROACH

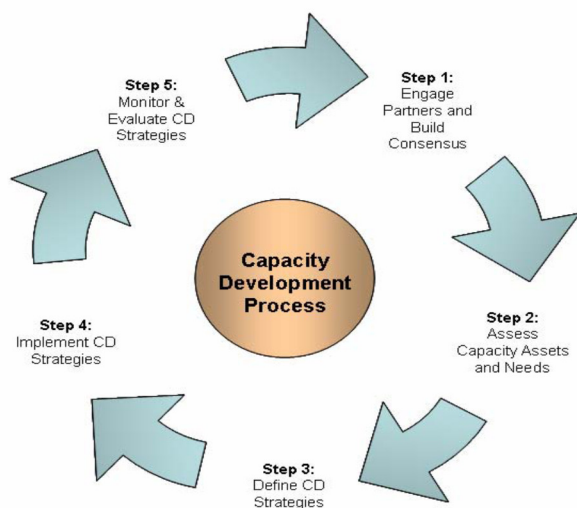
### 2.1. Capacity Assessment Framework: United Nations Development Programme Approach

The United Nations Development Programme (UNDP) Approach (UNDP 2007) defines capacity assessment as an analysis of desired future capacities against current capacities—generating an understanding of capacity assets and needs, which in turn leads to the formulation of capacity development response strategies. Capacity assessments provide a systematic analysis of what key capacities exist and identify what additional capacities may be required to reach a desired development outcome. Capacity assessments can take many forms. Capacity assessments can be used to analyze the “enabling environment” or to assess a specific sector, interconnected organizations, or an individual organization (UNDP 2007). CNA is part of a capacity development process as illustrated in Figure 2.

A capacity assessment must be deployed correctly to yield the intended outcomes. UNDP’s Capacity Assessment Guide recommends the following steps to guide the technical process in undertaking a capacity assessment exercise. These steps are intended to deepen local engagement and dialogue around process, strategies, and intended results, and to build consensus around them.

1. Mobilize and design.
2. Conduct the capacity assessment.
3. Summarize and interpret results.

**FIGURE 2 UNDP'S CAPACITY DEVELOPMENT PROCESS**



Source: UNDP (2007).

UNDP uses a three-dimensional cube as a capacity assessment framework involving the following three components:

1. Point of entry; levels of data collection and analysis (individual, organization, enabling environment)
2. Core issues (knowledge, leadership, accountabilities, and institutional arrangements)
3. Technical and functional capabilities

## 2.2. Methodology of the Capacity Needs Assessment

The CNA was conducted at three levels: at the policy process level, the organizational level, and the individual level. The capacity assessment focused on the thematic issues related to (1) strategic policy analysis, (2) M&E, and (3) knowledge management and sharing.

### 2.2.1. Desk Review

Documents that are related to Ethiopian agricultural policies and strategies, the CAADP process, and achievements in Ethiopia, different reports and data in the agriculture sector, and other relevant materials were reviewed to become familiar with and assess the policy process, M&E system, and knowledge management in the Ethiopian agriculture sector. Through the desk review exercise, the research team attempted to assess the existing information/knowledge generation and management mechanisms, M&E system, and availability and use of policy analysis reports. Moreover, secondary information was collected to assess the availability of appropriate M&E instruments and tools, data management systems, analytical tools, and research outputs or policy analysis documents.

### 2.2.2. Data Collection: Data Sources, Instruments, and Tools

**Data collection instruments and tools:** Data collection instruments were developed by the International Food Policy Research Institute (IFPRI) research team. The instruments mainly cover questions on human, financial, and physical capacities of research, non-research, and statistical organizations. The instruments/questionnaire further ask about main challenges and constraints organizations face in knowledge management, M&E, policy analysis, and organization management, leadership, and coordination.

The study team critically revised and adapted the instruments to the Ethiopian context and pretested them on three selected organizations—Ministry of Agriculture (MoA), Ethiopian Institute of Agricultural Research (EIAR), and Agricultural Economics Society of Ethiopia (AESE). Survey instruments were further refined during a 2-day internal workshop on methodology that was conducted from July 31, 2012, to August 1, 2012, in Addis Ababa. Feedback from the workshop and the pretest exercise were specifically used to refine the instruments, making sure that the three thematic issues—strategic policy analysis, M&E, and knowledge management—were well incorporated and addressed in the instruments. Additional checklists were also developed to capture information specifically on policy process aspects with regard to organizations' roles and responsibilities, coordination and integration between them, incentive mechanisms, and other issues.

**Data collection:** Data collection for the CNA was conducted using formal and informal interviews at three levels: (1) policy process (enabling environment), (2) organizational, and (3) individual.

Data collection at the policy process level was preceded by developing a network map of the policy process used to identify major actors and their linkages. The network mapping exercise was conducted with key informants, during the inception workshop, comprising policymakers and other actors in the policy process of the Ethiopian agricultural and rural development sector. The data collection at the policy process level attempted to assess the broad system within which organizations function and the interaction and coordination among organizations. At the policy level, information has been gathered with respect to the demand and use of data and information generated through M&E systems and other policy-analysis reports. Key informants, mainly policymakers and other major actors in the policy process, were interviewed about how and for what purposes policy analysis results are used, and the major capacity constraints in the policy process of the Ethiopian agriculture sector were identified.

At the organizational level, data were collected using questionnaires and checklists that helped to assess the capacity of organizations for strategic policy analysis and investments planning, M&E, and knowledge management and sharing. Issues regarding internal structures, interaction of departments, human resource development, and leadership in the organizations were assessed at this level of data collection.

Data collection at the individual level was mainly conducted using structured questionnaires. At this level, leaders of various organizations, division managers, directors, and other experts were assessed on their existing capacities and capacity gaps in knowledge management, analytical research skills, and policy analysis. Data on education, qualification, training, need for additional skills, and capacity gaps (of policy analysis, M&E, and knowledge management) were collected.

Table 1 depicts major variables and issues addressed at the three levels of the data collection.

**TABLE 1 MAJOR VARIABLES AND ISSUES COVERED AT THE THREE LEVELS OF THE DATA COLLECTION**

Policy process level: Enabling environment	Organization level	Individual level
Organizations' roles and responsibilities in the policy process	Roles of organizations in knowledge generation and sharing	Existing human capacity—number of staff, qualification, training, and experience
Coordination/interaction of different organizations	Existing capacity for policy analysis, monitoring and evaluation, and knowledge management	Disaggregation of capacities by gender and education attainment
Agricultural policy development process and its implementation	Administration, leadership, and coordination	Identify individual capacity gaps
Demand and use of policy analysis results	Structures/units in the organizations and their interactions	Human resource development plan and progress for capacity developments
System-level capacities, challenges, and opportunities	Identify organizational capacity gaps (constraints and challenges)	Identify constraints and challenges for individual capacity development

Source: Adopted from the TOR for the study.



**Organizations selected for data collection:** Major organizations involved in the policy process, M&E, and data management related to the Ethiopian agriculture sector were selected for the CNA (Table 2)

**TABLE 2 ORGANIZATIONS COVERED IN THE CAPACITY ASSESSMENT**

Government institutions	Research organizations and universities	Professional associations	Donors/NGOs
1. Ministry of Agriculture 2. Ministry of Finance and Economic Development 3. The Ethiopian Central Statistical Authority 4. Agricultural Transformation Agency	5. Ethiopian Institute of Agricultural Research 6. Ethiopian Development Research Institute 7. Addis Ababa University 8. Haramaya University 9. Forum for Social Studies	10. Agricultural Economics Society of Ethiopia 11. The Ethiopian Economic Association	12. Food and Agriculture Organization 13. World Bank

Source: Author based on initial stakeholder consultations.

### 2.2.3. Stakeholders' Workshop

An inception stakeholder's workshop was conducted on November 15, 2012; it was mainly undertaken to get stakeholders' inputs in the study (that is, study objectives, methodology, and other components). Specifically, the workshop helped the study team to refine and validate the network map of policy players developed through document review and preliminary interviews. Inputs from workshop participants were used to identify major players, their linkages, and their level of influence in the agricultural policy process. A workshop was also conducted to validate the major findings of this CNA, and inputs were used to review and evaluate the draft capacity strengthening strategy.

## 2.3. Desk Review: Policy Process

### 2.3.1. Agricultural Policy Formulation and Analysis Process

Policies can be understood as political, management, financial, and administrative mechanisms arranged to reach explicit goals. The information Guide for Agricultural Policy (iGap 2010) defined policy as a deliberate plan of action to guide decisions and achieve rational outcomes.

Policy formulation is the process of considering alternative policy options and deciding to implement one or several of them. A first step is to diagnose and analyze the current situation and to identify priority issues that need policy attention. The next step is to select and compare possible policy instruments and strategies to address the priority issues. Sound policy formulation relies on solid research, on transparent debate, on open circulation of ideas, and on whether policy units have an appropriate level of autonomy from the central government. Demese (2004) argues that policy is determined in the political arena and that policy decisions are fundamentally political decisions.

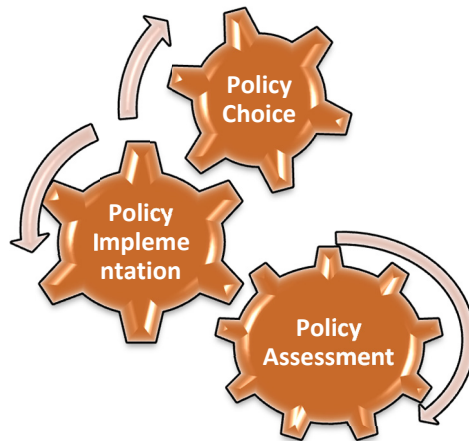
Policy analysis, on the other hand, is defined as client-oriented advice relevant to public decision and informed by social values (Weimer and Vining 1999). Policy analysis has also been defined as an applied social science discipline that uses multiple methods of inquiry and argument to produce and transform policy-relevant information that may be used in a

political setting to resolve policy problems. Systematic analysis of any and all components of the policy process can be considered as policy analysis (Najam 1995).

Policy is the result of interactions among multiple actors and organizations with particular interests and ideas about what course of action should be taken. The sum of these interactions constitutes the policy process. The policy process has been described as consisting of three primary components: policy choice, policy implementation, and policy assessment (Najam 1995). Policy choice facilitates government and society to formulate the goal that should be achieved and the types of policy instruments that could best achieve the goal; and following implementation of these instruments, policy assessment links policy choice to implementation and asks whether the original goal is being achieved and, if not, why not.

For policy to work, all three gears of the policy process (policy choice, policy implementation, and policy assessment) need to move as shown in Figure 3.

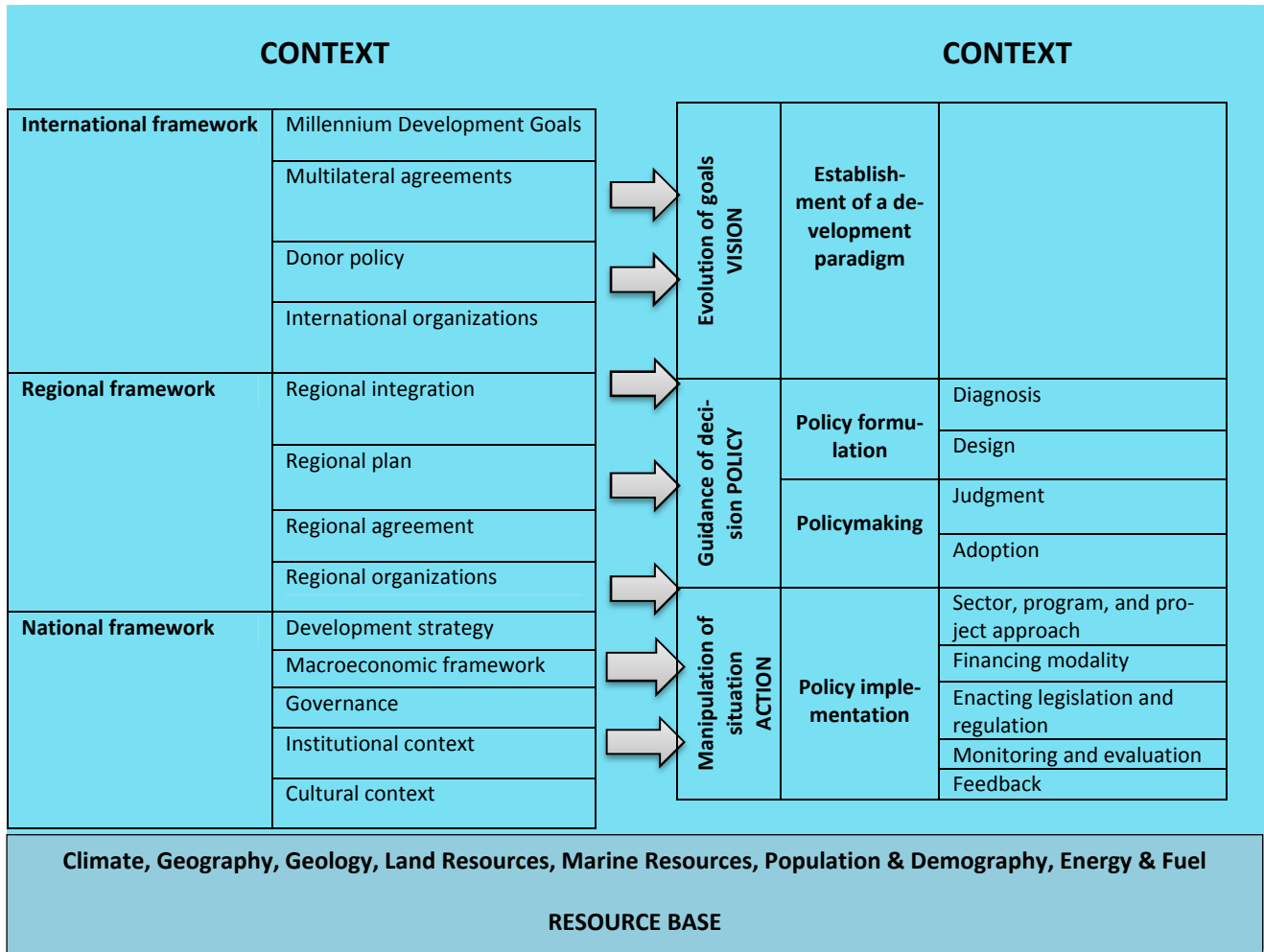
**FIGURE 3 GEARS OF POLICY PROCESS**



Source: Najam (2005).

Policy process is part of a wider environment or context (Figure 4). Understanding context is vital to understanding and engaging more effectively in policy processes and policy analysis (iGap 2010). Context refers to those aspects of the world that are relevant to action—context is the arena for action. Context is important for policy for a range of interrelated reasons. First, context shapes the likelihood of change—a policy reform, for instance—taking place. Second, context shapes the positions and perspectives of those organizations with an interest in the policy reform. And third, context shapes the effectiveness or appropriateness of different actions. In some contexts, acting in a certain way will be more effective; in other contexts, acting in the same way would be ineffective (Nash, Hudson, and Luttrell 2006).

