



INSTITUTIONAL ARCHITECTURE FOR FOOD SECURITY POLICY CHANGE: UGANDA

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ACRONYMS

ASWG	-	Agriculture Sector Working Group
ATAAS	-	Agriculture, Technology, and Agribusiness Advisory Service
AU	-	African Union
BFP	-	Budget Framework Paper
BFS	-	Bureau for Food Security
CAADP	-	Comprehensive African Agriculture Development Programme
COMESA	-	Common Market for East and Southern Africa
CS-BAG	-	Civil Society Budget Advisory Group
CSO	-	Civil Society Organization
DP	-	Development Partner
DPG	-	Development Partners Group
DSIP	-	Development Strategy and Investment Plan
EAC	-	East African Community
FIP	-	Framework Implementation Plan
FOWODE	-	Forum for Women in Democracy
FRA	-	Food Rights Alliance
GAfsp	-	Global Agriculture and Food Security Program
MAAIF	-	Ministry of Agriculture, Animal Industry, and Fisheries
MDA	-	Ministries, Departments, Agencies
MFPEd	-	Ministry of Finance, Planning, and Economic Development
MPS	-	Ministry of Public Service
MRR	-	Ministry of Agriculture, Animal Industry, and Fisheries Restructuring Report
NAADS	-	National Agriculture Advisory Services
NARO	-	National Agriculture Research Organization
NAP	-	National Agriculture Policy
NDP	-	National Agriculture Plan
NEPAD	-	New Partnership for African Development
OPM	-	Office of the Prime Minister
PAU	-	Policy Analysis Unit
PC-MAAIF	-	Parliamentary Committee of Agriculture, Animal Resources, and Fisheries
PEAP	-	Poverty Eradication Action Plan
PFA	-	Prosperity for All

PIRT	-	Presidential Investors Round Table
PMA	-	Plan for Modernization of Agriculture
PRDP	-	Peace Recovery and Development Plan
PSFU	-	Private Sector Foundation Uganda
TPM	-	Top Policy Management
UACCIA	-	Uganda Allied Chamber of Commerce, Industry, and Agriculture
UBOS	-	Uganda Bureau of Statistics
UNCCI	-	Uganda National Chamber of Commerce and Industry
UNFFE	-	Ugandan National Farmers Federation
USAID	-	United States Agency for International Development
UWEA	-	Uganda Women Entrepreneurs Association

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INTRODUCTION AND METHODOLOGY

The path and trajectory of a policy change is a complex, non-linear process that is often unique to a particular country. While no two countries share precisely the same process, effective policy changes can and do share similar features; namely, predictable, transparent, inclusive, and evidence-based policy-making. A core concern and commitment of African leaders in advancing the Comprehensive African Agriculture Development Programme (CAADP) framework is to establish a policy enabling environment for the implementation of national agricultural investment plans. In support of this goal and recognizing the critical importance of the quality of the policy change process, the United States Agency for International Development's (USAID) Bureau for Food Security (BFS) is emphasizing the need for an understanding of the Institutional Architecture for Food Security Policy Change.¹

Institutional Architecture provides for a framework for analyzing a country's capacity to undertake food security change². This is accomplished by identifying implementation barriers, designing policy options, and coordinating actions across public and private institutions. This assessment examines the components of a policy-making process; providing USAID, local policymakers, and other key stakeholders with information on possible constraints that could stymie effective policy change. This work will help inform USAID as it explores new approaches for technical assistance to improve the capacity and performance of the policy change process.

Part I: Mapping of Institutional Architecture for Policy Change

The first part in this process maps out the key systems, processes, and relationships that influence food security policy development. This involves identifying and mapping: the guiding policy framework, the key institutions that hold primary responsibility for implementation, inter-ministerial coordination mechanisms; private and civil society organizations, as well as think tanks and research organizations, that impact and influence the food security policy change process. These factors are examined in the context of the broader economic and social dynamics that impact the policy change environment.

Assessment Team:

David Quinn, USAID EAT project

Dennys Pasipanodya, Independent Consultant

Part II: Capacity of Food Security Policy Change

The second part of this assessment involves an analysis of a country's capacity to undertake transparent, inclusive, predictable, and evidence-based policy change. The country is examined through the following six components of the policy formation process to determine its 'readiness for policy change':

- Policy Element 1: Guiding Policy Framework
- Policy Element 2: Policy Development and Coordination
- Policy Element 3: Inclusivity and Stakeholder Consultation
- Policy Element 4: Evidence-based Analysis
- Policy Element 5: Policy Implementation

¹ Institutional Architecture is defined as the set of partner-country procedures and processes for data collection and analysis, consultation and dialogue, policy proposal, feedback, approval, implementation, and enforcement.

² Food Security is defined by Feed the Future as "when all people at all times have access to safe and sufficient food to meet their dietary needs for a productive and healthy life. There are four main components: availability, accessibility, utilization, and stability of food."

- Policy Element 6: Mutual Accountability

Each of these components is analyzed through a set of indicators that determine the capacity and effectiveness of the overall policy change process. Each indicator is assessed using a three-tier rating system, which highlights the level of attention needed to improve the effectiveness of the component. A *Green* rating means the component is realized to a sufficient degree, and additional attention is not required. A *Yellow* rating means that the conditions required to achieve the component are partially achieved, but additional attention is required. A *Red* rating means that significant attention is needed to ensure the component is achieved. Indicators will be accompanied with a narrative analysis of key gaps and constraints to the policy change process.

Part III: Summary Conclusions and Recommendations

The third part draws conclusions based upon the above set of findings, and develops recommendations for future action.

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PART I: OVERVIEW OF THE INSTITUTIONAL FRAMEWORK FOR AGRICULTURE

The agricultural sector in Uganda is complex, comprised of the **Ministry of Agriculture, Animal Industry, and Fisheries (MAAIF)**, eight autonomous sector agencies³, 112 district governments, and over 14 other Ministries, Departments and Agencies (MDA). MAAIF's mandate is to “*support, promote and guide the production of crops, livestock and fisheries so as to ensure improved quality and increased quantity of agricultural produce and products for domestic consumption, food security and export*”⁴. To deliver this mandate, MAAIF plays three important roles – policy formulation, sector regulation, and performance monitoring. The roles are executed directly by MAAIF and/or delegated to its sector agencies; three of which are commodity focused (coffee, cotton and dairy), while the rest are service related (research, advisory/ extension and disease control).

The current structure of the MAAIF is the result of over fifteen years of restructuring efforts, often overlapping, and largely poorly implemented (see text box). MAAIF current operates four directorates (animal resources, crop resources, fisheries and support services), with additional stand-alone departments for agricultural planning, and finance and administration.

MAAIF's **Top Policy Management (TPM)** Committee is responsible for ensuring consistency and coherence in policy formulation, implementation, and monitoring for MAAIF. TPM is also responsible for ensuring that semi-autonomous agencies remain consistent with the overall objectives of the **National Agriculture Policy (NAP)**. TPM membership includes MAAIF top political leadership and the heads of the sector agencies. The **Agriculture Sector Working Group (ASWG)** is a broader consultation group that coordinates and harmonizes policy development and implementation. The membership of ASWG includes the TPM, **Development Partners (DPs)**, farmers associations, and research institutes.

A sector-wide approach to policy implementation has been adopted in Uganda. The administrative and technical implementation of agriculture policy is overseen by the TPM Committee. However, under the decentralization policy, the bulk of implementation takes place at **Local Government (LG)** level, where implementation is overseen by the LG Councils and Committees, which operate at both district and sub-county levels. At the political level, these

³ Sector Agencies: Coordinating Office for the Control of Trypanosomiasis in Uganda, Cotton Development Organization, Dairy Development Agency, National Agriculture Advisory Services, National Agriculture Research Organization, National Genetic Resource Information Centre and Data Bank, Plan for Modernization of Agriculture (PMA) Secretariat, Uganda Coffee Development Authority.

⁴ MAAIF, 2011, Final Report on the Review of MAAIF Institutional Linkages with other MDAs, LGs, and MAAIF Agencies

committees comprise LG Chairpersons, Secretaries for Production, and Chairpersons of Production committees. At administrative/technical level they include the Chief Administrative Officers and the District Production Coordinators.

Implementation at LG level has faced several policy reversals. Under the decentralization plan, regulatory and disease control functions were delegated to LGs but these institutions had challenges and conflicts of interest in executing their mandate. Consequently, the government issued a new decree to restore these functions back to MAAIF.⁵ The re-assignment of functions back to MAAIF, however, has not been accompanied by a corresponding increase in the level of staff to undertake the required regulatory and supervisory functions in LGs. MAAIF has adopted a program to address its capacity constraints, which is articulated in the Framework Implementation Plan (FIP) for MAAIF Restructuring.⁶

Text box: A History of Institutional Reform Within MAAIF

MAAIF has been subject to numerous attempts by donors and GoU to reform its institutional structure to address institutional deficiencies and capacity constraints. Over the past fifteen years, these have included the Post-constitutional Restructuring Exercise in 1998, the Core Functional Analysis Exercise of 2000, the MAAIF Reorganization Exercise of 2002, and the MAAIF 'In-House' Restructuring Exercise in 2008.