**FIGURE 4 CONCEPTUAL FRAMEWORK FOR AGRICULTURE POLICY INFORMATION AND ANALYSIS**



Source: iGap (2010).

The policy process in any country is complex, and policymakers are rarely able to act alone in its formulation or implementation (iGap 2010). The policy process for the agriculture sector is increasingly linked at the national, regional, and international levels. It is driven by national development goals, international multilateral agreements, regional integration and agreements, and donor policies (iGap 2010).

*Policy, in developed as well as in developing countries, is a crucial factor determining the rate of economic growth and development. However, it has been also the most abused, ill-used factor of growth in many countries. (Demese 2004)*

Effective policies to ensure agriculture and rural development and successfully overcome poverty and food insecurity require capacity for sound analysis, formulation, and dissemination of agricultural policies. Many developing countries lack people and institutions with such capacity. The main features of the current situation of capacity in developing countries

can be characterized by weak institution capacity to conduct sound agricultural policy analysis, formulation, and dissemination. The need for effective capacity for policy formulation is becoming greater as global trends pose increasing challenges to the agricultural sector in the developing world (ACI 2003). Therefore, understanding the policy process in the Ethiopian agricultural sector and identifying the capacities required to enable institutions and players in the sector to come up with implementable policies that will in turn lead to sustainable economic growth and food security is important.

### **2.3.2. Agricultural Policy Process and Its Implementation in Ethiopia**

The agricultural policy of the Imperial regime had a feudal-cum-capitalist orientation while the agricultural policy of the Derg regime had a socialist footing. The current Ethiopian People Revolutionary Democratic Front (EPRDF) regime has a mixed type agricultural policy (Demese 2004). During the Imperial regime when there were three Five-Year Plans (FYPs), the process of formulating them was top-down with exclusive involvement of the elites and clergy (Amdissa 2007). The MoA, in the Derg regime, developed the Peasant Agricultural Development Extension Programme (PADEP), which focused on improving extension service and redirecting agricultural resources to the peasant sector. The current government has adopted and used the ADLI strategy since 1995 as an overall development strategy for the country. Concomitant with the ADLI, a series of Poverty Reduction Strategy Papers (PRSP) were launched like the Sustainable Development and Poverty Reduction Programme (SDPRP) (2001/2002–2004/2005), the Plan for Accelerated and Sustained Development to End Poverty (PASDEP) (2004/2005–2009/2010), and the current Growth and Transformation Plan (GTP) (2009/2010–2014/2015). In all these programs and policies, poverty reduction is the central theme, and agriculture is given top priority, particularly in regard to smallholder farmers.

To help implement the successive plans, the government launched various thematic policies and strategies. These include the Food Security Strategy, Rural Development Policy and Strategy (RDPS), the Land Policy, Food Security Strategy, the Productive Safety Net Program (PSNP), Voluntary Resettlement Program, Pastoral Development Policy, and many others.

Policy formation and implementation in Ethiopia is shaped by the ideology and political strategy of the ruling EPRDF party, the influence of key actors (including the international community), and capacity constraints at all levels of government (Amdissa 2007). Policy priorities are led by the government's visions, like ADLI, which emphasize poverty reduction, food security, commercialization, and export promotion. Therefore, ADLI, the principal pillar of SDPRP, PASDEP, and GTP, has been the government's flagship policy since the early 1990s. ADLI is based on the assumption that in a capital-scarce country like Ethiopia, labor-intensive agriculture is the engine of growth and poverty reduction and agricultural development is the first stage of a process that will ultimately lead to industrial development.

Initiation and formulation of countrywide policies and strategy such as the ADLI strategy involve high-level discussions (government officials and organizations) and seem to lack stakeholders' participation. Demese (2004) argues that policymaking in the current regime is incremental—that is, policy is built step-by-step based on wise decisions and learning from past and current mistakes as a result of a readiness to listen to comments from stakeholders and learn from reality while preparing some policy documents. Recently, the government is showing progress and a readiness to involve more stakeholders in the policy process, which makes this capacity assessment timely and also facilitates the capacity-strengthening program.

## 3. AGRICULTURAL POLICY PROCESS ANALYSIS IN ETHIOPIA

### 3.1. Major Organizations Involved in the Ethiopian Agricultural Policy Process

In Ethiopia, different organizations are involved in the formulation, implementation, and analysis of agriculture-related and food security-related policies and strategies. Table 3 depicts organizations involved in the agricultural policy process and their roles and responsibilities. The Ethiopian Ministry of Finance and Economic Development (MoFED) is mandated with initiating country-level strategies and policies, such as the ADLI strategy of the country, the recent 5-year GTP, and others. Furthermore, MoFED is responsible for establishing systems for follow-up and review of the national development plan with respective budget disbursement. The Ethiopian MoA, on the other hand, has a role and responsibility to initiate sector-specific policies, such as land policy, seed policy, and others, in addition to its major role of developing overall national agricultural development strategies and coordinating their implementation. The CSA of Ethiopia is the major and the official source of data and information. Other institutions like research centers and universities also collect their own data and information. Research centers and universities are also key sources of rigorous research and policy analysis reports, despite having a low dissemination rate. The Parliament and the prime minister's (PM) office are mainly responsible for making, ratifying, and following implementation of policies. The role of multilateral and bilateral international organization donors in the agricultural sector and specifically in the policy process ranges from providing technical expert advice to funding and assisting in the implementation of specific investment strategies.

**TABLE 3 ORGANIZATIONS AND INSTITUTIONS INVOLVED IN THE POLICY PROCESS AND THEIR ROLES**

Organization	Major roles <sup>2</sup>
MoFED	Initiate policies Establish a system for the preparation and implementation of national development plan Prepare the federal government budget and make disbursements
MoA	Responsible for developing and refining the overall national agricultural development strategies and policies for the country Coordination of agricultural research activities
Central Statistics Agency of Ethiopia	Provide major data on agricultural production and productivity
Research organizations and universities (for example, Ethiopian Institute of Agricultural Research, Ethiopian Development Research Institute)	Provide policy advice and expertise Conduct rigorous research and policy analysis
Parliament, prime minister's office	Ratify, monitor, and oversee policies; in addition to making some policies Follow up the implementation of the policies
Donors (for example, World Bank, Food and Agriculture Organization, United Nations Development Programme)	Funding Technical support

Source: CNA study results.

<sup>2</sup> Major roles are only the roles that are relevant to this assessment

## 3.2. Policy Formulation Process in Ethiopia

According to government guidelines, policymaking in Ethiopia is a systematic, technocratic, consultative, and evidence-based process. Policy formulation is claimed to pass through the following process: (1) problems are identified; (2) evidence and analysis of these problems is amassed; (3) priorities are set on the basis of this evidence, and draft policies are formulated; (4) key stakeholders (including regional decisionmakers) are then consulted to test the appropriateness and workability of proposed policy; (5) the policy is then reviewed and reformulated; and (6) the policy is implemented.

Policy formulation in Ethiopia is initiated and coordinated by the Ethiopian MoFED, especially for macro-level policies and strategies, whereas sector-specific policies are initiated by sectoral ministries, for example, MoA initiating seed and land policies. Despite limited evidence to confirm, donors such as the World Bank (WB), Food and Agriculture Organization (FAO), and research institutions may influence the policy formulation and direction through their reports and research outputs. This study attempts to examine the policy process in Ethiopia by assessing the process followed while formulating the main country-level policies and strategies.

### 3.2.1. Plan for Accelerated and Sustained Development to End Poverty

The drafting of PASDEP began in mid-2005 with a series of consultative meetings in each of Ethiopia's regions (see Box 1). At the national level, the MoFED coordinated the process. A steering committee with members from key ministries was set up to give direction to the process. A technical committee with members from the planning departments of the respective ministries was also established. The steering committee was co-chaired by the state minister for agriculture and rural development and the state minister for finance and economic development. The technical committee was chaired by the head of economic planning at MoFED. In principle, civil society networks, NGOs, Bureaus of Agriculture, and other relevant bodies should engage with local-level institutions and individuals to set the policy agenda and forward it to the national level. In practice, however, limited regional consultations were carried out, the results of which are reported in the document. The business community and civil society also had the opportunity to comment on the draft report, and some contentious issues were on the table for discussion as a result. Whether these issues were resolved before the Parliament approved the policy document is a major concern. Although the process of the policy formulation, as described below, was followed well and seemed structured, it is arguable whether enough consultations, discussions, and debate were allowed before the policy document was approved. The PASDEP was fundamentally a desktop policy document with considerable use of secondary data largely from government sources. As a result, the PASDEP, perhaps even more than its predecessor, is seen very much as a national-level document produced in Addis Ababa by a relatively small network of players, centered on the MoFED and closely monitored and overseen by the PM's office and associated advisors (Amdissa 2007). The WB, in particular, and its advice networks in EDRI, IFPRI, and elsewhere played a role in PRSP processes. As the most influential player in the donor community, the WB provides a networking/brokering role, with the Development Assistance Group (DAG) made up of a range of "development partners." This group is in constant engagement with the government to examine and refine in particular the policy matrix, which consists of the key indicators.

Technically speaking, PASDEP was a much better document than its predecessor, the SDPRP. Its pillars were more focused and give the impression that the government had been listening to some of its critics. A major emphasis was placed on economic growth to be achieved mainly through greater commercialization of agriculture and a strong push from the private sector.

## BOX 1 PREPARING THE PASDEP: CONSULTATIVE PROCESS

The timeline below shows the process of PASDEP formulation as reported by MoFED.

- **June–July 2005:** Nationwide consultations across all regional states and city administrations to review the experience under SDPRP and identify people’s priorities for the PASDEP.
- **July–August 2005:** Consultative sessions conducted and written input obtained from civil society organizations, the business community (private sector), and donor partners on issues and priorities that should be reflected in the PASDEP.
- **July–September 2005:** Overall strategic directions debated and agreed within the government; government ministries prepare sector strategies/feedback.
- **December 2005:** First draft of strategy circulated nationally for review, discussions, and suggestions/feedback.
- **January 2006:** Strategy reviewed by the full cabinet (regional government presidents and all line ministries), chaired by His Excellency the Prime Minister, and endorsed to agree on ownership and ensure consistency. Extensive written comments and suggestions also received from civil society organizations and development partners.
- **February 2006:** Further consultative sessions held with the Poverty Action Network in Ethiopia (PANE), an umbrella group formed by civil society organizations specifically to participate/interact with the government in the PASDEP/PRSP process and with the Christian Relief and Development Association (CRDA), the umbrella group of NGOs operating in Ethiopia; the Chambers of Commerce (both Addis Ababa and Ethiopian Chamber of Commerce), and the Development Assistance Group of aid donors to review and discuss their reactions to the draft.
- **March–April 2006:** The draft Plan/Strategy document redrafted to take into account comments and feedback.
- **May 2006:** Amharic version of strategy debated for 2 full weeks by Parliament.
- **May–August 2006:** The draft Plan/Strategy document revised and finalized on the basis of comments and reactions.
- **September 2006:** Final PASDEP prepared.

Source: PASDEP, MoFED (2010).

### 3.2.2. The Growth and Transformation Plan Formulation Process

Development of the GTP has benefited from many consultative meetings held at the federal, regional, and local levels with government bodies; private sector organizations; higher education institutions; professional, women, and youth associations; religious and civil society organizations; opposition political parties; and development partners. Many issues that are thought to be important for achieving fundamental changes in economic growth, social development, and good governance and that contribute to realizing the objectives of the GTP are raised and discussed in the consultations. Issues that were raised and that needed greater elaboration or more emphasis were addressed and were also presented in-depth at the sector and subsector levels described in the GTP (MoFED 2010). But still arguments remain that the GTP had ambitious targets that have not realized the implementation capacity of the country in terms of finance, human, and physical resources.

One of the distinguishing characteristics of the GTP preparation process from the previous development plans’ process was that a high-level macroeconomic team was established with the responsibility of guiding the overall preparation process (MoFED 2010). Implementing agencies from the federal level up to the regional and local levels have participated in the

planning process (through their functional linkages with their respective federal institutions). Wide and extensive consultations that are led by senior government officials were held with stakeholders and the public-at-large at both the federal and regional levels. In addition, large media coverage given to the draft GTP raised public awareness and participation in the process (MoFED 2010). The plan preparation and approval process is summarized in Box 2 as adopted from the GTP document itself.

## BOX 2 GROWTH TRANSFORMATION PLAN FORMULATION PROCESS

- **September–October/2009:** Preparing generic guideline, incorporating general directions, main objectives, economic growth targets and indicators by the Ministry of Finance and Economic Development (MoFED) and circulated to federal implementing agencies.
- **November–December/2009:** Briefings on the initial ideas and the Generic Guideline; a common understanding was created as to the content and preparation processes of GTP and a circular calling for the preparation of the GTP was then distributed to all concerned federal and regional government institutions.
- **February–May/2010:** Based on the Generic Guideline, preliminary draft plans of key sectors (Agriculture and Rural development, Industrial Development, Education, Health, and Good Governance & Capacity Building, etc.) were submitted to MoFED.
- **June 2010:** The draft consolidated GTP was prepared and submitted to the high-level macroeconomic team. The macroeconomic team in turn reviewed and provided feedback on the draft consolidated GTP and its constituent key sector plans.
- **July 2010:** The first draft of the GTP was prepared and a discussion paper focusing on major achievements of PASDEP, objectives, strategic pillars, and main targets of the GTP was prepared and distributed to the pertinent regional and federal bodies.
- **August–September 2010:** Countrywide consultation forums were conducted on the draft plan to refine it further and create awareness among citizens, actors, and stakeholders. The participants included civil servants and government officials, elected people’s representatives at different levels, representatives from universities and professional associations, the private sector, associations of women, youth and the disabled, civil society organizations, development partners, and opposition political parties.
- **October 2010:** Further refinements on the draft GTP document and checking for its internal consistency, incorporating the comments and feedback from the regional and federal consultations.
- **November 2010:** The GTP document was then submitted to the Council of Ministers, which then endorsed it together with comments and directions to be included in the final plan.
- **November 2010:** After a 5-day debate by the House of People’s Representatives, the document was endorsed as the Official National Plan of the country for 2010–2011 to 2014–2015.

Source: GTP document final draft, MoFED (2010).

### 3.2.3. The Policy and Investment Framework Formulation Process

The Policy and Investment Framework (PIF) provides a strategic framework for the prioritization and planning of investments that will drive Ethiopia’s agricultural growth and development. It is designed to operationalize the CAADP Compact signed by the government and its development partners. The PIF is a 10-year roadmap for agricultural and rural development that identifies priority areas for investment and estimates the financing needs to be provided by government and its



development partners. It is anchored to and aligned with a number of key policy and strategic statements including GTP, PASDEP, RDPS, and ADLI with the national vision of Ethiopia’s becoming a middle-income country by 2020.