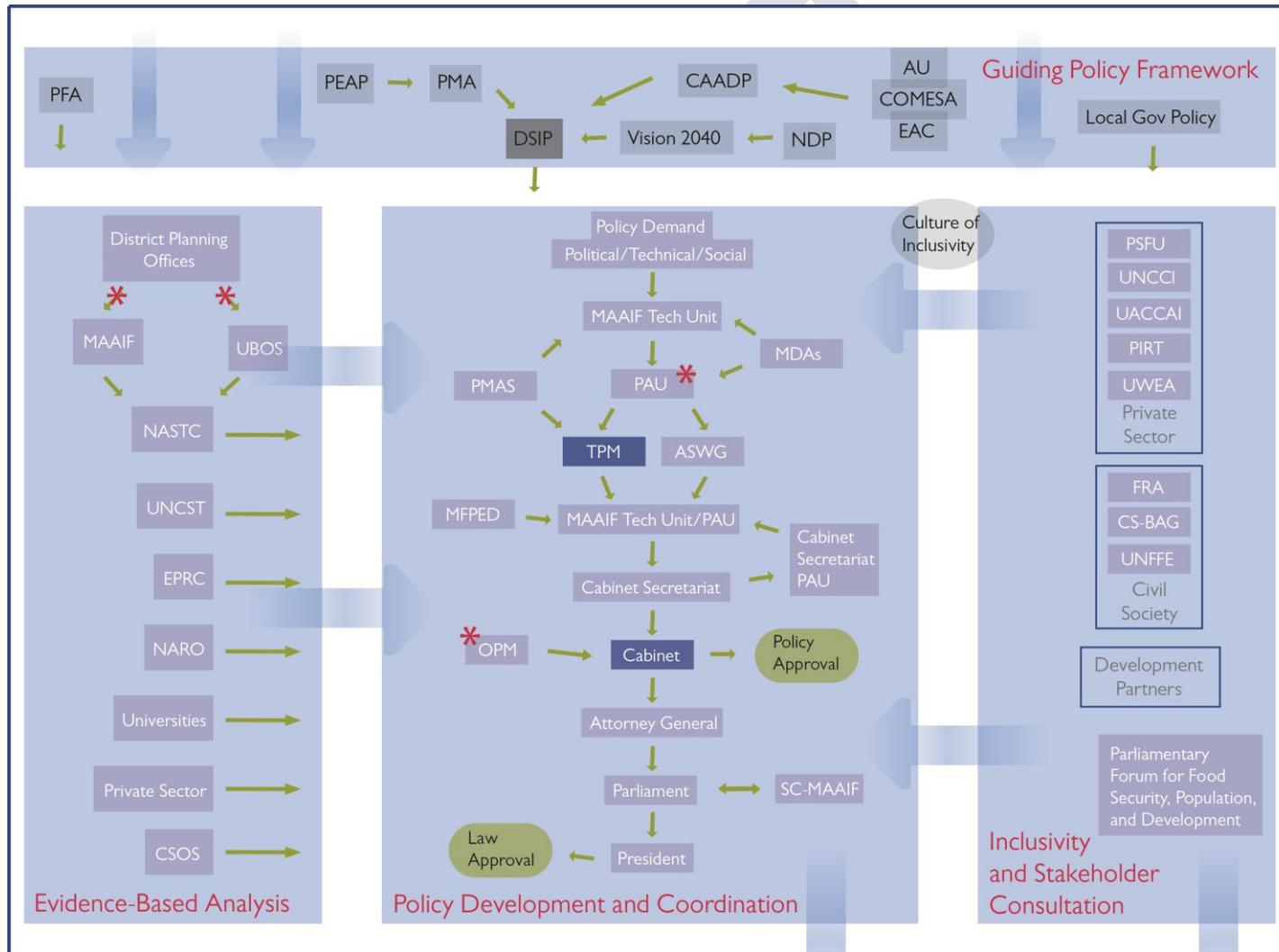
More recently, a new structure for MAAIF was proposed by the 2010 **MAAIF Restructuring Report** (MRR), with the creation of a **MAAIF Restructuring Implementation Team** to create ownership of the change process within MAAIF and to ensure sustainable implementation.¹ During consultations with the **Ministry of Public Service** (MPS) over MRR, the 'Review of the MAAIF Restructuring and Reform Process' was undertaken and a modified structure to MRR was proposed. This structure was approved by MAAIF stakeholders on the 4th February 2010, and endorsed one week later by the **Agriculture Sector Working Group** (ASWG). Some changes were implemented, including the creation of two new directorates for fisheries and agricultural support services. However, the majority of the proposed changes were not implemented.

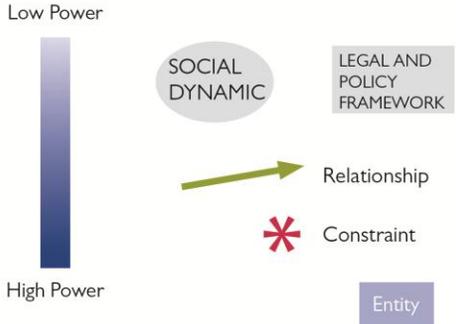
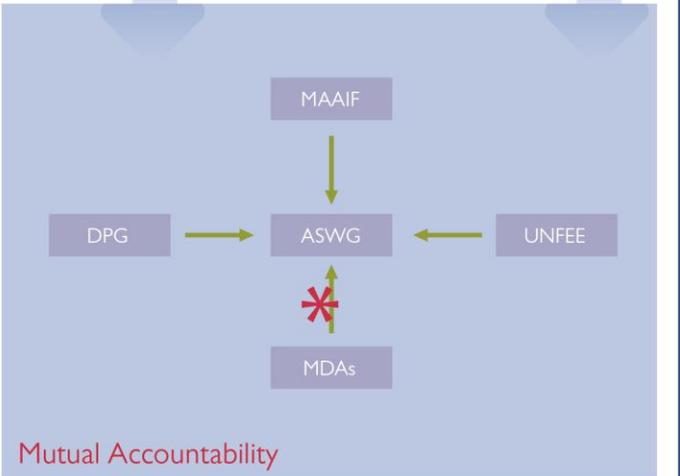
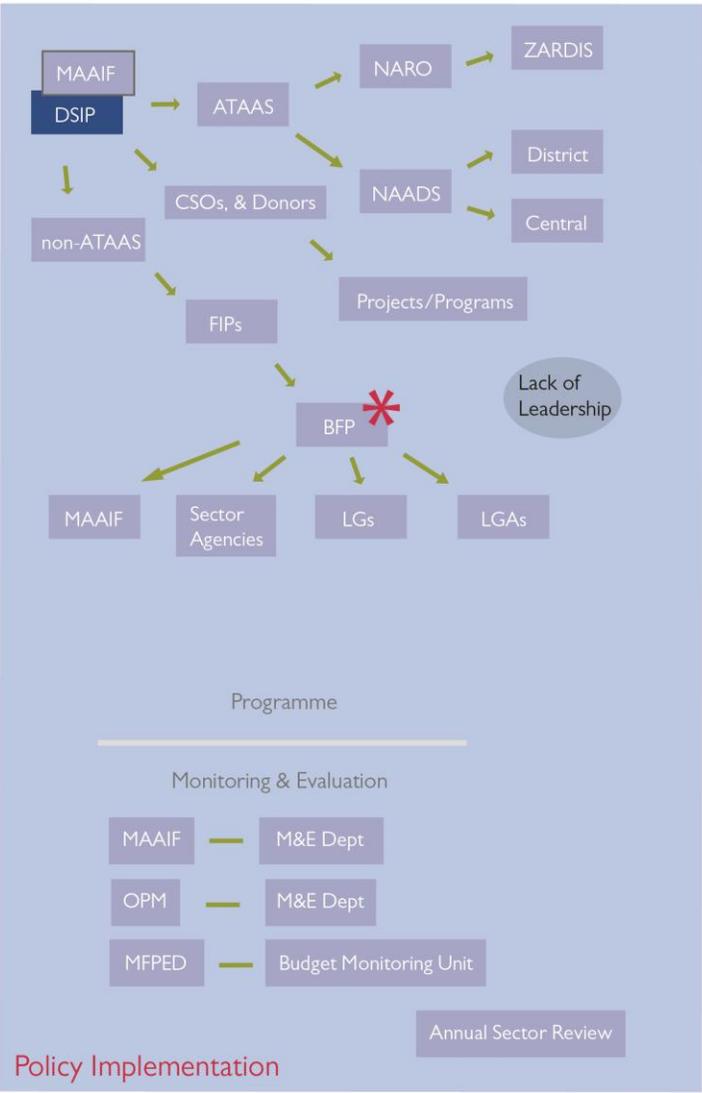
The **Framework Implementation Plan** (FIP), completed in 2012 as part of the DSIP sub-program on **Operationalizing the New MAAIF Structure**, noted that MAAIF remains, in its current structure, unable to effectively deliver on its mandate and functions. It recommended specific interventions across four components: human resource development (including recruitment for 45 approved positions); consolidating MAAIF structure and establishing zonal/district sub-structures; strengthening MAAIF institutional linkages and networking capacity; and developing new organizational systems, process, and procedures.