The formulation process of PIF has been a collaborative process involving key stakeholders. MoA engaged a team of consultants to spearhead the design of the PIF and the final report, and the “Ten Year Roadmap,” was presented as a working paper. The PIF formulation process was overseen by the PIF Steering Committee comprising key representatives of the Rural Economic Development and Food Security Sector Working Group (RED&FS WG) chaired and directed by the MoA Planning and Programming Directorate (PPD). The PIF formulation process involved (1) a review of key policy and strategy documents; (2) the compilation of statistical information on sectoral trends; (3) consultations with a broad cross-section of stakeholders from government, Civil Society Organizations (CSOs), Consumer Based Organizations (CBOs), the private sector, and development partners; (4) consultations in Oromia, Amhara, Southern Nation, Nationalities and People’ (SNNP) region, and Tigray Regional States; and (5) a national consultation workshop to review the draft report in which all stakeholders took part, including representatives of the private sector and farming communities. Generally, the development of the PIF was participatory and benefited from broader participation and contribution from key stakeholders. Further, the PIF has an annual review process that provided a strong feedback mechanism that was not observed in the other strategies.

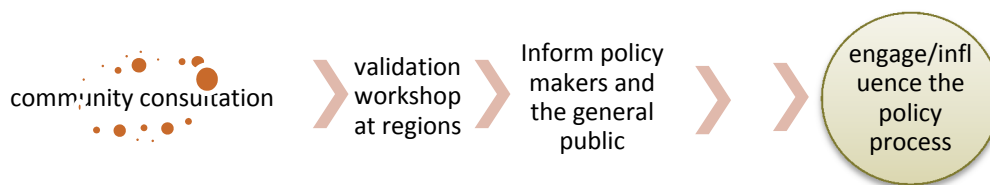
### **3.3. Policy Process, Policymakers, and Policy Influencers in Ethiopia**

#### **3.3.1. Analyzing the Policy Process**

The policy process in Ethiopia, according to key informants’ interviews, particularly of government officials and policy documents (such as PASDEP and GTP) is claimed to follow a systematic and consultative process. On the other hand, key informants—mainly from the Ethiopian Institute for Agricultural Research (EIAR), Addis Ababa University (AAU), Haramaya University (HU), the Agricultural Economic Society of Ethiopia (AESE), and the Ethiopian Economic Association (EEA) and literature (for example, Amdissa 2007; Future Agricultures 2010)—report that the policy process in Ethiopia is less systematic, less consultative, and more top-down. The formation of PASDEP, for instance, has been criticized by outside observers and local administrators (that is, zone, woreda, and kebele administration) as lacking consultation with key stakeholders—implementers and the community. The same is true for PRSDP; the processes have largely been driven from above with limited consultation (Amdissa 2007). The form that participation takes in Ethiopia is often more of directive and top-down than genuinely participatory. As a result, the policymaking process remains top-down and directive; key policies tend to be initiated and formed at the very heart of government by the PM’s office, deputy prime minister, and leading organs and figures in the EPRDF. These policies then tend to be presented to stakeholders at the national and regional level for confirmation rather than genuine consultation, and these policies are seldom modified once presented. The tendency is also to roll out policies all at once rather than to pilot them. To push its development agenda, the government often pursues a campaign approach to implement policies and programs.

Amdissa et al. 2007 suggested an ideal policy formulation process based on their analysis of policy and experimentation in Ethiopia. They assert that policy formulation should start by community consultation and be followed by validation workshops at regions before informing policymakers and engaging in policymaking (Figure 5).

**FIGURE 5 IDEAL POLICY FORMULATION PROCESS FOR ETHIOPIAN AGRICULTURE**



Source: Amdissa et al. (2007).

After 2011, the policy process in Ethiopia exhibits a different shape mainly due to the catalytic role that is being played by the Ethiopian Agricultural Transformation Agency (ATA). ATA’s major role is to support the achievement of the country’s agriculture sector targets set in the GTP, the CAADP, the PIF, and other key government strategies. To this end, ATA facilitates identification of systemic bottlenecks in the agriculture sector and reviews, develops, and refines national strategies/policies and solutions to address them. Recently, for instance, ATA and the MoA worked with various domestic and international institutions to revise seed proclamation that was approved by the Parliament in 2013 and facilitated the development of a comprehensive agricultural cooperative sector development strategy. Hence, the policy process in Ethiopia should capitalize on the current initiation by the ATA and MoA to be able to achieve the goals of GTP and CAADP.

### 3.3.2. Policymakers

The PM, on behalf of the Council of Ministers, is the locus of both policy formulation and implementation. Article 74:3 and 5 of the Constitution states “he shall follow up and ensure the implantation of laws, policies, directives and other decisions adopted by the House of Peoples’ Representatives.” In practice, the PM and his key cabinet members and leading officials within the ruling party take the initiative in making major policies. As chief executive, the PM is also the ultimate focal point of many of the lobbying efforts by policy influencers (that is, bilateral and multilateral donors). The PM has chief economic advisors who provide him with strategic and economic advice. The PM also relies on his staff at the PM’s Office as a good source of policies and political strategies. These staff members are carefully selected for trustworthiness and also may be moved to sensitive positions such as the Electoral Board as and when required (Amdissa 2007). According to the Ethiopian Constitution (Article 55:10), the House of People’s Representatives (HPR) “shall approve general policies and strategies of economic, social and development, and fiscal and monetary policy of the country...” This confirms the general view that Parliament seldom initiates legislation. Instead its role is largely confined to “rubber stamping,” modifying, or occasionally delaying legislation handed down to it from the executive.

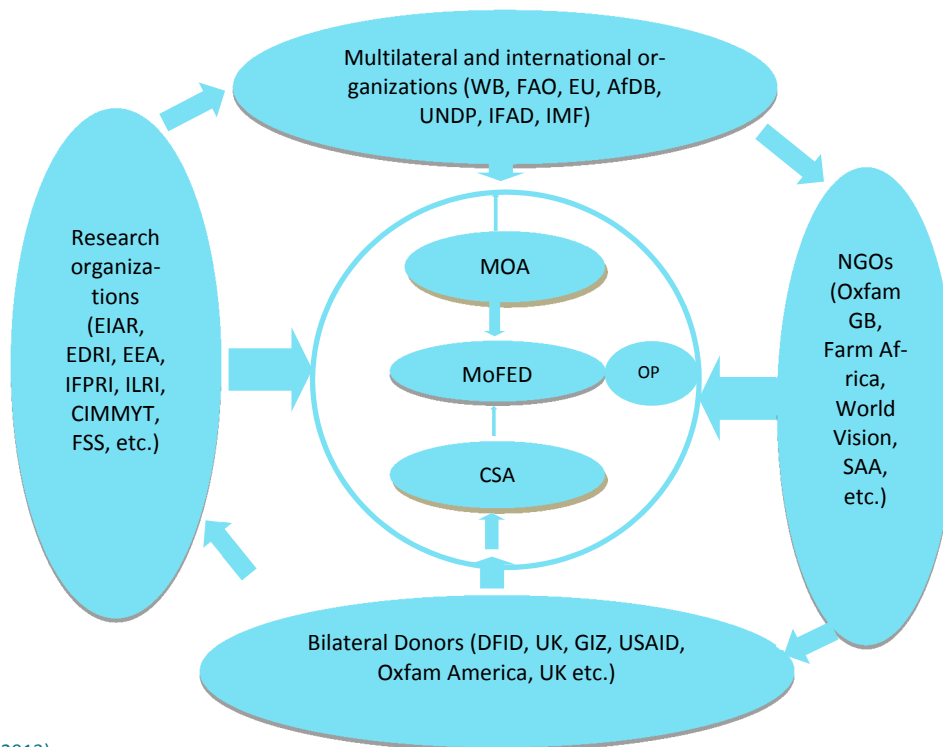
Among the Cabinet members of the PM, the minister of finance and economic development is very powerful in policy formulation as MOFED is the focal institution for the national policy processes such as the PRSP, PASDEP, and GTP. By increasing the role played by MoFED, the role of the other cabinet ministers (for example, the Minister of Agriculture) in the policymaking process has diminished in recent years (Amdissa 2007). They are leaders in the implementation of sectoral policies within and perhaps act as a conduit for policy ideas from outside government. MoFED formulates macro policies while line ministries such as MoA formulate sectoral policies (Future Agricultures 2010). This is the case in the formulation of PASDEP, GTP, and PIF, where the former are led by MoFED and the latter by MoA and CAADP. The Ethiopian MoA leads in formulating and drafting agriculture sector-specific policies such as seed, land, cooperative, and other specific policies under its respective directorates.

Ethiopia has adopted a federal system of administration in which regional autonomy is the underlying principle. This has been enhanced by the government’s commitment to the process of decentralization. In practice, however, each region adopts policies as they are and rarely adapts the policies and strategies initiated at the federal level.

### 3.3.3. Policy Influencers

Research organizations (such as EIAR, EDRI, and IFPRI), professional institutions (such as EEA and AESE), and universities play a major role in influencing policymaking in the Ethiopian agriculture sector. A range of nongovernment actors also attempt to influence policy, either as individuals or as elements of civil society, the private sector, the international financial institutions, or the donor community. However, key informants have reported that influencing policymaking in the Ethiopian agriculture sector is a rarely observed phenomenon and mostly hard to confirm. Research and professional institutions (EIAR, EEA, FSS, and IFPRI) produce and disseminate rigorous research outputs, and researchers and policymakers engage in policy debates in many workshops and conferences, but results of these engagements are not well coordinated or structured and are hardly reflected in policy design and formulation. It has been argued that the policy process and outcome in Ethiopia are by no means straightforward as the policy debates are often limited to a narrow predetermined agenda, and the government has a stronghold over the policy process and virtually claims ownership of the outcome. Nevertheless, encouraging development is being observed recently as key informants, particularly from research institutions, have reported that their inputs are being incorporated into the development of recent strategies such as during the PIF and in its annual review.

**FIGURE 6 SCHEMATIC REPRESENTATION OF AGRICULTURAL POLICYMAKERS AND INFLUENCERS AND THEIR INTERACTION**



Source: CNA survey (2013).

### 3.4. Linkages between Agricultural Policy Players in Ethiopia

To understand the linkage between policy players in the agriculture sector, this study has attempted to assess the interaction among organizations involved in the sector with respect to demand and supply of information and policy analysis results and their role and influence in the policy process. This study found that although there is a link between organizations in different aspects, strength of the link is highly affected by lack of a coordinated and structured relationship between them. Systematic information systems are lacking, as well as coordinated data management and sharing mechanisms, which challenges organizations involved in the Ethiopian agriculture sector and, as a result, affects their links and their relationships.

As is clearly seen from Figure 6, there is a link between government organizations such as MoA, MoFED, and CSA and research institutions. Research institutions have strong links in the policy process, but these links are mainly one way, reflecting supply of knowledge and research outputs from research organizations but lacking a strong demand for policy analysis results and feedback mechanisms. Donors' links with government organizations are also relatively strong through their funding and other technical support, and sometimes donors take the lead in initiating policies. Nongovernmental organizations' links and influence in the agricultural policy process are mostly indirect through their agricultural program implementation.

The CSA is the main source of agricultural data to MoFED, MoA, and other organizations. And MoFED and MoA also use the data, information, and expertise of the research centers that include government and nongovernment research centers like EIAR, EDRI, IFPRI, EEA/EPRI, International Wheat and Maize Research Center (CIMMYT), and International Livestock Research Institute (ILRI), making the policy formulation research based. Recently, there is an encouraging trend in this regard as the research centers have started to contribute to government policy and program design like the recent works of IFPRI's Ethiopia Strategic Support Programme (ESSP) I and II and EEA/EPRI's agricultural extension assessments. The ESSP is a collaborative program between the EDRI and IFPRI and aggressively works on policy analysis and research capacity building. For instance, ESSP, in collaboration with EDRI, has provided timely input to exchange rate and wheat price policy formulation. Its analysis of growth and poverty implications of agricultural investments contributed to the CAADP process. Moreover, ESSP II also facilitates the impact evaluation of major rural investment programs, the PSNP, and the Agricultural Growth Program (AGP).<sup>3</sup>

International actors, particularly the WB, the International Monetary Fund (IMF), and bilateral donors, exercise influence on Ethiopian agricultural policymaking. The SDPRP is an example of a process in which the government was "forced" to repackage its existing poverty-oriented policies to meet the requirements of the financial institutions (Amdissa 2007). During the PASDEP and GTP formulation, the role of the WB and United Nations (UN) agencies is more significant than that of others. Bilateral donors and UN agencies are also active in their attempts to influence policies through DAG, which is in regular contact with the government on the policy process particularly the PRSP, PASDEP, and GTP. DAG is made up of a range of development partners, like the WB and UNDP, which are in constant engagement with the government to examine and refine particularly the policy matrix of government strategic documents. Other donors include bilateral agencies such as Swedish International Development Authority (SIDA), Canadian International Development Agency (CIDA), United States Agency for International Development (USAID), UK Department for International Development (DFID), Oxfam, Norwegian Agency for Development Cooperation, Japan International Cooperation Agency, and German Society for International Cooperation. These institutions and others have country programs for Ethiopia, including support for agriculture. They have

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<sup>3</sup> <http://www.ifpri.org/sites/default/files/esspbro.pdf>

links with the government and influence agricultural policies mainly through their financial and technical support in their agricultural program implementation.

NGOs and CSOs in Ethiopia have grown substantially since the end of the Derg regime. However, they have an uneasy relationship with the government. The lengthy registration process and the stringent regulations under which they operate have put considerable limitations on their role as policy influencers. Networks of NGOs and CSOs such as CRDA and Poverty Action Network in Ethiopia (PANE), however, have played a role in the preparation and monitoring of the SDPRP and in the PASDEP. As of February 2009, there were about 350 NGOs, of which 99 (28 percent) are international NGOs (INGOs) registered to operate under CRDA (an umbrella organization). Areas of intervention include food security, rural and urban development, health, HIV/AIDS, education, water and sanitation, infrastructure, good governance, environmental protection, and civic education. The new CSO law (Proclamation No. 621/2009) stipulates areas allowable for NGO interventions, and all supports to agricultural development are legal.

The private sector in Ethiopia is in its infancy, and its role as policy influencer is rather limited. According to one of the key informants, the exception is the Chamber of Commerce, which has had some success in lobbying for an improved, enabling environment for business. Labor unions (including farmer associations) have a weak history of influencing policy in Ethiopia. Under both the Derg and EPRDF, the farmer associations and labor unions remain policy implementers rather than influencers.