⁵ MAAIF, 2011, Final Report on the Review of MAAIF Institutional Linkages with other MDAs, LGs, and MAAIF Agencies

⁶ MAAIF, 2012, Framework Implementation Plan on Operationalization of the New Structure of the Ministry Of Agriculture, Animal Industry And Fisheries

PART II: AGRICULTURE & FOOD SECURITY POLICY CHANGE INSTITUTIONAL MAP





PART III: CAPACITY FOR FOOD SECURITY POLICY CHANGE

POLICY ELEMENT 1: THE GUIDING POLICY FRAMEWORK

Uganda has a strong guiding policy framework for the agriculture sector, with comprehensive national agriculture plans in place for over ten years.

OVERVIEW

There is a strong national consensus on the importance of agriculture to the Ugandan economy. Since 2001, the policy environment for agriculture and food security in Uganda has been shaped by the **Plan for Modernization of Agriculture (PMA)**. PMA provided a sector-wide planning framework for agriculture and rural development, which focused on collaboration across several ministries, DPs, private sector and civil society. At the central government level, the PMA focused on policy harmonization, while line ministries had responsibility for implementation.⁷ The PMA was a component of the **Poverty Eradication Action Plan (PEAP)**, a wider planning framework for Uganda, which was implemented from 2001 to 2009. The PEAP expired in 2009, and was followed by the **National Development Plan (NDP)**, which runs from 2010-2015.

The **Development Strategy and Investment Plan (DSIP)**, 2010-2015, is the primary planning and implementation framework for the agricultural sector. DSIP is aligned with the NDP, and forms a component of Uganda's commitments under the **Comprehensive Africa Agricultural Development Programme (CAADP)** compact, which was signed on March 31, 2010. DSIP has four program components: enhancing production and productivity; market access and value addition; improving the enabling environment; and institutional strengthening in the sector.

There are numerous other national strategies and programs that impact agriculture and food security. Uganda introduced the **Local Government Act** in 2007, which decentralized service delivery institutions and their governance to what is now 111 District Local Governments and over 800 Sub-counties. **Prosperity for All (PFA)**, emanating from the governing party's political manifesto, outlines a vision to improve the lives of all Ugandans through higher incomes, better nutrition, and improved access to services. The **National Agricultural Policy (NAP)** derives its mandate from the NDP and sets out the vision for agricultural development (The NAP has yet to be finalized). The **Vision 2040**, finalized in 2012, is Uganda's long-term national development strategy, replacing the NDP.

Uganda is also a member of numerous regional and international organizations, including the **East African Community (EAC)**, the **Common Market for East and Southern Africa**

⁷ MAAIF, 2010, PMA Secretariat: Final Report on the Functional and Institutional Analysis of the PMA Secretariat.

(COMESA), the **New Partnership for Africa's Development** (NEPAD), the **African Union** (AU), the Commonwealth, the Organization of Islamic Conference, and the Non-Aligned Movement.

CAPACITY FOR POLICY CHANGE INDICATORS

a. Clearly Defined and Consistent Policy Framework

Status: Green

There is a consensus among all stakeholders interviewed that Uganda has a very strong policy framework. All national agricultural plans, including DSIP, are aligned and in accordance with the priorities of the NDP and Vision 2040.

b. Predictability and Transparency of the Policy-Making Process

Status: Yellow

The policy development process is predictable and transparent, with clearly defined processes and systems for open consultation. Certain agricultural policies and programs, such as NAADS, have been commandeered in advance of election cycles to court voters, which have undermined the long-term effectiveness of these institutions. Additionally, a culture of corruption permeates all levels of government, and NAADS is currently under review for alleged misappropriation of funds.⁸

c. Clear and Functional Legislative System

Status: Green

Uganda is regarded by stakeholders interviewed as having a strong and proactive national legislative system. The **Parliamentary Committee on Agriculture, Animal Industry, and Fisheries** (PC-MAAIF) is a sessional committee of parliament that actively studies new legislation for consistency with existing policies, monitors budgets for agriculture, and reviews the performance of MAAIF. In 2013, the PC-MAAIF embarked on a national tour of farming communities, and called for greater allocation of funds to the agriculture sector.⁹

d. Appropriate Dispute Resolution Process/Judicial Framework

Status: Yellow

There are laws for dispute resolution in Uganda, although regulations grant limited enforcement power to courts. Under the Uganda Foreign Investments Protection Act, foreign investments are protected through the Multilateral Guarantee Agency. However, there are complaints about the length of time it takes to process matters through the judicial process. The situation is exacerbated by the high level of corruption in the country which may encourage the subversion of law and raise doubt on the propriety and enforceability of judicial decisions.

e. Clearly Defined Institutional Responsibilities

⁸ Transparency International gives Uganda 29 out of 100 in its Corruption Perceptions Index, ranking Uganda 130th in the world out of 176 countries.

⁹ NBS, Parliament Calls for More Funds for Agriculture, 9th March, 2013
<http://www.nbs.ug/details.php?option=acat&a=486#.UaXADEA702Y>

Status: Yellow

The DSIP defines the broad strategic vision and implementation framework for agriculture development, but each program is left to define its own institutional arrangements. With the exception of the two **Agriculture Technology and Agribusiness Advisory Services** (ATAAS) programs, which are under the remit of NAADS and NARO, the remaining 21 programs do not have a clearly defined institutional home.

CONCLUSIONS

Uganda is considered to have some of the best agricultural policies in Africa. The guiding policy framework is generally predictable, consistent, and transparent. There is a clearly articulated strategic vision and implementation framework for agriculture and food security.

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POLICY ELEMENT 2: POLICY DEVELOPMENT AND COORDINATION

While Uganda has a strong governing policy framework, policy development is, underfunded, largely reactive, driven by short term crises, and characterized by weak coordination and linkages among public sector ministries and agencies.

OVERVIEW

The impetus for a new policy can come from a range of political, technical, institutional, or social actors, and is then initiated by the relevant technical unit or department within MAAIF. The technical unit will take the lead in drafting a proposal, although in practice, due to human resource constraints, most policy proposals are written by consultants. Once drafted, the **Policy Analysis Unit** (MAAIF-PAU) will offer analysis, comments, and work through any issues with the lead unit. During this stage, there may be a level of consultation with stakeholders, although this is highly ad hoc. The draft may also be discussed at the ASWG, where appropriate. The draft will then be sent to the Top Policy Management (TPM) Technical Committee for technical review, and the TPM Committee for approval. It was reported that the TPM Committee has not been meeting very regularly and can serve as bottleneck for the policy approval process.

Once approved by the TPM, a Draft Cabinet Memorandum will be developed by the MAAIF-PAU. The MAAIF will then engage in a broad consultation process with stakeholders (discussed in Policy Component 3). It is the responsibility of the MAAIF to hold relevant Inter-Ministerial Consultations, although at the technical level, this is often limited. The proposal must also be sent to MFPED for a financial certification that the policy is consistent with the NDP and reflecting available resources, which is a legal requirement under the 2002 Budget Act. The policy is then reviewed by MFPED to ensure that it is consistent with the NDP and reflects available resources.

Once consultations are complete, the draft proposal is submitted to the **Cabinet Secretariat**, as a draft Cabinet Memorandum for review, before it can be presented to the Cabinet.¹⁰ The **Cabinet Secretariat Policy Analysis and Coordination Unit** reviews and analyzes the draft proposal to ensure that it meets the guidelines for submission to the Cabinet, and sends any comments back to MAAIF to resolve. It is the responsibility of the PC-MAAIF to submit the final Cabinet Memorandum to Cabinet, but the responsibility of the Minister to present to Cabinet. The Cabinet Memorandum should be submitted to relevant Ministeries with sufficient lead time (usually at least two weeks) to analyze the proposal. The Cabinet Memorandum should include the justification for the proposal, the legal implications of the proposal, a list of consulted MDAs and stakeholders, the certification of financial clearance, and the Regulatory Impact Assessment (when required). The Cabinet meets weekly, and the agenda is set by the Cabinet Secretariat, under the guidance of the Cabinet Chairperson. At the Cabinet level, MAAIF has not been receiving priority. The NAP, for example, was submitted to Cabinet in October 2012, but has yet to be put on the agenda. The inability of MAAIF leadership to prioritize and lobby for its policies has been highlighted as a potential cause of this delay.