### 3.5. Mapping the Policy Process in Ethiopia

Some literature and government documents (for example, the PASDEP and GTP documents) argue that the policy process in Ethiopia, starting from its formulation to analysis and implementation, actively involves stakeholders. On the other hand, others (for example, Amdissa 2007; Taye 2008; Future Agricultures 2010) argue that the policy process lacks active involvement of stakeholders, particularly civil society, the private sector, community and research centers, and universities. This study, through interviewing key informants, has gotten mixed result since interviewed government officials tend to support the former and key informants from research centers, the private sector, and donors tend to agree with the latter. Particularly at the policy formulation stage—though government documents (for example, the GTP) and government officials claim participation of the community and civil society organizations—only nominal stakeholder involvement is noticed while government plays a major role. Amdissa (2007) also noted that policymaking in Ethiopia is predominantly a government domain with limited participation from the private sector, CSOs/NGOs, farmers' institutions, and other stakeholders. Urban dwellers participated in a limited capacity only in the GTP (Future Agricultures 2010). According to key informants, stakeholder participation is improving these days in regard to formulating recent agricultural policies and strategies.

Further, policymaking in Ethiopia uses limited input from rigorous studies and workshop results. Policy analysis, which rarely is done as there is no real demand for it, and rigorous research results are seldom used as an input in policymaking in the Ethiopian agriculture sector. This study further indicated that on average about two workshops are undertaken per year per organization, and an organization participates in about four workshops and seminars per year. These workshops and seminars are a good venue for sharing knowledge and information related to policy issues and program implementations, although there is no structured way to capture, synthesize, and channel results of these events to influence policymaking in Ethiopia.

Figure 7 indicates the level of different stakeholders' involvement in macro- and micro-level (sectoral level such as agricultural) policy process from policy formulation to analysis and implementation. The basic idea behind the diagram is the level of interaction and linkage among government institutions, donors, civil society organizations, and private sectors at both

the macro- and micro-level (as shown by the thickness of the arrows) in agricultural policy formulation and policy assessment. The linkage in the policy process is not very strong particularly among the sectors (government, civil society, donors, and private sectors). Relatively better linkage is observed among actors within each sector.

Institutions within the government sector are better linked, relatively, to each other in the policy process. As stated in section 3.1, MoFED plays a central role in policy formulation, implementation, and analysis of broad-based policies and strategies in the country. The MoA plays a vital role in providing technical expertise to MoFED for policy formulation, and the CSA provides the required agricultural data and information. Though used minimally, universities and agriculture research centers provide data and information for policy formulation and analysis.

To synergize the efforts of public, private, and civil society organizations working on agriculture development in the country, Ethiopian ATA was established in 2010. ATA is mandated to

- lead problem-solving efforts—in collaboration with the MoA, the Ethiopian Agricultural Research Institute, and regional, private sector, and civil society partners—to facilitate the identification of systemic bottlenecks in priority areas and to develop national strategies and solutions to address them;
- support implementation of identified solutions by providing project management, technical assistance, and knowledge sharing to implementing partners;
- support the capacity building of the MoA and partners at the federal, regional, and local levels in order to make measurable and sustainable improvements within prioritized program areas using tested approaches of program delivery; and
- strengthen linkages and coordination among stakeholders to reduce duplication and inefficiency while enhancing accountability mechanisms in order to reach agreed upon milestones and objectives that transform the agriculture sector and lead to middle-income country status.<sup>4</sup>

Civil society organizations in Ethiopia formed various associations and networks with the aim of pulling their efforts together and learning from each other. The status of such associations and networks could indicate the strength of the linkage among member CSOs. PANE and Consortium of Christian Relief and Development Association (CCRDA) are the two major umbrella organizations for CSOs operating in the country. However, capacity constraints and limited networking practice and coordination among CSOs are still the most critical gaps and challenges (Debebe 2012).

CCRDA provides technical, financial, and material support to development projects for more than 300 member CSOs. CCRDA serves as a focal point for dialogue among members and between members, the government, and other development partners on policy issues. It also endeavors to familiarize its members with key national and international policy papers and actions—for example, the PASDEP, New Partnership for Africa’s Development (NEPAD), and Millennium Development Goals (MDGs)—to articulate the role and contribution of NGOs in the implementation of such policies.<sup>5</sup> More specifically, the Food Security and Environment Forum established by CCRDA engages in policy dialogue and advocacy to influence the identified gaps in the implementation of food security- and environment-related policies (CCRDA 2013).

PANE is a consortium of both Ethiopian residents and foreign charities engaged in achieving Poverty Reduction and Sustainable Development, the MDGs, and the GTP. PANE currently has more than 59 member CSOs. PANE strives to effect a strong

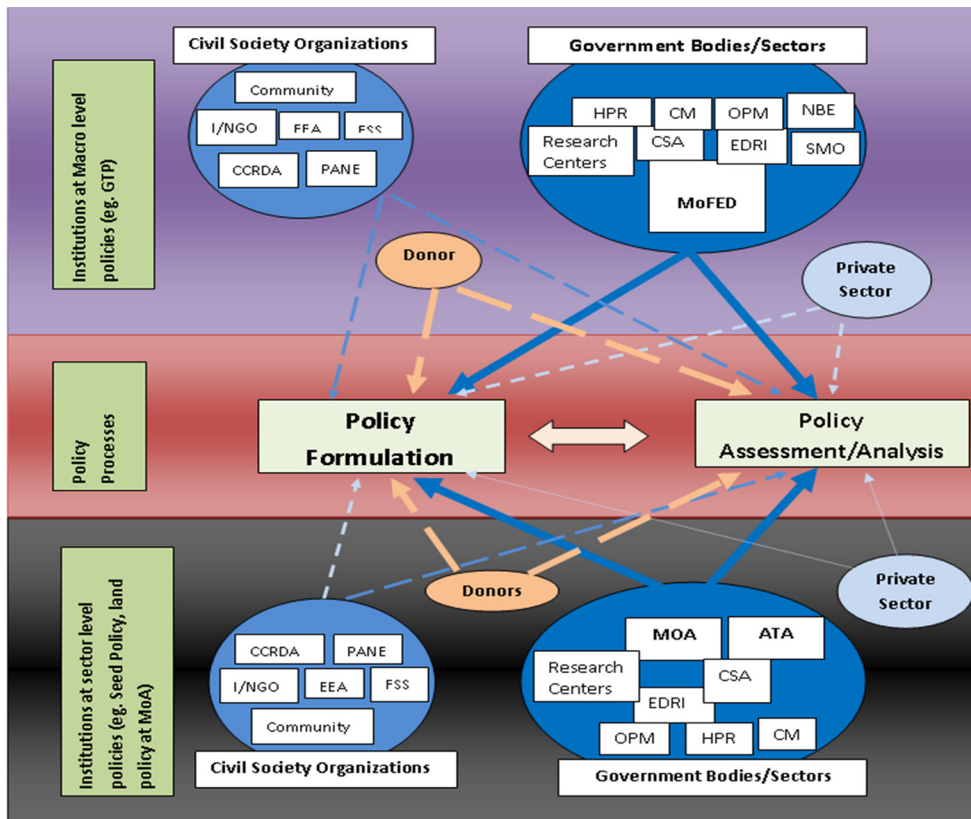
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<sup>4</sup> <http://www.ata.gov.et/about/our-mandate/>

<sup>5</sup> <http://www.crdaethiopia.org/aboutCRDA.php>

and specialized network in order to facilitate the proactive and continuous involvement of civil society in the design, implementation, and M&E of poverty reduction programs and strategies for bringing sustainable development in Ethiopia.<sup>6</sup>

**FIGURE 7 MAPPING THE POLICY PROCESS IN ETHIOPIA**



Source: CNA survey (2013).

Concerning the evidence-based policymaking process in the country, the role of nonstate actors seems limited, but recently some positive developments have been noticed as policymaking in the country started using research findings. The EEA and EDRI reported that evidence from their publications was used indirectly by the government to develop policy, strategy, and programs for food and agriculture. For instance, even though it is not acknowledged and cited in the government document, “Growth and Transformation Plan,” the agriculture sector seems to benefit from what EEA published previously in its 2004–2005 annual report on the Ethiopian economy—“Transformation of the Ethiopian Agriculture: Potentials, Constraints and Suggested Intervention Measures.” EEA and EDRI at times receive requests to provide policy advice on food- and agriculture-related issues. Moreover, both organizations have directly and indirectly been involved in the development of food- and agriculture-related policy/strategies documents in the past 5 years. A different situation, however, was reported by the Forum for Social Studies (FSS), which claims that it has neither played a specific role nor received a request to provide advice or to be involved in the development of any food- and agriculture-related policy/strategy in the past 5 years. By the same

<sup>6</sup> <http://www.pane.org.et/>

token, neither any policy/strategy nor any program/project for food and agriculture were developed using FSS research and analytical products.

Donors such as the FAO and the WB have a tremendous role on food security- and agriculture-related policy process. This is because influencing food security and agricultural policies formulation and implementation is one of their mandates. Even though they still have gaps in fully engaging in policy process, they take part in the most important parts of the process. They provide technical support in the process of policy formulation particularly for MoA. They played a leading role in the development of PIF, Seed Policy, and the CAADP-Ethiopian component, and they also contributed in the current development plan, the GTP.

During in-depth interviews and discussions with key informants at organizations, the interviewees stressed the following points concerning leadership, particularly in government policymaking:

- Responsiveness of the political leadership was not timely. For example, the government takes a long time to make policy adjustments.
- There is a lack of incentive and encouragement for CSOs to participate in the policy process; rather the government considers most CSOs (particularly CSOs engaged in research and think tanks) as a threat with a hidden agenda of opposition to political parties. Therefore, the government has rarely created room for policy dialogue with CSOs and has ignored input from CSOs. Additionally, there is lack of a clear and firm recognition of the role of civil society within the policy development and monitoring process (Debebe 2012). The case is worse for agriculture sector-specific policies such as seed policy, land policy, and cooperative policy, in which the participation of CSOs in the process is very limited.

Recently, however, there is an encouraging change in government responsiveness in the policy process. The level of CSOs' participation in policy process has relatively improved, for example, in the formulation of the GTP. CSOs like PANE and CCRDA were engaged in creating awareness regarding the country development strategies such as PASDEP and GTP by organizing consultation workshops at all levels of the country and by publishing and disseminating popular transcripts in different local languages (Debebe 2012). Recent phenomena seem encouraging since there is more room for stakeholders' involvement in the agricultural policy process. Although encouraged by this improvement, key informants emphasized that there is still a lot to be done. Thus, the partnership among the government, CSOs, and other stakeholders needs to be strengthened to create a conducive policy environment that enables stakeholders to contribute to the country agricultural policy process and investment planning.

### 3.6. Policy Analysis

In Ethiopia, policy analysis is mainly deployed in the public sector with limited involvement of other organizations, particularly nonstate actors. The major institutions identified in performing policy analysis using economy-wide models are the National Bank of Ethiopia (NBE), MoFED, EEA, EDRI, and IFPRI (Ahmed 2005). The government of Ethiopia has mandated these institutions to carry out the policy analysis in their mission and objectives. The various economy-wide models at the first three institutions are basically macroeconomic models that are needed as instruments for short-term business cycle analysis and forecasts. The model in the EDRI is the structural economy-wide model used to analyze the aggregate as well as distributional impacts of a policy or combination of policies (Ahmed 2005). The structural economy-wide model at EDRI was set up with the objective of developing analytical capability to support economy-wide policy analysis in the country. Accordingly, the project has aimed at institutionalizing the entire process of model building and policy analysis, starting from data production at the CSA to the National Accounts department at MoFED, which will construct and update the



national Input/Output and Social Accounting Models and will continue the process all the way through the building of Computable General Equilibrium (CGE) and econometric models by the macroeconomic policy and management department of MoFED, which is currently entrusted to construct such models in Ethiopia. Other users, such as the welfare monitoring units and planning departments at MoFED, the National Bank and other government ministries, and research institutions in the country, can use such models for policy analysis purposes (Ahmed 2005).

EDRI is one of the institutions established with the objective of conducting economic research and policy analysis that may have actual or potential relevance to policymaking, implementation, and filling of knowledge gaps. Over and above this, EDRI aims to complement the efforts of state and nonstate institutions in building their policy analysis capacity through short- and long-term training opportunities and knowledge dissemination. For this reason, EDRI is working in close partnership with international and national organizations such as EEA, EIAR, AAU CSA, MoT, Ministry of Industry (Mol), MoA, MoFED, NBE, and various universities in the country.

Since its establishment, EDRI has been engaged in

- macroeconomic research for policy and strategy analysis,
- research and policy analysis on agriculture and rural development, and
- research in poverty and sectoral development.

The NBE also has the duty to conduct periodic economic studies and make forecasts of the balance of payments, money supply, prices, and other relevant statistical indicators of the Ethiopian economy that would be useful for analysis and for the formulation and determination of monetary, saving, and exchange rate policies.

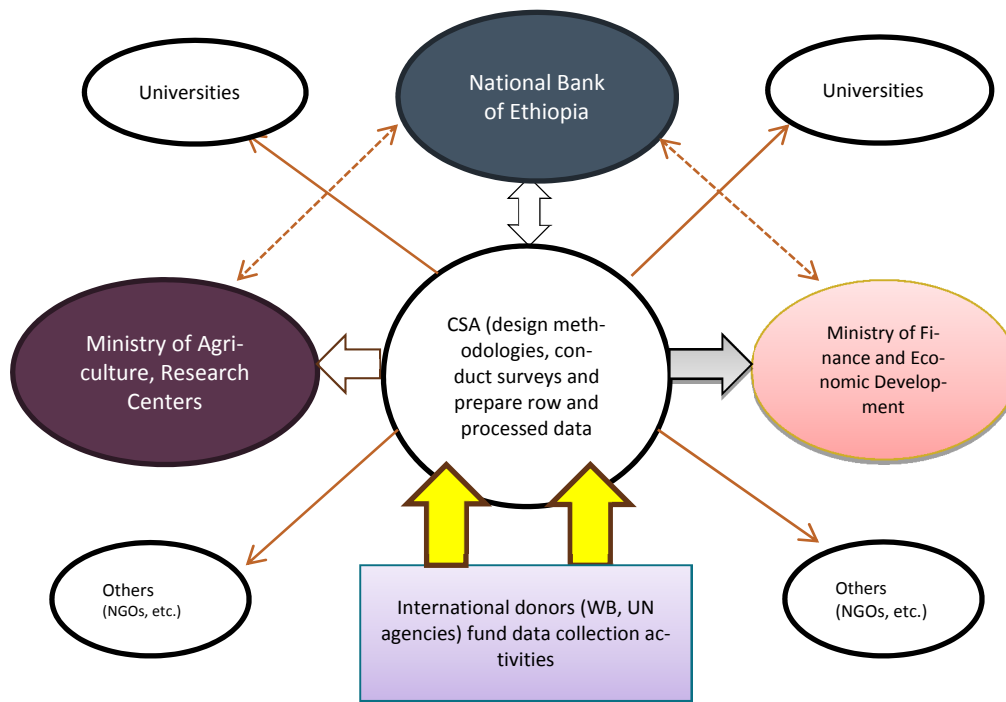
Further, assessing organizations' engagement in agricultural research and policy analysis, this study noted that EDRI is mostly engaged in research and policy analysis, which take about 80 percent of the staff time, while knowledge management accounts for 10 percent, M&E for five percent, and teaching and training for five percent. Since 2010, EDRI has produced 14 agricultural research projects (policy related), out of which six were developed using its own communication strategy; however, it is hard to confirm whether these research reports are being used by the government in agricultural policymaking. Similarly, in EEA, 60 percent of professional staff time is spent on "research, strategic policy analysis and investment planning," and 10 percent on program management, M&E, and other activities. The remaining 30 percent of staff time is used for knowledge management, data system development, and information sharing activities. Researchers in FSS also spend 60 percent of their time on research, strategic policy analysis, and investment planning; 15 percent of their time on program management and M&E; 15 percent on knowledge management, data system development, and information sharing; and 10 percent of staff time on leadership and management. In FSS, about 20 percent of professional staff time is spent on policy advocacy in the food and agriculture sector out of the overall share of time dedicated to advocacy work. The number of projects undertaken by EEA is large (eight) compared to that of FSS, which managed to do only one.

Generally, agricultural policy analysis in Ethiopia faces the following challenges: (1) inadequate capacity in government ministries and research institutions to analyze the economy-wide effects of policies, (2) a very small pool of qualified agricultural economists working in the agriculture sector in Ethiopia, and (3) an institutional environment in government institutions where a continuous series of short-term needs chronically distract from capacity-building objectives.

### 3.7. Demand and Use of Policy Analysis Results

The flow of data and information among organizations involved in the policy process of the Ethiopian agriculture system is depicted in Figure 8 (thickness of arrows shows strength of the link). Figure 8 shows that information and data to guide the policy process, at times when policymaking tends to be evidence-based, mainly emanates from the Ethiopian CSA and from MoFED (for processed data on GDP, value addition of sectors, etc.). Except raw and processed data from these two organizations, however, this study noticed that supply of information, knowledge, and policy analysis results are not organized and structured well. Research organizations are mostly busy with undertaking their own rigorous research and policy analysis, which is rarely presented at workshops and seminars. The demand for policy analysis from policymakers is mostly not direct and explicit enough to encourage research centers and universities to engage in policy analysis and share findings to major stakeholders. A recent trend shows improvement in this aspect as research organizations (for example, EEA and EDRI) are being requested by the government, though infrequently and unstructured, for some policy analysis/results and inputs. Figure 8 depicts the link between organizations with respect to information and knowledge flow in the Ethiopia agricultural policy process—particularly of demand and supply of policy analysis results.

**FIGURE 8 DATA AND INFORMATION FLOW IN THE ETHIOPIAN AGRICULTURE SECTOR**



Source: CNA Survey (2013).

The arrows in Figure 8 show the level of strength of the linkage between institutions. For instance, broken arrows show weak linkage, whereas full and wide arrows indicate that strong linkage exists. For example, there is relatively a formal and strong linkage between CSA and MoFED, while there is weak linkage between NBE and MoA in regard to data and information flow. Even, data flow between CSA and MoA is not that strong and formal as the two agents report completely different values on the same indicator on several occasions.

There are some strengths in data generation and sharing (particularly of CSA) and data processing (MoFED, NBE, and research centers), but there are structural weakness in integrating data and information generation, documentation, and flow between organizations. Hence, this study suggests (1) establishing a formal link among organizations to integrate their data and information generation, documentation, and sharing mechanism and (2) designing a coordinated data and information management system that will allow organizations to access any information important for their activities and avoid duplication of effort.

### 3.8. Capacity Constraints in the Agricultural Policy Process

Capacity constraint to undertake policy studies and analysis is one of the major challenges in the Ethiopian agriculture sector (Table 4). About 60 percent of the organizations involved in this study have reported that they either do not have food and policy analysis researchers or the researchers are not directly involved in policy studies. In organizations such as the EIAR and EEA, where there are at least 10 food and policy researchers, lack of real demand for policy studies from the government was cited as the major challenge. Lack of statistical software packages that help to do rigorous analysis and lack of human resources, particularly specialized in a required field of study (such as economic policy analysis and agriculture- and food policy- related areas) were the other major problems constraining the policy process in Ethiopia. Furthermore, the policy process is challenged by the lack of capacity of institutions in knowledge sharing (that is, publication and dissemination), a poor collaborative research culture, the lack of follow up of policy implementation strategies, and financial constraints (mainly professional institutions) to conduct periodic forums and produce policy briefs (see Box -3).

**TABLE 4 MAJOR CAPACITY CHALLENGES IN RESEARCH AND STRATEGIC POLICY ANALYSIS IN SELECTED ORGANIZATIONS**

Name of organization	Major capacity constraints related to research and policy analysis
Ministry of Agriculture	Inadequate human resource with expertise in policy analysis and research Lack of systematic data management system Lack of statistical software packages
Ethiopian Institute of Agricultural Research	Lack of collaborative research culture between researchers and institutions Financial constraints Lack of proprietary statistical software packages
Forum for Social Studies	Inadequate human resource Shortage of finances Lack of computers
Ethiopian Economics Association	Lack of collaborative research for easy access to current information and knowledge Funding challenges
Agricultural Economics Society of Ethiopia	Serious finance problem to undertake research, organize workshops, and produce proceedings and policy briefs Lack of human resources

Source: CNA Survey (2013).

### BOX 3 MAJOR CHALLENGES IN RESEARCH AND STRATEGIC POLICY ANALYSIS: THE CASE OF HARAMAYA UNIVERSITY COLLEGE OF AGRICULTURE AND ENVIRONMENTAL SCIENCES

- Unsatisfactory community linkages: problem in addressing the wider community on a large scale and with a diversified approach.
- Poor integration and continuity of research activities: Research is inadequately demand-driven, integrated, engaging, and innovative, and lacks continuity. Occasionally, there are duplications of efforts in graduate research.
- High staff turnover: Poor motivation and incentive schemes, absence of merit-based reward system, poor staff services and the location disadvantage of the university are the major impediments to attracting and retaining qualified academic staff. There are no clear reward and incentive systems for staff members who perform at high levels and served for long periods persistently in teaching, research, and community engagements.
- Inadequate self-promotion and partnership: poor maintenance of existing partnerships, promotion, communication, and linkage with partner universities both domestic and foreign; a limited number of development partnerships within country and abroad, and interruption of available one.
- Inadequate facilities: insufficient offices, classrooms, laboratory equipment, consumables, and space problems to conduct research
- Poor management and utilization of facilities: researches without sufficient facilities; poor management in use of consumables, and poor handling and maintenance of properties
- Poor system of coordination and leadership: improper utilization of human resources, insufficient accountability among some leaders and staff, poor initiative and inspiration, communication gap, and lack of clear system for delegation and setting responsibility.
- Inefficient planning, monitoring, and evaluation practices: poor culture of planning, M&E in academics, research, and community engagement.

Source: CAN Survey (2013).

In the Ethiopian agriculture sector, there is noticeable lack of coordination among organizations involved in agricultural policy formulation, analysis, and implementation. Lack of incentive and motivation of organizations for coordination was reported to be the major reason. The ATA is mandated primarily to play the coordination role in the sector. However, more than identifying and crafting a common goal to coordinate organizations' activities in the sector, the clearer challenge is to identify and design a motivation/incentive mechanism and a means to bring organizations together and integrate their activities in a systematic way that realistically could lead to the betterment of the agriculture sector.

In addition to lack of coordination among organizations involved in the agricultural policy process, poor internal coordination and linkage among departments within each organization was also reported as a challenge. Poor internal coordination, which could mainly be due to lack of smooth and continuous flow of information and knowledge between departments and directorates within an organization, leads to loss of efficiency and effectiveness in an organization. This has been clearly observed in the link between PPD and other directorates of the MoA and Bureau of Agriculture (BoA). Linkage and interaction between PPD and other directorates are not well formalized, using only informal contacts of personal relationships between individuals and lacking systematic arrangements for coordination and collaboration with MoA directorates as well as regional offices. Data, information, and knowledge exchange, when it exists, is only informal and unstructured.

All in all, the main challenges and opportunities in the agricultural policy formulation and process in Ethiopia relate to the following:

## Challenges

- Top-down approach and failure to benefit from wider consultation at the grassroots (Adenew 2010; Future Agricultures 2010).
- Failure to consider reality on the ground: the diverse agrological zone of the country, high population growth, pressure on natural resources, land size, and so forth (Adenew 2010; Future Agricultures 2010).
- Limited capacity/inadequate use of capacity within the public institutions (MoA, MoFED, and EIAR) for policy analysis and impact monitoring of economic and social sectors.
- Lack of evidence in the policymaking process. Although, some (about four) key informants think that CSA data are being used in some of the policies. But still, they concur that much needs to be done to improve the reliability and quality of data from the CSA.
- Research institutions' involvement limited mainly to policy dialogue. However, there are some improvements, recently—involving researchers in policy process—though on an ad hoc basis.
- Poor data management systems, which are worse in public organizations covered in this study, as well as a lack of structured and coordinated data, information, and knowledge management systems.
- Absence of publications about periodic agricultural trends and outlook.
- Lack of forum for debate among the various stakeholders to inform policymaking.
- Weak linkage between organizations in information flow, sharing of knowledge products, and demand and supply of policy analysis results.

## Opportunities

- The political commandment and commitment of the government to the development of the agricultural sector.
- Active and leading role by the government in international and regional initiatives such as Group of Eight (G8), Common Market for Eastern and Southern Africa (COMESA), NEPAD, and regional partnership and strategies such as CAADP.
- Involvement of nonstate actors such as DAG in the policy process.
- Role being played by the ATA in coordinating organizations involved in the agriculture sector. One of the mandates of ATA is to strengthen linkages and coordination among stakeholders and to reduce duplication and inefficiency. ATA's implementation support program also involves building local capacities, which, if streamlined and integrated with different initiatives (for example, SAKSS), could sustain coordination in the policy process of the agriculture sector.
- Uncoordinated expertise (human resources) and sources of information, which, if coordinated, could contribute a lot to the policy process in the sector.
- Coordination and facilitation role being played by RED&FS.
- Existence of some initiatives—for example, Ethiopian Agricultural Portal (EAP)—that help to build systematic knowledge management and sharing in the Ethiopian agriculture sector.

## 4. CAPACITY ASSESSMENT RESULTS

### 4.1. Capacity Needs Assessment at the Individual Level

At the individual level, the CNA looked at education, skills, training, and incentive mechanisms for human resources in the selected organization. With respect to level of education in government organizations (MoFED, MoA, and CSA), staff members, on average, have Bachelor of Art (BA) or Bachelor of Science (BS) degrees in their respective field of study. On the other hand, in research organizations (like EDRI, EIAR, and FSS) and professional associations (like EEA and AESE) staff members have a master's degree or higher. In general, in the organizations covered in this study, about 28 percent of professionals are PhD holders, 42 percent have a Master of Science (MS) degree, and 30 percent of them are BS degree holders. In research organizations and universities, there are relatively highly qualified professionals, economists, and agricultural economists working on agriculture and food policy research. For instance, in EIAR's Socioeconomic Research and Extension Division, there are about five PhD holders, 33 in AAU-CDS, and 44 in Haramaya University College of Agriculture and Environmental Sciences. Similarly, EDRI has two PhD holders and eight MS-level experts working as researchers and policy analysts. Whereas in MoA, MoFED, and CSA less than 20 percent have a MS degree: one staff member in PPD of MoA, nine in the Macroeconomic Policy and Management Directorate and Development Planning and Research Directorate (ME&PD) of MoFED, and five in the Agriculture Directorate of CSA. The other 80 percent of staff members (nine in PPD, 29 in ME&PD, and 19 in CSA) have BS degrees.

In government organizations (such as CSA and MoA) the benefits, primarily in terms of salary, are too low to attract higher-level (PhD and MS holders) professionals; monthly basic salary is only about US\$80 for junior professionals and from US\$220 to US\$300 for top positions, including heads of directorates. This generally shows that where there are lower benefits and incentives, such as in government organizations, there is a higher challenge to retain professionals, particularly of those with MS degrees and above—almost all key informants reported this as the most serious problem. Nongovernment research centers, on the other hand, could generally attract and retain researchers with MS degrees and above. This finding suggests organizations, both state and nonstate, should coordinate by creating a forum to share both expertise and information that will help to transform the Ethiopian agriculture sector.

Table 5 indicates the high level of gender disparity, which implies a need for focused and gender-based capacity development interventions both from the government and other development actors in the agriculture sector.

**TABLE 5 NUMBER OF PROFESSIONALS WITH LEVEL OF EDUCATION BY GENDER**

Organization and relevant directorates and departments	Number of professionals with education level					
	PhD		MS		BS/BA	
	M	F	M	F	M	F
Ministry of Agriculture–Planning and Programme Directorate	-	-	-	1	7	2
Ministry of Finance and Economic Development–Macroeconomic Policy and Management Directorate and Development Planning and Research Directorate	-	-	8	1	24	5
Ethiopian Institute of Agricultural Research–Research and Socioeconomic division	5	-	5	2	16	2
Central Statistics Agency–Agriculture Directorate	-	-	5	-	17	2
Ethiopian Economics Association	2	-	-	-	-	-
Forum for Social Studies	3	-	1	1	1	1
Ethiopian Development Research Institute	2	-	5	3	-	-
Addis Ababa University Center for Development Studies	26	7	11	7	-	-
Haramaya University–College of Agriculture and Environmental Sciences	43	1	74	10	15	3
<b>Total</b>	<b>81</b>	<b>8</b>	<b>109</b>	<b>25</b>	<b>80</b>	<b>15</b>

Source: CNA survey (2013).

In terms of age, the average age of professionals in the interviewed organizations is 45, ranging from as low as 23 in CSA to older than 60 in FSS. In CSA (Agriculture Directorate), the average age is 37. Whereas, in FSS and EEA, except 1 MS-level staff member who is less than 30 years old and 1 PhD in the same organization who is older than 60, the other staff members are between 30 and 60 years old—that is 2 are in 31–40 age group, 2 are in 41–50 age group, and 1 is in 51–60 age group (Table 6).

**TABLE 6 NUMBER OF PROFESSIONALS BY AGE GROUP IN SELECTED ORGANIZATIONS**

Organization	Number of professionals by age group				
	<30	31-40	41-50	50-60	>60
Ministry of Agriculture–Planning and Programme Directorate	5	1	3	1	-
Central Statistics Agency–Agriculture Directorate	11	6	3	3	-
Ministry of Finance and Economic Directorate–Macroeconomic Policy and Planning and Research Directorate	20	6	8	8	-
Ethiopian Economics Association	-	-	2	-	-
Forum for Social Studies	1	2	-	1	1
Ethiopian Development Research Institute–Agriculture and Rural Development	5	2	3	-	-
Addis Ababa University Center for Development Studies	16	19	16	2	-
Haramaya University College of Agriculture and Environmental Sciences	17	85	35	9	-

Source: CNA survey (2013).