¹⁰ Government of Uganda, 2008, A Guide To Policy Development & Management in Uganda

Once approved by the Cabinet, decisions are extracted by the Cabinet Secretariat and sent to MAAIF and relevant MDAs for action. MAAIF then has six weeks to send a report to Cabinet reporting on what action were taken. The **Office of the Prime Minister (OPM)** is responsible for overall coordination, implementation, and monitoring and evaluation of government policies and programs.

Where there is a need for legislation, the Cabinet will approve the principles of the law and instruct the Attorney General to draft a bill. The bill will be submitted to the Parliament, who will instruct the PC-MAAIF to review the policy and budget. Approved bills are then signed into law by the President.

CAPACITY FOR POLICY CHANGE INDICATORS

a. Approved Food Security Strategy/Investment Plan

Status: Green

The DSIP is a comprehensive multi-year food security plan which provides a clear agricultural vision and policy road map for interventions and investment over a five-year period.

b. Predictable Policy Agenda and Priorities Developed

Status: Green

Interventions under DSIP are organized under four themes, with clear objectives and priorities identified across 23 sub-programs.

c. Annual Work Plans

Status: Green

MAAIF produces annual work plans based on the sector **Budget Framework Paper** (BFP). The BFP is prepared at the local, sectoral, and national levels.

d. Functioning Coordination Process

Status: Yellow

While there are numerous coordination entities for the agriculture sector (including the ASWG, the PMAS, the OPM), cross-sectoral coordination is limited, particularly at the technical level. It was reported that participation in the consultation process by senior officers is often poor, with frequent delegation of responsibility to junior staff. There is poor coordination between different PAUs. The OPM is supposed to be responsible for cross-sectoral coordination, but suffers from insufficient human resource capacity to fulfill this role.

The Cabinet Secretariat, Policy Analysis and Coordination Unit plays a central, but understated role in the policy coordination process. The Unit has developed comprehensive guidelines on policy development, which have been circulated to the Ministries, and provides training in policy development to all levels of policy-makers, including PAUs, Assistant Commissioners and Commissioners, and Permanent Secretaries.

e. Secretariat/Administrative Support Function

Status: Red

Like most of the Ugandan government, MAAIF is operating below staffing capacity. However, MAAIF faces additional pressures, due to the ability of the sector agencies to attract staff from MAAIF through higher wages and incentives. According to a World Bank Institutional study in 2012¹¹, only 47% of the 683 post were filled, with only an additional 6% approved for recruitment. MAAIF is making some progress in filling 45 vacancies, although progress remains slow. This severely impacts the capacity of MAAIF to provide administrative support across all departments.

f. Technical Capacity

Status: Yellow

MAAIF policy planning has been regarded as 'disjointed and dysfunctional', with related functions often performed by distinct department or units, with overlapping institutional mandates.¹² While it should be the role of the PAU to develop and analyze policy, the PAU suffers from a severe lack of capacity, with only two full time technical analysts. In the absence of a fully functioning PAU, the PMAS has been serving as the de facto MAU for the ministry. Under MAAIF restructuring, the PAU will expand by three additional technical analysts, and greater coordination between PAU and PMAS has been facilitated through the appointment of a senior manager to oversee both.

g. Political Support and Approval

Status: Yellow

There is the recognition that agriculture is central to the Ugandan economy. At the highest levels of MAAIF, there is a lack of strong political leadership and direction. It has resulted in poorly identified and developed policy priorities, a culture of reactive and crisis-driven policy making, and limited coordination with other MDAs. Limited government finance has also led to competition across MDAs for scarce resources.

h. Engagement of Parliament/Legislative Body

Status: Green

SC-MAAIF is well organized and active in the policy development process. However, the SC-MAAIF can often act as a bottleneck for policy approval, and highly political issues tend to be given priority.

CONCLUSIONS

Despite the general strength of Uganda's governing policy framework, the policy development process suffers from a number of shortcomings. While there is a clearly articulated policy development process, insufficient institutional capacity and poor high-level leadership has led to a lack of clear policy priorities and a slow policy development process. Agricultural policies often take upwards of five years to work through the system. As a result, there are a number of agricultural policies (NAP, National Coffee Policy, National Seed Policy) and legislation (Plant Variety Protection, Plant Health) that remain in draft form.

¹¹ MAAIF, 2012, Framework Implementation Plan on Operationalization of the New Structure of the Ministry of Agriculture, Animal Industry, and Fisheries

¹² IFPRI, 2011, Institutional Rivalry and Organizational Challenges in Agricultural Administration

Recognizing the capacity constraints within MAAIF, there is a need for greater high-level leadership to prioritize policy actions and ensure that these priorities are given sufficient attention. The NAP, for example, was submitted to the Cabinet in October 2012, but has yet to be put on the agenda. It was suggested that one reason this has occurred was a lack of clear advocacy from MAAIF

Greater cross-sectoral coordination is also needed at the technical level of the policy development process. At the moment, the PAUs do not have a clear institutional home or any centralized coordination mechanism. The OPM is supposed to provide this coordination role; however, it is limited by capacity constraints. Increased cooperation between PAUs would help increase the strength and consistency of policies across MDAs. One possible solution for greater technical coordination is an increased leadership role from the Cabinet Secretariat, Policy Analysis and Coordination Unit. The Unit has been operating with two people since its inception in 2006, but is set to become a Department, and is currently hiring for a Commissioner, Assistant Commissioner, two Senior Policy Analysts, and one Junior Analysts. The Unit is already playing a direct role with each PAU in providing technical guidance and training efforts. With its increased capacity, the Unit will be well-placed to serve in a greater coordination role.

RECOMMENDATIONS

1. **Identification and ranking of policy priorities:** In order to ensure successful approval of draft policies, there is a need for greater leadership from MAAIF to identify policy priorities. MAAIF, in conjunction with relevant Ministries, should conduct a review and ranking of policy priorities. This ranking should include a sequencing of investments, and a clear explanation as to why policies have been given priority. MAAIF should then engage and lobby the Cabinet Secretariat and President to ensure that their top policy priorities are brought onto the agenda of the Cabinet.
2. **Provide capacity building support to the MAAIF-PAU:** Despite being central to the policy development process, the PAU suffers from severe capacity constraints, with only two policy analysts to conduct the functions of policy research, policy development and drafting, and coordination for the entire Ministry. Capacity building to increase the number of analysts, and technical support for effective policy research and development, would serve to greatly improve the policy development capabilities of MAAIF.
3. **Provide capacity building support to the activities of the Cabinet Secretariat Policy Analysis and Coordination Unit:** As a small but highly functional unit, the Cabinet Secretariat Policy Analysis and Coordination Unit is successfully improving the policy development process through policy review, coordination, and training. However, the Unit itself suffers from institutional constraints, and capacity building would have large value for money potential in further increasing the effectiveness of the policy development process.
4. **Provide a forum for greater cross-sectoral technical coordination:** A coordination body for PAUs should be created to better harmonize new and existing policies. Further technical analysis should be done to determine whether this coordination body should be under the Cabinet Secretariat, OPM, or another unit.

POLICY ELEMENT 3: INCLUSIVITY AND STAKEHOLDER CONSULTATION

The participation of civil society and the private sector in agricultural policy-making process in Uganda is high, with numerous umbrella organizations engaged in independent policy analysis and policy advocacy.

OVERVIEW

There are numerous civil society and private sector organizations involved in agriculture and food security policy reform. The **Food Rights Alliance (FRA)**, made up of 62 civil society organizations, provides capacity building and advocacy support to help its members engage in policy change. At the local level, the organization hosts meetings to inform stakeholders of programs, budgets, and to hold local leadership accountable. At the national level, the FRA has seven working groups that gather evidence on policy formulation, monitor policy implementation, and evaluate how policies impact farmers. The FRA has been involved in national policy frameworks, including DSIP and CAADP. The **Civil Society Budget Advocacy Group (CS-BAG)** was formed in 2004 as a coalition of CSOs to advocate for transparent, accountable, and inclusive local and national budgets. CS-BAG activities include independent research, stakeholder meetings to raise awareness of the budget process and issues, and direct advocacy to policy makers. Every year, CS-BAG conducts a performance review of the national budget.

Representing the private sector, the **Private Sector Foundation Uganda (PSFU)** defines itself as the apex body for the private sector in Uganda. Member of PSFU include over 110 business associations, 40 corporate companies, and a number of government agencies that support private sector growth. Activities of PSFU include research and advocacy, facilitating a forum for discussion of policy, maintaining a dialogue with government and undertaking capacity building. PSFU compiles an annual list of priority issues called **Platform for Action**, which are developed from consultations with members, and used as a guiding advocacy document. The private sector is also represented through associations including the **Uganda National Chamber of Commerce and Industry (UNCCI)** and **Uganda Allied Chamber of Commerce, Industry and Agriculture (UACCIA)**. The private sector is also involved through the **Presidential Investors Round Table (PIRT)**, a high-level forum chaired by the President which brings together selected national and international business leaders to offer guidance on how to improve the enabling environment for business.