This study also attempted to gather information with regard to training and training gaps/needs, and generally indicated that there is a training gap with respect to M&E and policy analysis. Particularly at the research centers and universities, there is a high training demand with respect to the use of advanced analytical techniques and the use of advanced software packages such as GAMs, N Vivo, Atlas Ti, and arc-GIS. In the government organizations, there are training needs in areas related to policy analysis, result-based M&E, and data management techniques.

What is a paradox is that there appears to be various training opportunities provided to staff members in organizations, particularly in the MoA, MoFED, EDRI, and CSA, but trained staff members leave their jobs quite soon, sometimes even within months, making the challenge complicated. Staff members may be trained in areas that are deemed to be crucial for the operation of the organization, but turnover frequently, making it difficult for organizations to design a sustainable system to improve performance of operation.

## 4.2. Capacity Needs Assessment at the Organization Level

### 4.2.1. Physical Resources

In most of the selected organizations, given the existing number of staff members, there seem to be adequate physical resources (computers, connectivity, and physical space). There is, however, poor use of statistical software in organizations like MoA, whereas there is relatively better use in EIAR, EEA, EDRI, and CSA of software (though mostly pirated). For instance, in the MoA, each professional staff has access to computers and has enough working space. However, the use of statistical and data management software packages, particularly at the PPD is very low. At the EDRI and EIAR, use of statistical software packages is better. In EDRI, out of 10 total staff members in EDRI nine use STATA, seven of them use SPSS, and all of them use MS-Excel, while only four use both E-views and GAMs. Similarly, in EIAR’s Socioeconomics Research and Extension Directorate/Division, almost all professional staff members (about 12) who are active in research use econometric/statistical software like STATA, E-views, SPSS, and SAS. Most of the software packages, however, are either personally owned or pirated (Table 7).

**TABLE 7 USE OF STATISTICAL SOFTWARE PACKAGE**

Organization	% of staff using statistical software packages such as GAMs, Stats, SPSS, etc.
Ethiopian Institute of Agricultural Research—Research and Socioeconomics Division	95
Ministry of Agriculture Planning and Programme Directorate	45
Central Statistics Agency—Agriculture Directorate	88
Ministry of Finance and Economic Directorate—Planning and Macroeconomic Directorates	-
Ethiopian Economics Association	100
Forum for Social Studies	-
Ethiopian Development Research Institute	100
Addis Ababa University Center for Development Studies	87
Haramaya University College of Agriculture and Environmental Sciences	62

Source: CNA survey (2013).



In EEA, statistical analysis software packages such as STATA, SPSS, SAS, GIS, and NVivo, are particularly used for agricultural research and policy analysis purposes; four reports were produced using STATA, SPSS, and Excel software in the past two 2 years (2010–2011). However, EEA is facing challenges in accessing proprietary and the latest software. Similarly, the staff of AAU mainly uses statistical software packages like STATA, SPSS, and E-views. In FSS, availability of physical resources and equipment such as computers, software (including statistical and analytical software), vehicles, and office space specifically to use for food and agricultural policy research/analysis seems to be a major constraint.

#### 4.2.2. Financial Resources

Financial resources at the MoA and CSA do not seem to be a serious challenge as the organizations have different sources of funds. The main source of funds at the MoA in 2011 was from donors (accounting for about 58 percent of the total budget) and from the government (accounting for about 32 percent of the budget). But implementation capacity of the MoA needs to be strengthened to effectively utilize the budget. Similarly, EDRI seems secure financially in the short- to medium-time horizon. Since 2009, the total annual budget has increased from US\$94,444 to US\$138,880. However, this study could not get clear information regarding actual share of expenditures on food and agricultural policy research and analysis. In EEA, the total annual budget for 2011 was about US\$1.1 million, and about 88 percent of it was used during the year. The actual share of expenditures on food and agricultural policy research and analysis out of total organizational expenditure was only about 7 percent in 2011. In FSS, the total annual budget in 2011 was only US\$222,222 and the expenditure for the same year was also almost 100 percent. The actual share of expenditure on food and agricultural policy research and analysis was not available. However, for organizations such as EIAR and AESE, financial resources are a major constraint. The AESE—mainly responsible for creating forums for disseminating agricultural information and knowledge—faces a serious challenge with respect to getting funds to undertake its major activities such as organizing workshops and publishing journals and proceedings. Though it is not that extreme, the situation is similar in EIAR. In the EIAR Socioeconomic Research and Extension Division, for instance, the total annual budget in 2011 was only about US\$1.6 million, of which 100 percent was used. Eighty percent of the funds come from the government budget, while the remainder is from different sources, mainly donors.

#### 4.2.3. Human Resources

In most of the organizations covered in this study, lack of adequate human capacity was reported. Particularly, in the PPD of MoA, EAIR, and CSA, this problem is very serious as the qualification and level of education of the human resources in these organizations is not adequate to undertake advanced policy analysis, establish and run a functional M&E system, and manage and share knowledge products. This problem is also aggravated by the fact that there is very high staff turnover<sup>7</sup> in these organizations. For instance, at the Socioeconomics and Research Extension Division in the EAIR, there are only five PhD holders (35 percent), but 14 PhD staff members are required for the division.

The human resource capacity gap in terms of number of policy analysis experts shows that in the PPD, MoA, there is around a 30 percent gap (10 actual staff versus 14 required); in the EAIR Socioeconomic Research and Extension Directorate there is about a 57 percent gap (30 actual staff versus 47 required); and in the ME&PD of the MoFED there is about a 40 percent gap. The situation is similar in other organizations, although finding reliable data was a challenge, partly because of high fluctuation in the organizations' human resource gap due to higher staff turnover.

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<sup>7</sup> Very low staff benefits and incentives are the main reasons for staff turnover.

The study indicates that there is shortage of manpower trained in agricultural policy analysis and related subjects in the organizations involved in the agriculture sector (Table 5). However, the severity of this problem differs by organization. It is very serious in government organizations (that is, MoA, MoFED, and EIAR). EDRI has relatively limited high-profile staff in the area, whereas the situation for universities is different. For example, AAU–CDS has 51 staff members, of which 33 have PhDs and above. Moreover, in AAU, other departments like the School of Economics engage to some extent in research and policy analysis in agriculture through their collaborations with the European Union, World Bank, Gothenburg University, IFPRI, EDRI, MoFED, and others. The department alone has 11 PhD staff members and 10 MS-level staff members who engage in different areas of research, including agriculture policy research. Similarly EEA has one senior research fellow and one research fellow who are both at PhD-level and spend 90 percent of their total time on food and agriculture policy research and analysis. Whereas in FSS, out of the total time allocated for research, about 20 percent of the time is spent in food- and agriculture-related policy research and analysis.

#### **4.2.4. Staff Turnover and Motivation**

Staff turnover is a very critical challenge in almost all organizations; it is especially high in government ministries (MoA and MoFED, EIAR, and CSA), while it is relatively less serious in research organizations (like EDRI and IFPRI), universities, and NGOs. In the government organizations, on average, about 10 percent of staff members had left their jobs in 2011. In CSA, for instance, during the past six years around 30 percent (539 staff members) of the total staff had departed. Staff benefits—mainly salary and other incentive mechanisms—are the main reason for high turnover. In government organizations, staff salary, mainly for the professional staff, ranges from US\$80 to US\$320, per month.

Incentive mechanisms to motivate staff are one of the most important factors in encouraging staff to work diligently with creativity, enabling organizations to register high performance. However, staff motivation is reported to be very low in government ministries (for example, MoA, MoFED, EIAR, and CSA). In research organizations, though staffing is still a challenge, staff motivation and incentives are much better than in government organizations.

#### **4.2.5. Internal Coordination**

Internal structure of the organizations, particularly of the PPD of MoA, was also assessed to see integration and coordination of departments in the organizations. This study indicated that there is lack of systematic integration between the PPD of the MoA and other directorates in MoA (see 3.8). Further, it is also noted that there is poor collaboration between the PPD (MoA) with regional offices, which is a major constraint for smooth data flow and systematic M&E of the agriculture sector in Ethiopia.

### **4.3. Capacity Needs Assessment at the Policy Process / Enabling Environment**

Ethiopia has appropriate policies and strategies for the development of the agriculture sector, and relevant institutions are in place with clear mandates and responsibilities. Players/actors in the policy process have their own roles and responsibilities that they need to discharge for the development of the sector. But, the enabling environment in Ethiopia is challenged by several factors. One of the important factors is the lack of a smooth flow of information and knowledge, which is very crucial to the policy process and the enabling environment. However, in Ethiopia this is far from being practi-

cal as there is poor coordination for knowledge and information sharing among organizations. Although government policies and laws encourage access to and use of information, lack of a system and mechanism to organize, coordinate, and share information makes it a challenge for organizations to interact with each other and coordinate their activities. In Ethiopia, lack of a coordinated knowledge system, limits organizations' contributions in the Ethiopian agricultural policy analysis, M&E, and knowledge generation.

The EDRI, AAU, HU, EEA, MoFED, NBE, and EIAR are the main organizations involved in analytical research and policy analysis in the country. However, the use of research or analytical outputs from these institutions is hardly noticeable whether it has been used in the development of food and agricultural policies/strategies or food and agricultural programs/projects in the country. In this regard, however, EDRI (a semi-autonomous think tank engaged in research, policy analysis, and capacity building in research and policy analysis) seems to have a better policy influence than the other institutions. EDRI benefits from its linkages with government ministries and other institutions in undertaking its research and capacity development activities and easily disseminating its outputs. EDRI's main stakeholders are mostly government ministries, parliamentary groups, donors, academics, and research institutes that are primarily involved in agricultural research and policy process. Its strong link with these institutions allows EDRI to disseminate its research outputs and influence policy-makers. For instance, the organization has conducted three public consultations on food and agricultural issues in the last 2 years and also conducted two seminars and two workshops since 2010.

One of the reasons that enabled EDRI to better participate in research and policy analysis in Ethiopia, relative to others, is EDRI management is assisted by a Technical Advisory Committee (TAC) consisting of nine state and nonstate representatives including the state minister for MoA. These include state ministers like Ministry of Trade and Industry (MoTI), agriculture, finance and economic development, and director generals like CSA and Ethiopian Institute of agricultural Research, and NBE. In addition to these state ministers and directors, the director of the Association of Ethiopian Microfinance and President of Ethiopian Chamber of Commerce are members of TAC. The TAC is responsible for the overall management of EDRI in addition to approving and initiating research and policy agendas. This has enabled EDRI to undertake demand-based research and policy analysis for the government of Ethiopia. This is a good precedence when arrangements in which representatives from all the relevant stakeholders of the sector come together so that better work can be done. In the same token, the idea behind SAKSS is to play a galvanizing role to bring on board major stakeholders in the agriculture sector to create capacity that none of the individual organizations have.

Other than EDRI, EEA, FSS, EIAR, and AESE, in order, are relatively better in linking with stakeholders and utilizing their linkage while undertaking research activities, policy analysis, and disseminating knowledge and information to wider audiences.

In addition to the TAC, which facilitates collaborative works with research centers, donors and universities, the UNDP's DAG also plays a role in the enabling environment through creating coordination among stakeholders. The DAG comprises 26 bilateral and multilateral development agencies providing assistance to Ethiopia. The DAG was established in 2001 with the goal of ensuring a more effective delivery and utilization of development assistance to Ethiopia. DAG actively works within the Paris Declaration framework of Aid Effectiveness and Harmonization to foster and catalyze policy dialogue and coordinate support in the preparation and M&E of the country's Poverty Reduction Strategy, and the universal MDGs. The day-to-day coordination of DAG is managed by a secretariat based within UNDP Ethiopia (<http://www.dagethiopia.org/>). The group provides and facilitates information flow (for official and nonofficial development assistance flow) between the development community of Ethiopia in almost all sectors including agriculture and rural development.

## 4.4. M&E and Knowledge Management in the Agriculture Sector: Role and Capacities of Organizations

### 4.4.1. M&E

The PPD, MoA is the major organization responsible for M&E and knowledge management in the agriculture sector, at least at the MoA level. EIAR and MoFED also have their own planning and research divisions/directorates, similarly, responsible for M&E of activities in the respective organizations. However, this assessment discovered that there is no systematic M&E system in the Ethiopian agriculture sector that allows for periodic program and project revision and learning at the sectoral level. Although reviews of implementations of some of the country programs/projects were conducted, such as GTP reviews by MoFED and PIF reviews by MoA.

The Ethiopian CSA is the only official source of information and data (agricultural production, productivity, land coverage, use of input, and other) for the agriculture sector in Ethiopia. The MoFED mostly analyzes data and produces aggregate measures of performance of the economy, such as GDP and others. The MoFED undertakes review of the country economic plan, for instance the review of the GTP, using information and data obtained from the CSA. At the sectoral level, programs and plans such as the PIF and AGP, the MoA takes the responsibility for commissioning and coordinating the review.

Similarly, organizations, relevant in the Ethiopian agriculture sector reported that they have M&E systems, specifically responsible for the respective organizations. Whereas EDRI, HU, and AAU do not have structured M&E systems in place as M&E of the organizations is partly undertaken by their management staff, devoting only about five percent of their time to M&E work. EDRI, with a request from its donor, is currently developing its M&E framework that will enable it to systematically assess its performances. Data collection in these institutions is also undertaken mainly for research activities and is not based on established performance indicators. One major reason for this drawback is reported to be a lack of adequate funding for regular data collection. For the most part, these organizations are challenged with the lack of a structured M&E system with standard indicators and tools that could be fed into a possible countrywide agriculture sector M&E system.

Hence, except for the existence of quasi-M&E practices, mainly traditional ones, and program reviews (described above), this assessment noted that there is a lack of systematic M&E in the Ethiopian agriculture sector. A structured M&E system would enable the establishment of a participatory result-oriented M&E system that is backed up with continuous and periodic data and information collection and management. Although, the PPD of the MoA is the major organization for monitoring and evaluating activities in the agriculture sector, the PPD lacks the required human resources in terms of quality and quantity to undertake a systematic M&E, and thus, is limited to traditional monitoring—planning and reporting activities in the MoA level. Constrained by human resources, the PPD is very busy with routine activities of compiling annual and quarterly reports and MoA plans. Similarly, M&E in other organizations is only restricted to activity monitoring (plan versus accomplishments), which is also being undertaken in a business-as-usual way—lacking system and simplicity—while staff are being overloaded with compiling reports and plans. One of the main constraints without a systematic and result-based M&E in the agriculture sector is related to the shortage of adequate human capacity at the government institution, and thus, lack of any structured M&E system that allows for periodic data collection, analysis, reporting, and sharing based on indicators of success and performance.