Women are represented through multiple forums, including the **Forum for Women in Democracy (FOWODE)**, and the **Uganda Women Entrepreneurs Association (UWEA)**. Women's groups are active and influential, not just in gender based policy making, but also in national agriculture policy making. FOWODE, for example, is the chair for CS-BAG. Women's groups generally reported openness to recognizing gender issues in agriculture, although they did raise some concerns about the lack of gender analysis in the formulation of policies and implementation budgets.

At the legislative level, the **Parliamentary Forum for Food Security, Population, and Development** is a voluntary, non-political forum that promotes advocacy and legislation on issues of food security, nutrition, and improved livelihoods.

The recent Vision 2040 policy drafting process provides a useful insight into the stakeholder consultation process. The **National Planning Authority** (NPA) led the drafting process, conducting initial desk research and collaborating with the **Economic Policy Research Council** (EPRC). NPA had a very open and proactive stance towards stakeholder consultation. NPA identified a cross section of representatives of the agriculture sector, held a number of meetings, and recorded stakeholder comments from the meeting. After soliciting feedback, the sections were sent to MAAIF and other ministries for comment, and integrated into a draft. This draft was then circulated to Cabinet, Parliament, relevant Ministries, and political parties. After five drafts, the document was sent to the districts, where two day consultations were held with LGs, private sector, and NGOs. The report was finalized by Cabinet after eight drafts. This process serves to demonstrate a commitment to broad collaboration, but is a generally lengthy process.

CAPACITY FOR POLICY CHANGE INDICATORS

a. Inclusive Participation within the Policy Coordination Management Entity

Status: Yellow

Participation within ASWG is high, with MDAs, DPs, private sector, and civil society invited. Concerns have been raised however that the UNFF is the only organization directly representing private sector and civil society.

b. Outreach and Communications

Status: Green

Government ministries, including MAAIF, hold open dialogue with agricultural stakeholders during the formulation of policies. This consultation is requested as part of the official policy development guidelines, but is largely ad hoc and unstructured. Multiple drafts of draft policies are often circulated to stakeholders.

c. Private Sector Participation – Opportunity/Space

Status: Green

The private sector is given meaningful opportunity to participate formally and informally in policy formulation, including through fora such as budget discussions with MDAs, sector level consultations, the Presidential Investors Round Table, and parliamentary committee meetings.

d. Private Sector Participation – Capacity to Participate

Status: Green

Private sector organizations representing the agriculture sector at the national level are well organized and have the capacity to advocate policy positions and provide a level of evidence-based analysis to support their viewpoints. With over 80% of farmers categorized as smallholders, challenges remain in organizing participation at the local level.

e. Participation of CSOs – Opportunity/Space

Status: Green

Civil society is also given meaningful opportunities to participate formally and informally in policy formulation. UNFFE was able to highlight a number of examples of successful engagement with MAAIF for policy reform, including the removal of withholding tax on inputs and machinery, and the removal of the ban on the import of bull semen for a select number of countries.

f. Participation of CSOs – Capacity to Participate

Status: Green

The capacity of CSOs in Uganda is high, with numerous umbrella organizations engaged in independent policy analysis and policy advocacy. There were some concerns raised however, about the number of consultative fora that civil society was invited to participate in. UNFFE, for example, was invited to serve on six separate committees for the implementation of the non-ATAAS component of DSIP.

CONCLUSIONS

Inclusivity and stakeholder consultation by the government in the agriculture sector is regarded by civil society and the private sector as high. There is a culture of open consultation that permeates all levels of government. Major agricultural policies, such as the DSIP, are formed through participatory processes, which involved private sector, civil society, and DPs. However, while forums for dialogue do exist, they are ad-hoc and not provided for by regulation. This serves to add a degree of confusion to the process, with multiple rounds of coordination often slowing down the policy development process. This makes it harder for stakeholders to track just how much their opinion is included. Additionally without guidelines for consultation, the process for selecting stakeholders to consult is decided each time, and this has led to complaints that certain key groups of stakeholders were omitted (often unintentionally) from the process.

One additional concern raised by stakeholders is the recent pressures on government finances, which has led to a drive to cut consumptive expenditure from Ministry budgets. One of the primary cuts has been for the consultative process, leading to fewer workshops and reduced participation.

RECOMMENDATIONS

1. **Support the Cabinet Secretariat in developing guidelines for stakeholder consultation:** Official guidelines on stakeholder consultation would help to organize the currently ad hoc nature of the consultative process across all MDAs, including MAAIF. The Cabinet Secretariat is currently in the early stages of drawing up these guidelines. Technical support should be provided to help draft these guidelines and organize workshops for the PAUs on how to follow the guidelines
2. **Introduce a reference database of all CSOs projects engaged in the sector:** There is currently a lack of information on the different CSOs engaged in the agriculture sector. The introduction of a reference database would increase the ability of civil society to coordinate on policy advocacy and implementation.

POLICY ELEMENT 4: EVIDENCE-BASED ANALYSIS

The understanding and institutions exist for evidence-based policy analysis in Uganda. However the quality of data is generally poor and inadequate to be used in evidence-based policy making for the agricultural sector

OVERVIEW

Uganda Bureau of Statistics (UBOS) and MAAIF are the two key institutions responsible for producing food and agricultural statistics. Currently, there are concerns about the adequacy and quality of data and, in particular, the lack of key quantitative data upon which to base policy decisions (including data on production, cropping patterns, crop diseases). There is recognition that agricultural data should be based on regular and periodic surveys, however the last agricultural census was conducted in 2008/09.

The lack of data is caused, in part, by inadequate staffing levels at both the ministry and local government levels. The DSIP recognizes that MAAIF and UBOS have yet to successfully put systems in place to collect annual agricultural production data. To address these shortcomings, the DSIP proposes a number of initiatives such as: establishing **Agricultural Statistics Technical and Coordination Committees** which will operate under the reactivated **National Agricultural Statistics Technical Committee** (NASTC); establishing a statistical methodology for estimating production; developing a national food and agricultural statistics system; and establishing a food and agricultural statistics databank. A new structure for MAAIF has been approved and efforts are currently being made to recruit 12 statisticians. This will enable more effective M&E and raise the profile of the Statistics Unit.

With decentralization, the MAAIF lost the ability to directly link with technical people at the local government level, as these are now under the responsibility of **Chief Administrative Office** of each district. Each district is supposed to have a District Planner, who should provide primary data to UBOS. However, these officers are overwhelmed, and lack the resources to adequately collect or analyze data. Other possible sources of data at the local level, such as **Population Officers** (funded by the FAO) and **Health Officers**, are not adequately engaged by MAAIF or UBOS.

Nationally, there are a number of institutions which are involved in generating data and these include the **Uganda National Council for Science and Technology** (UNCST) and **Economic Policy Research Council** (EPRC). There are also a number of private sector research institutions which contribute to the pool of knowledge and information on agriculture policy and development. However the extent to which research outputs from such organizations feeds into the sector policy planning process is not clear.

CAPACITY FOR POLICY CHANGE INDICATORS

- a. Economic and Financial Analysis Completed as a Component of Planning:
Status: Green

An elaborate process is in place to provide for economic and financial analysis of policy proposals. In most cases, these require that MFPED issues a certificate of financial implications, especially if they require to be passed into law.

b. Performance Monitoring Measures and Targets Developed

Status: Yellow

Although the DSIP lays out program outcome indicators, these indicators remain broad and need to be broken down further into specific action steps to create clear responsibility for implementation, and detailed program evaluation indicators.

c. Quality Data Exists for Policy Monitoring

Status: Yellow

The available data is considered outdated and of poor quality. The last agriculture census, which is the basis for current statistics, was conducted in 2008/2009 and there have been no regular annual surveys to update the data. Annual production data is based on consultation with MAAIF and examination of available statistics such as weather patterns. However, efforts are being made jointly by MAAIF and UBOS to resuscitate the currently dormant National Agricultural Statistics Committee, which will provide impetus and technical guidance for gathering and disseminating agricultural data and information.

d. Quality Data is Accessible for Policy Making

Status: Yellow

Agricultural stakeholders have highlighted the difficulty in gaining access to agricultural data. Representatives from the FRA, for example, expressed difficulty in accessing the annual MAAIF **Budgetary Framework Papers** (BFP). This lack of access does not seem to be purposeful, but more appears to be a result of a lack of capacity with MAAIF and a general lack of clarity over who exactly is collecting data. For example, the NGO Café Africa indicated that it had collected over 650 documents related to coffee in Uganda alone, and was seeking institutional support in hosting the documents.

e. Inclusion of Analysis in the Policy Development Process

Status: Yellow

Existing policy documents such as the DSIP reflect a significant level of analysis. However, the analysis is mostly qualitative in nature. The prospects for greater quantitative analysis are marred by a lack of good data.

f. Capacity to Monitor Policy Implementation and Results

Status: Red

There is no evidence of a clearly laid out monitoring and evaluation system that has defined targets and objective performance measures. This is due to a combination of factors such lack of reliable data, low institutional capacity, and the smallholder-based, fragmented nature of the agricultural sector.

g. Annual Performance Measurement Report Produced and Reviewed

Status: Green

An Annual Agricultural Sector Review is conducted and generates a report outlining actions and recommendations to be implemented in subsequent years. However observations have been made that the Sector Annual Report, which is prepared by

MAAIF to guide the review, lacks indicators and targets against which progress is objectively assessed.

h. Independent Analysis Capacity Exists

Status: Green

There is a dynamic civil society and private sector in Uganda which has the capacity to undertake independent analysis of policies and to effectively lobby government on related matters. For example, under a civil society initiative, there has been a review of the implementation of the Agriculture DSIP.

CONCLUSIONS

The conditions and understanding exist for evidence-based policy analysis in Uganda, along with the necessary institutions and systems. However, the collection of relevant, up-to-date, accurate, and reliable data is constrained by a lack of resources. With the last agricultural census having been conducted in 2008/09, the basis for existing data to inform policy analysis is outdated and unreliable. The DSIP outlines some plans and programs to address these shortcomings, although there has been slow progress on implementation.

RECOMMENDATIONS

1. **Provide technical and financial support to UBOS for low-cost annual production surveys:** Recognizing capacity constraints within UBOS and MAAIF, financial and technical support should be provided to UBOS to provide low-cost annual production surveys. In the absence of agricultural censuses, this would serve to provide policy makers with more reliable annual production data for policy making.
2. **Provide technical and financial support to the Planning Directorate within MAAIF to introduce ICT for collating, storing, disseminating, and analyzing research data:** This can be achieved through a web-based portal, complemented by a physical library accessible to policy makers, researchers, and other interested parties.
3. **Work with UBOS to build the capacity of District Planners to collect agricultural data:** A clearly defined mechanism for data gathering should be established at local government level together with an appropriate system for transmitting, processing, analyzing, and disseminating the information across all levels of government.

POLICY ELEMENT 5: POLICY IMPLEMENTATION

The existing institutional configuration and management systems within MAAIF are inadequate for effective policy implementation of the DSIP. Insufficient institutional funding and a lack of political focus have created a “catch 22” situation within the Ministry. This insufficient funding limits MAAIF’s capacity for reform, and in turn MAAIF’s poor capacity for reform limits its ability to mobilize and utilize funding.

OVERVIEW

The DSIP is the primary implementation plan for the agriculture sector, but has been marred by slow progress and a considerable implementation shortfall. The DSIP is being implemented in two components. The first component, the **Agricultural Technology and Agribusiness Advisory Services Project (ATAAS)**, focuses on the provision of services in research (through NARO) and extension (through the **National Agriculture Advisory Service, NAADS**). NAADS was established to provide demand-driven extension services and effectively replaced the abolished Department of Agricultural Extension in MAAIF. However there have been challenges in NAADS’ operational implementation as its mandate has been changed several times to meet political needs. The NARO delivers research services through nine **Zonal Agricultural Research and Development Institutes (ZARDIS)**, which together with other research institutions (universities, NGOs, the private sector and international research agricultural organizations), constitute the **National Agricultural Research System (NARS)**. ATAAS is still in the early stages of implementation, and no evaluation of progress has been conducted yet.

The Non-ATAAS component comprises 21 sub-programs across three areas; thematic investments (including seed and fertilizer), commodity value chains, and transformative investments (including capacity building, agricultural statistics, and monitoring and evaluation). For each sub-program, **Framework Implementation Plans (FIPs)** were developed by 12 representative task teams. The FIPs were intended to feed into the budgeting process to enable the activities to be funded under government allocation or through donor funding. However the process has lagged behind schedule, with the result that the majority of FIPs have not been included in 2013/ 2014 budget cycle. The European Union has recently committed to fund a study to assess the status of the FIPs, to identify the level of current commitments and funding gaps, and to identify priorities for support by DPs.

MAAIF is supposed to be monitoring policy implementation at the district level, but in practice it does not have the resources or the capacity. MAAIF is severely understaffed in critical departments such as planning, policy analysis, and monitoring and evaluation, and is operating at about 40% of its authorized staff establishment. This lack of resources has adversely affected policy implementation and distorted operational processes. For example, in the coffee sector, while UCDA has no authority to engage in production support, a lack of capacity within MAAIF has meant that UCDA is now actively engaged in providing extension services (which should be done through MAAIF). Be that as it may, UCDA only has 18 extension officers operating at the

regional level. NAADS currently has no coffee specialists, but has indicated its desire to train 900 extension workers and has asked UCDA for help in providing the training.

CAPACITY FOR POLICY CHANGE INDICATORS

a. Implementation Plans Developed

Status: Green

As part of the implementation of the non-ATAAS DSIP sub-programs, 12 MAAIF Task Teams were formed with approximately twenty stakeholders from the agriculture sector, including MAAIF and agencies, MDAs, the private sector, and civil society. These task teams produced 23 FIPs across three areas: thematic, commodity value chain, and transformative interventions. The FIPs were presented during seven days of stakeholder consultation with over 1,000 participants in September 2012.¹³

b. Systems in Place to Analyze Implementation Capacity Constraints

Status: Yellow

A number of institutional and capacity assessment exercises have been undertaken, including the Post-constitutional Restructuring Exercise in 1998, the Core Functional Analysis Exercise of 2000, the MAAIF Reorganization Exercise of 2002, the MAAIF 'In-House' Restructuring Exercise in 2008, and the MRR. These studies have clearly identified areas of weakness, improvement opportunities, and priorities. Implementation of these studies, however, has been limited.

c. Food Security Policy Priorities Aligned with Work Plans of Line Ministries

Status: Green

The DSIP lays out detailed policy objectives for food security and details 23 specific programs to be implemented in this regard. Two of the programs for agricultural research and extension are already under implementation while FIPs have been developed for the remaining 21 programs. The DSIP is itself aligned to the National Development Plan

d. Policy Implementation Budget Committed by Host Country

Status: Red

Current sector budget is about 4% of overall budget which is significantly below the 10% level set under CADDP. Much of the agriculture budget goes to recurring expenditure, with a smaller proportion of funds going to development expenditure. Funding for agriculture has been blighted by poor procurement procedures, which leads to leakage, wastage, and poor utilization of funds. It has taken three years to secure funding for DSIP, and funding priorities from the FIPs for the year 2013/2014 have both not yet been agreed to, and are not likely to be incorporated in the current budget cycle.

e. Supplemental Implementation Funds Secured

Status: Red

The agricultural sector has benefitted from a strong interest from DPs who have provided both development and administrative financial and technical support. Under Danish support,

¹³ MAAIF, 2012, Proposed Plan to Operationalize the Non-ATAAS Component of the Agriculture Sector Development Strategy and Investment Plan.

a Technical Advisor has been provided to MAAIF and there are several ongoing donor-funded projects. However there are concerns about MAAIF's absorption capacity leading to funds being diverted to other activities (e.g. €15 million of EU funding is to be diverted from sector support to an equity fund for private sector development). MAAIF has also been making efforts to qualify for direct budget support, but so far has been unable to meet the qualifying criteria for this aid disbursement mechanism. MAAIF has been unsuccessful to date in securing **Global Agriculture and Food Security Program (GAFSP)** funding.

f. Administrative and technical capacity of staff to implement policy change.

Status: Red

The capacity of MAAIF, in terms of both numbers of staff and technical competence, is considered weak, but this is currently being addressed. Additional staff, specifically for the statistics and PAUs, are being recruited, and training is being provided to existing staff to improve their knowledge and capabilities.

g. Monitoring and Evaluation

Status: Red

M&E capacity within MAAIF is weak. However, the structure is being expanded, with capacity planned to be increased by 20%. MAAIF has received approval to increase statisticians from two to ten, and has begun the recruiting process. As part of the DSIP formation process, a list of indicators was developed based upon submissions from MAAIF programs and projects. These indicators were then restructured based upon the ease and cost effectiveness of collecting the data. Each sub-program under DSIP has at least one indicator.¹⁴ The FIP for Monitoring and Evaluation and Statistics highlighted three priorities for building the institutional and organizational capacity for MDAs and LGs.