However, the effort of the ATA Monitoring, Learning, and Evaluation Team to strengthen the sector-wide M&E system and to evaluate progress across the agriculture sector on the whole is an opportunity in the sector. ATA, in collaboration with the MoA's PPD, has established a task force to plan for an integrated M&E platform across the agriculture sector. The aim

will be to aggregate and synthesize data, in order to report on national targets, including those in the GTP and the PIF, among others<sup>8</sup>.

#### 4.4.2. Knowledge Management

For effective M&E and investment planning in the Ethiopian agriculture sector, a well-managed data and knowledge system is a necessity. Nevertheless, in most of the organizations covered in this assessment, knowledge management is being practiced at the individual expert level rather than at the institution level with a systematic manner. Human resource constraints in establishing the system, lack of knowledge, and use of data and knowledge management software packages are major reasons for the problem, particularly in the MoA, PPD. Some organizations (for example, EEA and EDRI) have a relatively better-organized set of information and knowledge accessible to stakeholders. In general, however, though a very rich set of information and knowledge does exist in each of the organizations covered in this assessment, lack of awareness about it and poor coordination make the information inaccessible to researchers, policymakers, and wider audiences.

However, some initiatives (for example, EAP) that are good opportunities for building a systematic knowledge management and sharing process in the Ethiopian agriculture sector do exist. The EAP, which was developed by ILRI, is a web-based gateway to agricultural information resources relevant to Ethiopian agriculture (<http://www.eap.gov.et>). The intended audiences of this portal are Ethiopian agricultural service providers at all levels including extension, research, and educational institutions, as well as other national and international entities interested in Ethiopian agriculture as partners in trade, investment, and/or development<sup>9</sup>.

Additionally, some organizations, such as MoFED, EIAR, EDRI, EEA, and AAU also use software packages, websites, and periodic publications to manage and share their research and knowledge outputs. Despite being less structured and systematic, these organizations use different knowledge management and sharing techniques. They manage their data set in different software packages and use conferences, seminars, official websites, and publications as the main knowledge dissemination methods. For instance, AAU-CDS uses Development Seminar Series, Development Forum Bulletin, *Ethiopian Journal of Development Research*, newsletters, and proceedings of conferences, and working papers as the main knowledge dissemination tools<sup>10</sup>. Similarly, in EDRI notes series, newsletters, working papers, and research reports are the main dissemination tools.

Nevertheless, in all the organizations there is a need to organize data and information in a systematic and useable format that can be shared easily with whoever is interested. There is poor knowledge packaging and presentation and a clear lack of communication strategy/mechanism about results to a wide audience in most of the organizations, but this is very serious in the PPD of the MoA. There is also a very limited link between the PPD (MoA) and the EIAR in sharing data and research outputs, which calls for a system between PPD (MoA) and other institutions, particularly the EIAR. Lack of human resources, data management, and statistical software (mainly in the PPD of MoA and EIAR), lack of finance (mainly in EEA and AESE), and lack of coordination and demand (mainly in EDRI and EIAR) are the major reasons for poor knowledge management, documentation, and sharing in the Ethiopian agriculture sector. Therefore, having a clear idea of who collects which data and what knowledge products are produced by whom is important in avoiding duplication of effort and making the best use of the available data and knowledge product. Hence, central data repositories, up-to-date, sector-wide website, and

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<sup>8</sup> Ethiopian Agriculture Transformation Agency, 2012. Annual Report: Transforming Agriculture in Ethiopia.

<sup>9</sup> For more information visit [www.eap.gov.et](http://www.eap.gov.et).

<sup>10</sup> In AAU there are different centers and departments that are linked with agricultural policy research and analysis (for example, the school of economics with MoFED), but the focus here is on CDS where research and teaching related to agriculture is mostly mandated to).

publication of periodic agricultural trends and outlooks will play an important role. In this regard, the establishment of SAKSS-Ethiopia will definitely contribute to narrowing the existing gap between the demand and supply of information/knowledge among stakeholders in the agriculture sector.

#### **4.4.3. Data and M&E Systems Related to Tracking Implementation of CAADP**

In line with the CAADP implementation, this study could not find a systematic and well-structured data and M&E system in the organizations that could be relevant for tracking implementation of the CAADP. The MoA (particularly the PPD) is a focal body to design a structured system that periodically generates, organizes, and shares data and information that helps to assess performance of the Ethiopian agriculture sector. The PPD of the MoA, however, is challenged by multifaceted problems. PPD's (MoA) problem is also reflected in its poor linkage with regional offices, which could have been a major source of data and information regarding project and programs implementation, including CAADP implementation. Hence, the PPD of the MoA needs to have a better link with regional offices with regard to data and information flow up the hierarchy—kebele, woreda, zone, region, and federal level—to improve program implementation and performance. Thus, this requires establishing a structured system for data and information flow, which is reported periodically based on established indicators.

With the current setting, the CSA is the main source of data and information that could be used to track CAADP implementation, although CSA is not directly related to implementation of the CAADP. There is also data from different organizations, such as at EDRI, HU, AAU, and EEA, and related to research projects undertaken by these institutions, which could also be used for M&E of the CAADP implementation. AAU, for instance, collects data for a few projects that are carried out with NGOs and the government at the department and individual level such as the panel data survey (Ethiopian Rural Household Survey (ERHS)), which is conducted by the School of Economics of AAU in collaboration with IFPRI and Oxford University and began in the 1990s.

#### **4.4.4. Institutional-Level Capacity Gaps, Challenges, and Opportunities for Knowledge Generation and M&E**

The major constraints faced by organizations in knowledge generation, management, and M&E are lack of well-capacitated human resource (for example, MoA, HU, EIAR, and FSS), lack of financial resources (for example, AAU, FSS, AESE, and EEA), shortage of professionals specializing in M&E, lack of web-based performance management system (M&E), and lack of management information system (MIS). With regard to human resource, for instance, PPD (MoA) only has two MS-level professionals, and EDRI has only one PhD staff in the Agriculture and Rural Development Research Department while AAU has more than 51 staff out of which 65 percent are PhDs and above at the Center of Development Study (CDS) only. Further, lack of linkages between organizations and researchers working in these organizations in sharing information and knowledge is also another major challenge in knowledge management and M&E in the agriculture sector (Table 8).

Nevertheless, there are opportunities that could be capitalized while establishing systems for knowledge management and M&E in the agriculture sector. The main opportunity in this area is availability of researchers and policy analysts in the country who are underused because a lack in demand for policy analysis and research from the government. Hence, motivating these researchers and at the same time creating real demand for policy analysis could facilitate knowledge management and sharing in the sector. The other opportunity is the availability of a network of stakeholders such as the DAG and TAC that could facilitate cooperation and knowledge sharing between organizations. EDRI, for instance, has a good network of stakeholders in agricultural research and policy analysis like IFPRI, AAU–School of Economics, the PM office, Central

Statistical Agency, and MoFED. Thus, these initiatives, which encourage stakeholders' interaction, need to be strengthened and facilitated to create a system of coordination and integration in the knowledge management, M&E, and policy process in the Ethiopian agriculture sector.

**TABLE 8 CHALLENGES AND OPPORTUNITIES FOR KNOWLEDGE GENERATION, MANAGEMENT, AND M&E**

Organizations	Challenges	Opportunities
Ministry of Agriculture (PPD) and Ethiopian Institute of Agricultural Research	<ul style="list-style-type: none"> <li>• Human resources, both in terms of quality as well as quantity</li> <li>• Availability and poor use of software packages</li> <li>• Lack of well-structured data management and M&amp;E system</li> </ul>	<ul style="list-style-type: none"> <li>• Government commitment to establish data management and M&amp;E system; some initiatives were also attempted</li> <li>• Presence of the Development Assistance Group facilitating coordination and networking</li> </ul>
Ethiopian Development Research Institute	<ul style="list-style-type: none"> <li>• Absence of internal M&amp;E system</li> <li>• Shortage of manpower, particularly M&amp;E and knowledge management</li> </ul>	<ul style="list-style-type: none"> <li>• Government and donor (ACBF) commitment to establish M&amp;E system</li> <li>• Strong relationship with government ministries, donors, and policymakers</li> <li>• Presence of TAC facilitating coordination and networking</li> </ul>
Addis Ababa University Center for Development Studies	<ul style="list-style-type: none"> <li>• Absence of internal and external M&amp;E system</li> <li>• Lack of coordinated effort for agricultural research and linkage with policymakers</li> </ul>	<ul style="list-style-type: none"> <li>• Presence of pool of skilled manpower</li> </ul>
Forum for Social Studies, Ethiopian Economics Association, and Agricultural Economics Society of Ethiopia	<ul style="list-style-type: none"> <li>• Shortage of human resources</li> <li>• Shortage of finances</li> <li>• Shortage of M&amp;E experts</li> <li>• Staff capacity limitations</li> <li>• Lack of web-based M&amp;E system</li> </ul>	<ul style="list-style-type: none"> <li>• Presence of high-caliber researchers/professionals in agricultural economics</li> </ul>
Haramaya University College of Agriculture and Environmental Sciences	<ul style="list-style-type: none"> <li>• Poor culture of using M &amp; E results for future learning</li> <li>• Absence of linkages with external development actors who engage academics in M&amp;E</li> <li>• Lack of access to information and communication technologies and poor connectivity</li> <li>• Lack of appropriate training and poor coordination and management</li> </ul>	<ul style="list-style-type: none"> <li>• Presence of highly qualified researchers and professionals in agricultural economics</li> </ul>

Source: CNA survey (2013).

Note: M&E = Monitoring and Evaluation.

## 5. CAPACITY DEVELOPMENT STRATEGY

### 5.1. Capacity Development Requirements and Pillars

As evident from the preceding sections, several capacity challenges and gaps impede the design and implementation of agricultural and rural development policies in Ethiopia. The challenges include

- loose linkage between universities, research institutions, and policymaking and implementation authorities. This negatively affects evidence-based policymaking;
- lack of coordination among the activities of various organizations involved in data management in agriculture; and
- sectoral M&E framework that is constrained by lack of strong M&E unit and structured M&E system. Developing an appropriate M&E system that concentrates more on outcomes and impact indicators rather than input and output indicators is critical.

Strengthening institutions involved in agriculture and rural development policymaking and implementation through knowledge, communication, and physical and financial resources will remain important for improving the quality and timeliness of policy-relevant evidences. It will be equally important to develop capacities with respect to policy analysis, research, implementation, and M&E and data generation, having built-in statistical components and activities that are coordinated among the various organizations involved in data management, and bringing together producers and users of such statistics at all levels. This will help in improving public awareness of policymaking processes and outcomes. At the same time, a minimum set of indicators needs to be monitored regularly by the concerned ministries for an effective capacity-strengthening strategy in Ethiopia.

In order to address the identified capacity needs and fill the gap, the importance of appropriate and relevant capacity-building strategies is paramount. The strategies are framed around individual levels, institutional levels, and policy process/enabling environment levels. They are expected

- to enhance the knowledge and skills of individuals involved in agriculture and food policy process,
- to strengthen institutions' capacities in human, financial, and physical resources required to proactively engage in agriculture and food policy formulation, implementation, and analysis; M&E and knowledge management, and
- to create a well-functioning, enabling environment for individuals and organizations to critically engage in the overall processes of food- and agriculture-related policies.

Strategies that are believed to be pillars at different levels are discussed below.

#### Individual Level

- Capacity building training:  
Depending on the specific needs of professionals in the organizations chosen to be instrumental in the agriculture and food policy process, either short-term training ranging from 2 to 6 months or long-term training in the form of MS and PhD degrees should be provided. Besides, other training on the use and application of statistical and MIS software should also be provided for the period of 2 to 3 weeks to fill technical skills and knowledge gaps of qualified professionals in the studied organizations.

#### Institutional Level



- Support institutions, particularly those in public sector, so that they can recruit well-qualified professionals in the field of agriculture policy research and analysis. Create linkage with United Nations Volunteers (UNV) or adopting CCRDA's program and institutional support model can be further explored as some of the options to strengthen human resource capacity of the organizations.
- Support institutions to develop/refine their human resource capacity development program and facilitate implementation of the program.
- Solicit and lobby potential donor organizations to grant institutions with the required financial resources to successfully engage in agriculture and food policy formulation, implementation, and analysis/research in the country.
- Based on the identified needs and gap, equip the organization with important equipment such as computers, printers, vehicles, and statistical and MIS software. With the help of these resources, institutions would be able to contribute to better agriculture sector-specific policy formulation, implementation, and analysis; effective and efficient M&E of the policies; and successful management of knowledge and practice acquired from such exercise.

#### **Process Level (Enabling Environment)**

- Establish a coordination unit (that is, SAKSS):  
This coordination unit helps to minimize duplication of effort, lead strategic thinking in the sector, coordinate the policy process, share the knowledge and best practices, and create functional linkage among the actors in agriculture and food policy process. This unit could be represented by a country-level SAKSS.
- Engage and network with stakeholders involved in the agriculture sector to strengthen a coordination unit (possibly SAKSS) that facilitates integration of knowledge management, M&E, and strategic policy analysis in the sector.
- Awareness-raising initiatives: The established coordination unit might play the following roles in this regard.
  - Organize a series of workshops and learning events
  - Strengthen the existing forum or create new forums for dialogues and discourses on agriculture and food policy issues in the country
  - Produce a series of publications—policy briefs or working papers

## **5.2. Capacity Development Detailed Activities: Short Term and Long Term**

The capacity-strengthening strategy is designed to take 3 years (short term) with some activities to continue for the next 9 years (long term). These activities are given in tables 9 and 10 respectively.

**TABLE 9 SHORT-TERM DETAILED ACTIVITY PLAN OF THE CAPACITY DEVELOPMENT (3 YEARS)**

Major pillar of capacity strengthening	Detailed capacity development activity
Establish a coordination unit (that is, SAKSS)	Identify host organization and set up office.
	Recruit staff of SAKSS (approximately 6 professional staff).
	Design SAKSS implementation strategy and refine SAKSS roles and activities.
	Organize training to staff on SAKSS role, mission and M&E, data management policy analysis, etc.
Engage and establish functional network of stakeholders	Identify key partners in the agriculture sector and identify their role and responsibilities in the SAKSS initiative.
	Establish and strengthen (existing networks) a formal link and network with key organizations.
	Engage stakeholders in capacity-building activities in the agriculture sector.
	Engage stakeholders for coordinated data management, collaborative research, and structured M&E activities in the sector.
Capacity-building training	Short-term training on policy analysis, result-based M&E, rigorous research, data management, etc.
	Provide training on the use and application of statistical and management information system (MIS) software.
	Provide training on performance management, strategy design, investment planning, etc.
Strengthen capacities of organizations involved in the agriculture sector	Support institutions to recruit well-qualified professionals ensuring that qualified professionals are recruited.
	Solicit fund from donors.
	Equip organizations with equipment such as computers, printers, and statistical and MIS software.
	Support institutions to develop/refine their human resource capacity development program
Awareness raising	Organize workshop and learning events.
	Strengthen the existing forum or create new forums for dialogues and discourses.
	Produce a series of publications: for example, policy briefs.