CONCLUSIONS

While Uganda's planning processes are robust and of high quality standards, the implementation of the policies is undermined by inadequate budget provisions and weak political focus. At 4% of total expenditure, the allocation is less than half of the commitments made under the CAADP compact and much of the allocation is absorbed by recurring expenditure such as salaries and administration. However, efforts by MAAIF to increase the budget allocation have been severely undermined by the ministry's poor absorption capacity of even the little funds which have been allocated to it. Funds from DPs are supposed to make up for this shortfall, but access to donor funds has been limited by weak governance systems. There is also a lack of transparency over financial allocations, which have led to highly publicized incidents of misappropriation and pilferage of allocated funds. This has created a "catch 22" situation because MAAIF's limited capacity is, in itself, a result of inadequate funding of the sector. There is an opportunity to break this "vicious circle" to allow for a more adequate and sustainable funding arrangements to be put in place. This involves a greater understanding of MAAIF's absorption capacity, revised assumptions for agriculture sector support, and a more effective M&E system.

¹⁴ MAAIF, 2010, Agriculture Sector Development Strategy and Investment Plan (DSIP): 2010/11-2014/15

RECOMMENDATIONS

1. **Conduct technical analysis of MAAIF's absorption capacity:** There is need to clearly establish the causes of MAAIF's poor absorption capacity so that targeted support can be given to ensure the ministry is able to effectively mobilize committed resources and spend allocated funds.
2. **Revise assumptions and conditionalities for agriculture sector support:** The current paradigm amongst the DPs (and indeed MFPED) has been to link financial support to the agricultural sector to remove MAAIF's institutional weaknesses. Given that institutional capacity development is a long process, GoU and DPs should identify alternative and innovative ways of channeling financial support to the wider agricultural sector, while also addressing MAAIF's institutional deficiencies.

DRAFT

POLICY ELEMENT 6: MUTUAL ACCOUNTABILITY

In Uganda, there are adequate institutional arrangements in place to facilitate and promote mutual accountability in policy implementation, with key stakeholders working under various umbrella organizations and platforms to enhance collaboration and self-regulation. However, a strained working relationship between the MAAIF and DPs is currently limiting cooperation and funding for the MAAIF

OVERVIEW

The relationship between the GoU and DPs appears to be currently characterized by mutual suspicion and recrimination. A number of DPs have suspended financial support to the government because of allegations of impropriety in the use of funds allocated for the **Peace Recovery and Development Plan (PRDP)**.¹⁵ However dialogue still persists through the ambit of the ASWG which is, inter alia, responsible for: coordinating and harmonizing sector policy implementation in line with the NDP goals and objectives; ensuring that sector investment programs are aligned with agreed sector priorities; and reviewing the sector (BFPs which provide the basis for the sector's annual budgets).

The DPs have their own sector coordination group, the **Development Partners Group (DPG) on Agriculture**, which meets regularly to review progress in the sector. However, there are concerns that DPs lack effective coordination and cohesion, and that they do not act toward the same goal. As a result, some agriculture areas are over-supported, while others are not supported at all. There also seems to be an inordinate focus by DPs on MAAIF's weaknesses instead of a broader sectoral perspective view, for example, on the private sector farmers and local governments where much of the responsibility for implementation rests. As a consequence, development funds remain "locked up", while efforts are directed at strengthening MAAIF's institutional and governance arrangements (whereas, in reality, only a small proportion of funds will actually be allocated to ministry activities).

The main point of interface between government and the DPs is the ASWG. In addition to interfacing through the ASWG, the government and DPs are jointly involved in the newly implemented annual **Agricultural Sector Review** process. This involves the main stakeholders in the agricultural sector, and its purpose is to provide a platform for jointly assessing the performance of the sector in relation to set performance targets, discuss challenges, and provide guidance on priorities for implementation in the following year. The review brings together representatives of other relevant MDAs, local governments, CSOs, private sector, farmers and senior staff of MAAIF and its agencies.

¹⁵ The PRDP is a government initiated peace building and economic development programme targeted to Northern Uganda. There have been allegations that much of the funds which were committed by donors were misappropriated. The GoU has repaid the lost funds and is currently prosecuting the people involved in the scandal.

CAPACITY FOR POLICY CHANGE INDICATORS

a. A Forum Exists for Regularly Scheduled Donor-Government Meetings

Status: Green

ASWG provides the primary forum for regularly scheduled donor-government meetings. The ASWG should meet at least eight times per year. Minutes from the meeting are circulated to members.

b. Joint Policy Priorities Developed

Status: Green

The DSIP lays down the policy priorities, which were jointly developed by sector stakeholders. The annual work-plans derived would also benefit from stakeholder input the ASWG, the annual sector review, and other consultative fora.

c. Monitoring System Exists

Status: Red

The ASWG does not have a formalized review process, but records action steps from each meeting. These action steps are circulated in advance of the next meeting, where they are reviewed for progress. In particular, greater attention should be paid to financial management aspects of program implementation, such as the levels of commitments, actual allocations made and, any gaps between these.

d. Donor Coordination – Alignment and Harmonization

Status: Yellow

DPs meet monthly through the DPG for agriculture. DPs are closely aligned on policy priorities, but are poorly harmonized on financial commitments, which are channeled through a range of individual projects and programs. DPs have expressed frustration in formal dealings with the MAAIF, and as a result have not been able to program a number of agricultural funding priorities.

e. Private Sector Accountability

Status: Yellow

The private sector is consulted as part of the annual sector review workshop. However, there is currently no private sector representation on the ASWG.

f. CSO Sector Accountability

Status: Yellow

Similarly, civil society is consulted as part of the annual sector review workshop, but there is limited representation of civil society with the UNFFE being the only representative on the ASWG.

CONCLUSIONS

The agricultural sector has suffered the brunt of the current tense relationship between the government and DPs, as it has been traditionally heavily dependent on financial support from DPs. In this environment, the abilities of the respective parties to fully uphold the principles of mutual accountability is undermined and sorely tested. There is a clear commitment from DPs to support the agriculture sector, but a frustration with slow institutional change within MAAIF. This

focus on MAAIF's institutional weaknesses risks diverting attention of the DPs away from providing support to other important agricultural sector development initiatives.

RECOMMENDATIONS

1. **Ensure greater collaboration between DPs and MAAIF in areas of policy development and financial management:** There should be a reorientation of dialogue between the government and DPs so that issues of policy development and coordination, resource availability, utilization, cost-sharing mechanisms, and conditionalities are more fully and transparently addressed. There should be a more focused attention at the ASWG and the annual sector review with open discussion on current policy priorities, available funds, what has been allocated from various sources, and how effectively the funds have been used.
2. **Increase participation in the ASWG:** Increased participation in ASWG could be facilitated by inviting representative members of civil society (such as FRA, CS-BAG, and FOWODE) and private sector (PSFU, UNCCI).

CONCLUSION

Uganda has a clearly articulated strategic vision and implementation framework for the agriculture sector. The policy development process is regarded as predictable and transparent, with clearly defined processes and systems for open consultation. All national agricultural plans are aligned with the priorities of the NDP and Vision 2040. The CAADP framework is articulated through the DSIP, providing a policy road map for interventions and investments over a five-year period.

Despite this strong framework, a number of barriers remain for a truly effective policy change process. A lack of leadership, combined with inadequate resources, has created an institutional environment where policies remain predominantly unimplemented. While some progress on institutional reform has been made, MAAIF remains ill-equipped to serve its key functions, and paralyzed to address its systemic constraints. MAAIF is trapped in a 'catch-22' situation, where poor funding reinforces capacity constraints, which in turn exacerbates the funding crisis. In order to get out of this 'vicious circle', MAAIF needs to show commitment to change in three areas:

1. **Demonstrating stronger high-level leadership:** A lack of high level leadership within MAAIF has created unclear policy priorities. Currently, all agricultural policies are regarded as high-priority, and there is no leadership or guidance on importance or sequencing. As a result, policy development ends up being reactive and driven by short-term crises. Recognizing existing capacity constraints, there is a need from MAAIF top management to identify three to five primary policy priorities, and then work with MFPED and DPs to provide resources and advocacy to ensure that these policy priorities are successfully implemented.
2. **Identifying the resource utilization capacity of MAAIF:** Despite being underfunded, MAAIF is often unable to utilize financial resources provided through MFPED and DPs. MAAIF needs to show a commitment to developing systems to measure its resource absorption capacity, as well as an M&E framework for progress on policy implementation. With a greater understanding of absorption capacity, MFPED and DPs can then target specific, measurable, and achievable interventions within key areas of MAAIF.
3. **Improving cooperation between MAAIF and DPs:** There is a clear willingness from DPs to engage in the agriculture sector, but a strained relationship with MAAIF is limiting cooperation. There is a need for MAAIF top management to engage DPs more directly, so that issues of policy development and coordination, resource availability, utilization, cost-sharing mechanisms, and conditionalities are more fully and transparently addressed.

By addressing these barriers, MAAIF will be better placed to implement the DSIP, continue to build a policy environment that advances the goals set out under the CAADP Framework, and achieve its goals in agricultural development and poverty reduction.

ANNEX: CAPACITY FOR POLICY CHANGE INDICATORS

- **Red:** requires significant attention to ensure the component is achieved.
- **Yellow:** Progress is mixed. The conditions required to achieve the component are partially achieved, but additional attention is required.
- **Green:** The component is realized to a sufficient degree, and additional attention to this area is not required at this time.