Source: Based on CAN survey results (2013).

**TABLE 10 LONG-TERM CAPACITY DEVELOPMENT ACTIVITIES (FOR THE NEXT 9 YEARS)**

Major pillar of capacity strengthening	Detailed activity/output
Mainstream/integrate SAKSS activities in the Ethiopian agriculture sector	Role and responsibilities of SAKSS shared/divided among key institutions in the agriculture sector.
	Design integrated/mainstreamed activity plan that coordinates knowledge management, M&E, and policy analysis in the agriculture sector.
Capacity-building training	Advanced training on specific strategic areas in the agriculture sector.
	Facilitate MS and PhD studies in agriculture related areas.
	Organize continuous (1 to 6 month) training on identified gaps
Strengthen institutional capacities of organizations	Strengthen a system to motivate and incent professionals in the institutions.
	Key donors identified to allocate finance for resourcing organizations.
	Strengthen institutions knowledge management, M&E, and policy analysis.
Coordination of institutions in the agriculture sector	Responsibilities of organizations clearly demarcated and strong network established between them.
	The Program and Planning Department of the Ministry of Agriculture strengthened and takes a leading role in coordinating M&E and knowledge management in the agriculture sector.
	Coordinate knowledge management, M&E, and strategic investment planning and policy analysis in the sector.
Knowledge sharing and dissemination	Bi-annual workshops and continuous learning events.
	Forums for dialogues and discourses.
	Periodic publication of policy briefs.

Source: Author based on CAN survey results (2013).

### 5.3. Establishing SAKSS–Ethiopia and Its Role

The establishment of a SAKSS for Ethiopia will provide a framework within which targeted knowledge products emanating from policy-relevant research, objective analysis, and high-quality local data can be made available and used during the policymaking processes. SAKSS–Ethiopia will be invaluable for policymakers and other actors within and outside the government who are involved in the agriculture and rural development sector. It will also help build institutional and technical capacities and foster collaboration among the various experts as well as other suppliers and users of the country’s knowledge products.

The ultimate goal of the SAKSS is to improve the quality of policy and strategy design, investment planning, and implementation in the Ethiopian agriculture sector through facilitating knowledge management and M&E for a well-informed planning, review, and dialogue processes. When it is established and fully functional, its main functions will be to

- Design a functional system for knowledge management and M&E for the Ethiopian agriculture sector through coordinating relevant institutions in the sector and building on existing initiatives in the country such as the EAP, developed by ILRI. This will facilitate SAKSS to use and strengthen the web-based agricultural information system that will be used by relevant partners including extension, research, and educational institutions as well as other national and international institutions;

Based on a functional and coordinated system of knowledge management and M&E, SAKSS will help

- generate, compile, and share data and policy analyses results relevant to Ethiopia’s agricultural and rural development; perform strategic investment analyses for the agricultural sector providing practical policy and investment options; and
  - undertake M&E of the agriculture sector to facilitate evidence-based planning and implementation in the sector.
- produce knowledge products and develop dissemination, communication, and outreach mechanisms through a combination of real (stakeholder forums) and virtual (interactive multimedia services) methods;
  - contribute to fostering constructive, cross-sectoral policy debates on future agricultural and rural development alternatives;
  - facilitate dialogue and the exchange of data and knowledge among the different stakeholders at national, regional, and international levels;
  - facilitate access to a growing analytical and visualization toolkit using information and communication technologies (ICTs);
  - strengthen local capacity to conduct objective, timely, and relevant policy research and analysis through a variety of short- and long-term training processes; and
  - prioritize and coordinate capacity-development activities of institutions relevant to the agriculture sector (mainly public institutions) to fill human, physical, and financial gaps in these institutions.

## 5.4. Operation and Governance of the SAKSS Platform

Setting up an inclusive steering committee or other oversight structure whose role will be to ensure that the agenda of the SAKSS platform remains relevant to the planning and implementation of the CAADP is necessary (Figure 9). The steering committee will be comprised of major stakeholders in the agriculture sector including the MoA, the private sector, universities, and nongovernmental organizations, and will be chaired by the Minister of Agriculture. The oversight structure will review both the output and the agenda of the SAKSS platform. The activities of the SAKSS platform will further be refined through an inclusive and dynamic process involving all major stakeholders.

A technical unit or secretariat will be created to carry out the day-to-day activities of the SAKSS (Table 11). The unit will be limited in size and will rely on a network of both users and suppliers of knowledge at the national and regional levels, particularly the ReSAKSS, the existing national centers of expertise, and the technical organizations of existing professional organizations in the country. Options proposed for hosting the SAKSS platform included (1) MoA (2) ATA, and (3) separate entity. During the validation workshop, it was unanimously decided to host the SAKSS in the PPD of the MoA.

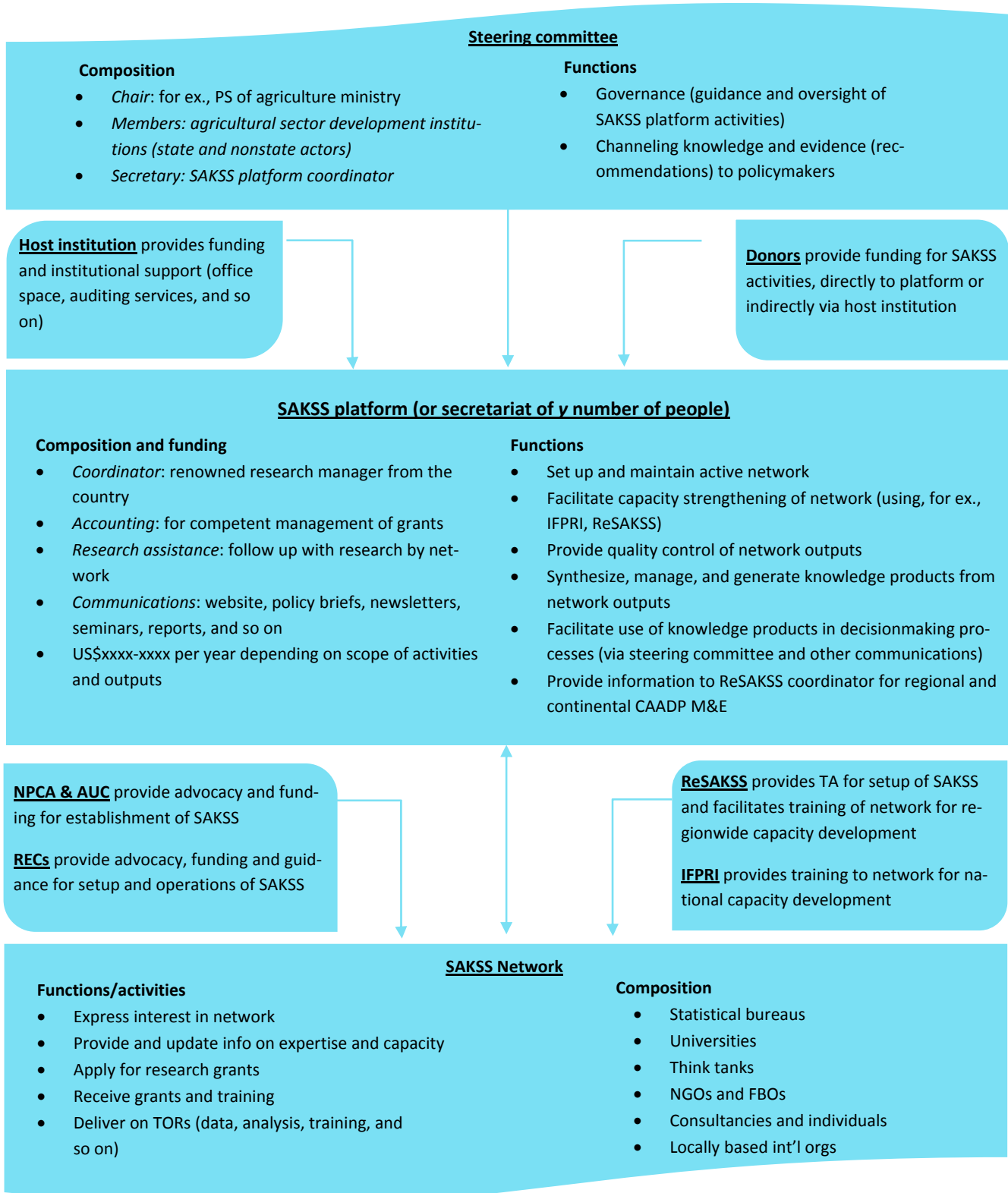
The most important operations to be carried out within the unit are

- 1) the coordination of the collaborative and network framework to mobilize the available expertise in order to generate targeted knowledge products to support implementation of the CAADP agenda, and

2) the packaging, storage, and dissemination of such products.

Recently, several surveys and studies, including capacity need assessments on the agriculture sector, were carried out by the MoA in collaboration with a number of international agencies. The SAKSS, therefore, will collaborate with these agencies and organize similar activities. It will also work closely with the CSA, research institutes, and universities.

**FIGURE 9 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

**TABLE 11 MAJOR ACTIVITIES OF THE SAKSS AND THEIR DESCRIPTION**

Major activities of SAKSS	Description
Coordination and governance	<p>Work with networks of institutions, organizations, and experts to integrate and coordinate knowledge management, M&amp;E, and strategic investment planning and policy analysis in the sector</p> <p>Strengthen the Program and Planning Directorate of Ministry of Agriculture</p> <p>Strengthen institutions in charge of research, data collection, and analysis and policy formulation as well as various professional organizations related to the agriculture sector</p>
Strategic analysis and M&E	<p>Research studies to identify and assess policy and investment options in the sector</p> <p>Spatial analysis, for example, of the impact of investments on poverty, food consumption, and nutrition</p> <p>M&amp;E of the agriculture sector—design result-oriented M&amp;E system and work with or coordinate institutions for its functionality</p> <p>Publication of annual report on trends and prospects of the agricultural sector</p> <p>Contribute to the regional-level analyses of investments, policies, and strategies required by ReSAKSS</p>
Knowledge management	<p>Design a functional system for knowledge management</p> <p>Facilitate access to relevant data of researchers and others working in the agriculture sector</p> <p>Make recommendations to strengthen strategies for data collection, analysis, and dissemination</p> <p>Packaging, dissemination, and archiving of information generated through strategic analysis</p> <p>Providing evidence and relevant information to influence policy</p> <p>Feed ReSAKSS with country-level data on relevant indicators</p>
Capacity building	<p>Policy analysis and modeling</p> <p>Investment analysis and priority setting</p> <p>Result-based M&amp;E</p> <p>Geospatial information systems</p> <p>Use of statistical software packages</p>

## 6. CONCLUSION

This CNA clearly showed the need to improve the quality of policy and strategic planning and implementation which in turn 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. Nevertheless, capacity to generate evidence-based information, M&E, and knowledge sharing through effective communication to policymakers and promotion of policy dialogue need to be strengthened. This requires a galvanizing body like SAKSS that will bring together different stakeholders in the agriculture sector with the aim of avoiding effort duplication and better using available resources to make the agriculture sector more evidence-based, suitable for knowledge sharing, and serving as learning forum.



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## APPENDICES

### Appendix 1: Workshop (Inception/Validation) Participants' List

Name	Organization
Ato Dejene Habesha	Ministry of Agriculture–RED&FS
Ato Zena Habtewold	Ministry of Agriculture–Planning and Program Directorate (PPD)
Ato Samuel Abiyu	Ministry of Agriculture–PPD
Ato Dawit Setegn	Ministry of Agriculture–PPD
Ato Kaleb	Ethiopian Institute of Agricultural Research
Ato Solomon Tesfasilassie	MoFED
Ato Samuel Amare	Private consultant
Dr. Demese Chaneyalew	Private consultant
Ato Wondwossen	Agricultural Economics Society of Ethiopia
Ato Mesfin Ketena	Sasakawa Global 2000
Ato Bedaso Taye	Panacea Consulting firm
Ato Dawit Setegn	MoA
Ato Melese Mulugeta	MoA
Mr. Gary Wallace	RED&FS–Donor coordinator
Dr. Paul Guthigal	ReSAKSS
Dr. Joseph Karugia	ReSAKSS– Coordinator
Mrs. Stella Massawe	ReSAKSS–M&E analyst
Ms. Ethiopia Tadesse	ReSAKSS–Country collaborator

## Appendix 2: List of Individuals Interviewed

Organization	Name of person interviewed	Position/department
Ministry of Agriculture	Ato Dejene Habesha	RED–FS Directorate
Ministry of Agriculture–Planning and Program Directorate	Ato Samuel Abiyu	PPD Acting Director
Ministry of Agriculture–Human Resource	Ato Tamiru Habte	Director of the Human Resource Directorate
Ethiopian Institute of Agricultural Research	Dr. Dawit Alemu	Socioeconomic Research and Extension Directorate
Ethiopian Development Research Institute	Getachew Yoseph/Abebaw	Director of programs
Addis Ababa University Center for Development Studies	Dr. Degefa Tolossa/Dr. Engidashet	Dean of AAU–CDS
Haramaya University	Alemu Sokora	Researcher, Department of Rural Development & Agri-Extension
Central Statistics Agency	Ato Biratu Yigezu	Deputy General Manager
Central Statistics Agency–Human Resource	Ato Abinet	Director of the Human Resource Directorate
Central Statistics Agency–Finance Section	Ato Tesfaye	CSA Finance
Ministry of Finance and Economic Development	Ato Solomon Tesfasilassie	Senior Expert
United Nations Food and Agriculture Organization	Ato Werkicho Jateno	M&E Expert
RED&FS	Mr. Gary Wallace	Donor coordinator
Ethiopian Economics Association	Dr. Bekele Hunde	
Agricultural Economics Society of Ethiopia	Ato Wondwossen	Vice President of the Agricultural Economics Society of Ethiopia

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Established in 2006, the Regional Strategic Analysis and Knowledge Support System (ReSAKSS) supports evidence and outcome-based planning and implementation of agricultural-sector policies and strategies in Africa. In particular, ReSAKSS offers high-quality analyses and knowledge products to improve policymaking, track progress, and facilitate policy dialogue, benchmarking, review and mutual learning processes of the Comprehensive Africa Agriculture Development Programme (CAADP) implementation agenda. The International Food Policy Research Institute (IFPRI) facilitates the overall work of ReSAKSS working 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 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](http://www.resakss.org).

ReSAKSS has been established with funding from the United States Agency for International Development (USAID), the UK Department for International Development (DFID), the Swedish International Development Cooperation Agency (Sida), and the Bill & Melinda Gates Foundation. ReSAKSS also receives funding from the International Fund for Agricultural Development (IFAD) and the Ministry of Foreign

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