Capacity of Policy Change Indicators	Status		
			
Policy Element 1: Predictability of the Guiding Policy Framework			
Clearly Defined and Consistent Policy Framework: The policy framework impacting food security policy-making is clearly defined, and consistently applied and enforced from year to year.			
Predictability and Transparency of the Policy Making process: The policy development process is transparent in accordance with the rules contained within the country's constitution, basic law, and elsewhere in the formal legal framework.			
Clear and Functional Legislative System: There is a legislative capacity to deal with food security policy change, and the legislative requirements are clearly defined and predictable.			
Appropriate Dispute Resolution Process/Judicial Framework: The judicial system is perceived as fair and effective, and there is an appropriate system for dispute resolution where conflicts arise relating to food security policy.			
Clearly defined Institutional Responsibilities: Institutional responsibilities are clearly defined, consistently applied, and predictable from year to year.			
Policy Element 2: Policy Development & Coordination			
Approved Food Security Strategy/Investment Plan: There is an approved/official multi-sectoral, multi-year food security plan developed, which specifies priorities and objectives, and addresses the roles of various contributors, including across government, the private sector, and CSOs. The vision and strategy to improve food security is clear.			
Predictable Policy Agenda and Priorities Developed: The policy items required to achieve the national food strategy have been identified and documented, i.e., specific policy objectives exist.			

Capacity of Policy Change Indicators	Status		
			
Work Plans: There is an annual work plan that identifies objectives and activities in regard to policy development.			
Coordination Process: There is an entity, such as a coordination unit or task force, that has defined membership and meets regularly to discuss, develop and coordinate food security policy development (and oversee cross-sector coordination).			
Secretariat/Administrative Support Function: There is adequate staff capability to perform required support processes, including coordination, meeting management, communication, and document management. This may be a stand-alone secretariat, or a responsibility within an existing entity.			
Technical Capacity: There are work groups, or technical committees, that have the authority and capacity to perform the following functions: identify policy and technical challenges/issues, develop sector- or project-specific policies/strategies, consult within the sector and draft funding proposals. There should be active participation by the private sector and CSOs on the technical work groups (as appropriate).			
Political Support and Approval: There is a line of authority/participation by high-level decision-makers above the ministerial level so as to enable efficient political support for the passage and development of new policies, e.g. involvement of prime minister's office (especially for policies that cut across sectors, e.g. trade and agriculture).			
Engagement of Parliament/Legislative Body: There is engagement from the country's legislative entity to debate and engage on food security issues, and to sponsor and advocate for the required legal/policy changes.			
Policy Element 3: Inclusivity and Stakeholder Consultation			
Inclusive Participation within the Policy Coordination Management Entity: The main coordination entity has: a) clear goals and participation from key government ministries (beyond just Ministry of Agriculture) and; b) some representation from non-government entities, particularly donors.			
Outreach and Communications: There is a process for interacting with stakeholders and sharing information. This could include regular public "forums", a website of key information, and other mechanisms.			
Private Sector Participation – Opportunity/Space: The private sector is given meaningful opportunities to participate in policy formulation and strategy discussions. This could be through participation in the management/steering committee, in technical work groups, and/or through other forums. Communications and interactions should be two-way, and access to key information should be readily available.			

Capacity of Policy Change Indicators	Status		
			
Private Sector Participation – Capacity to Participate: Some organizations representing the private sector have the capacity to participate in government-led discussions on food security policy. This is to say they are able to represent their members, they are able to articulate and communicate policy positions, and they are able to provide some level of evidence-based analysis to support their viewpoints.			
Participation of CSOs – Opportunity/Space: The CSO sector, including representation from women’s associations and farmers associations, is provided meaningful opportunity to participate in policy formulation and strategy discussions. This could be through participation in the management/steering committee, in technical work groups and/or through other forums. Communications and interactions should be two-way, and access to key information should be readily available.			
Participation of CSOs – Capacity to Participate: Some organizations representing civil society, including representation from women’s associations and farmers associations, have the capacity to participate in government-led discussions on food security policy. This is to say they are able to represent their members, they are able to articulate and communicate policy positions, and they are able to provide some level of evidence-based analysis to support their viewpoints.			
Policy Element 4: Evidence-based Analysis			
Economic and Financial Analysis Completed as a Component of Planning: National food security priority policy initiatives/investment plans are based on economic and financial analysis, including independent policy analysis. The analysis is available for public review.			
Performance Monitoring Measures and Targets Developed: The national food security policies/plans include specific objectives, performance indicators, and targets to monitor the accomplishment of the objectives.			
Quality Data Exists for Policy Monitoring: There is a database of quality statistics that is used to routinely report and analyze progress in achieving objectives. (Analysis to be conducted by USDA – and not as part of this assessment framework.)			
Quality Data is Accessible for Policy Making: Data on the performance of the agriculture sector and the food security are publically available and shared in a timely manner. This information is available for others to use and analyze.			
Inclusion of Analysis in the Policy Development Process: Evidence-based analysis is considered and used to develop policy priorities/policy proposals.			

Capacity of Policy Change Indicators	Status		
			
Capacity to Monitor Policy Implementation and Results: The government has the ability to review data on policy performance and produce an analysis of the policy’s effectiveness. A policy analysis function/unit exists and has adequate and skilled staff, and is sufficiently funded. If required, specific analysis can be outsourced to specialized firms or consultants as needed (case-by-case).			
Annual Performance Measurement Report Produced and Reviewed: Evidence-based analysis is produced to review policy effectiveness (for implemented policies). A formal review session is held, and includes key development partners (including principal donors and multilateral partners, such as FAO and IFPRI). Recommendations are developed as a result of the review and incorporated into subsequent plans.			
Independent Analysis Capacity Exists: There exists an independent capacity to analyze food security data and use the analysis to make policy recommendations and engage in policy discussion and advocacy. Such an analysis could be conducted by a research institute, university, or similar non-governmental/objective organization. This capacity should be engaged in the government's policy development and review process through papers, forums or participation introduced in official policy review and discussion meetings.			
Policy Element 5: Policy Implementation			
Implementation Plans Developed: The overall food security strategy has been broken down into programs and projects that have: a) a sufficient level of detail to permit implementation; b) have been “packaged” into priority projects that can be managed by ministerial units; and c) “packaged” priorities can be translated into funding proposals to gain support for projects/programs from development partners (to address financing gaps).			
System in Place to Analyze Implementation Capacity Constraints: An analysis of institutional, workforce, system and financial constraints is conducted. Critical implementation constraints are identified; a work plan is developed to address constraints; and implementation actions are moved forward (and periodically reviewed).			
Food Security Policy Priorities Aligned with Work Plans of Line Ministries: The priority policy and associated objectives of the national food security strategy are broken down into specific programs and projects (with a sufficient level of detail) so that policy actions can be implemented by line ministries. The plans of individual ministries, and units within ministries, align with overall national strategy and its policy objectives.			

Capacity of Policy Change Indicators	Status		
			
Policy Implementation Budget Committed by Host Country: Resources are committed by the host country to implement the identified policy agenda. Over time, the country's budget is adjusted to provide adequate financing for the implementation of actions required to implement policy priorities. Budget documents, including budget proposals, are fully released in a timely manner.			
Supplemental Implementation Funds Secured: Proposals can be submitted, and funds secured, to address financing gaps. Funds may come from multilateral funds (such as GAFSP), regional organizations, bilateral donors, or the private sector.			
Monitoring and Evaluation: Capacity exists within the public sector, private sector, or civil society to review the effectiveness and impact of policy changes. Sector reviews are performed and other research evidence is collected. There is a system to share, store, and access the findings from these reviews.			
Policy Element 6: Mutual Accountability			
A Forum Exists for Regularly Scheduled Donor-Government Meetings: These meetings discuss policy and programs and set priorities. Meetings may include Joint Sector Reviews, sector working groups, or other similar arrangements.			
Joint Policy Priorities Developed: A document exists that articulates the shared policy objectives between the government and the donor community.			
Monitoring System Exists: Performance measures exist (for the performance commitments of the government and for the performance commitments of the donors). There is a schedule for reviewing and documenting progress – at least on an annual basis.			
Donor Coordination – Alignment and Harmonization: There is a process for donor participation in the food security policy process and for aligning government and donor objectives and priorities. Donor programs should contribute directly to host country strategies, plans, and objectives. This may include the signing of cooperation frameworks that indicate a joint commitment to specific policy change goals.			
Private Sector Accountability: The government provides feedback to the private sector on the performance of the food security program (including the private sector's role) and provides an opportunity for dialogue on the program and its performance.			
CSO Sector Accountability: The government provides feedback to the CSO sector on the performance of the food security program (including the role of CSOs) and provides an opportunity for dialogue on the program and its performance.			