

More Aid for African Agriculture

Policy implications for small-scale farmers

Annexes

(to be read in conjunction with the reports available at:
www.ukfg.org.uk/docs/More_Aid_for_African_Agriculture_MAIN_REPORT.pdf
www.ukfg.org.uk/docs/More_Aid_for_African_Agriculture_EVIDENCE.pdf)

TABLE OF CONTENTS

Annex 1a: Questions to screen donor's agricultural policy towards African small-scale farmers	1
Annex 1b: List of key policy papers for the research	2
Annex 2: Profiles of the main actors	8
Annex 3: Donors approaches to "Knowledge Aid"	15
Annex 4: Composition of STI-related aid to the LDCs, 2003-2005	16
Annex 5: OECD CRS Codes a Used to Define STI - Related AID.....	17
Annex 6: UNCTAD 2007 report on LDCs – case study.....	18
Annex 7: How S&T is treated in the PRSPs of selected LDCs.....	19
Annex 8: Ethiopian case study	20
Annex 9: Policy phases to support agricultural transformation in favoured areas	22
Annex 10: Linkages between challenges, policies and cooperation.....	23
Annex 11: EU support instruments	24
Annex 12: Trade expansion and Poverty Reduction.....	25
Annex 13: Trends in public spending on agriculture, 1980-2002	26
Annex 14: DFID Bilateral Aid by Broad Sector 2005/06.....	27
Annex 15: Sector breakdown of DFID's bilateral aid by region.....	27
Annex 16: DFID Agriculture spending vs Total Spending	29
Annex 17: USAID Board for International Food and Agricultural Development.....	30
Annex 18: USAID Bureau for Africa- Budget summary FY 2003/ 2004/ 2005/ 2006	31
Annex19: USAID Bureau for Economic Growth Agriculture and Trade (EGAT)- Budget Summary FY 2004-FY2005, FY2006	32

Annex 20: USDS/USAID Strategic Plan FY 2007-2012	34
Annex 21: Rural Development ideas timeline, 1950-2000.....	35
Annex 22: Major development strategies in retrospect, 1960-2000.....	37
Annex 23: The Global Donor Platform for rural Development (GDPRD)	38
Annex 24: NEPAD Peer Review Mechanism.....	39
Annex 24: Alliance for a Green revolution in Africa (AGRA) –Major initiatives	40
Annex 25: Board of Directors -The Alliance for a Green Revolution in Africa (AGRA) 41	
Annex 26: Global Donors Platform on Rural Development “Hot Topics”	43
Annex 27: Global Donor Platform on Rural Development – How they operate?.....	44
Annex 28: Aid to Agriculture in Developing Countries (1975-1999)	45
Annex 29: Analysis of economic and production sector ODA to Africa	46
Annex 30: Perceived advantages and disadvantages of main aid instruments.....	47
Annex 31: Aid to Agriculture in 1980, 1990 and 2000: volumes and shares.....	48
Annex 32: ODA to Africa by sector since 1990	49
Annex 33, Table 1: ODA to Africa by donor and sector in 2004.....	50
Annex 33, Table 2: Education.....	51
Annex 33, Table3: Health.....	52
Annex 33, Table4: Water	53
Annex 34: What’s new in the broader agenda for agriculture?	54
Annex 34, Table3: Risks in the five rural worlds	55
Annex 34, Table4: Why should we care about the future of small-scale agriculture? 56	
Annex 34, Table 5: Pro-poor land administration.....	57
Annex 34, Table 6: The World Bank’s social risk management framework	58
Annex 34, Table 7: A new framework centred on the small producer for investment in science and technology.....	59
Annex 34, Table8: The aid effectiveness agenda	60
Annex 34, Table 9 Defining Agriculture; Table 10 Impact Agriculture on Poverty.....	61

Annex 34, Table 11 Agricultural Policies.....	62
Annex 35: Changing Priorities for the rural sector	63
Annex 36: Overview of IFAD Strategy in Western and Central Africa	64
Annex 37: FAO – IEE overview	65
Annex 38: FAO Headquarters Structure 1 January 2007.....	66
Annex 39: Summary of resources for FAO’s Technical Work (1994-95 -2004-05)	67
Annex 40: FAO technical budget changes 1994 - 2007	68
Annex 41: The Technical areas of FAO’s work	69
Annex 42: FAO – per cent paid of assessed contributions.....	70
Annex 43: Geographical distribution of FAO country-level cooperation.....	71
Annex 44: Geographical distribution of FAO/ TCP net delivery, 2004-05.....	72
Annex 45: Income Sources to FAO TCI Investment Support Program.....	73
Annex 46: some examples of successful piloting identified by the 2003 Evaluation of FAO Activities in Crop Production.....	74
Annex 47: The Purposes and Mandate of FAO	75
Annex 48: The Director-General’s FAO Reform Proposal	76
Annex 49: FAO Reform.....	77
Annex 50: Country-driven priority for expenditure of FAO resources	78
Annex 51: Types of farmer-market linkage	79
Annex 52: Definition of Aid Modalities.....	80
Annex 53: What’s Different about Agricultural SWAPs?.....	81
Annex 54: Simplified Logical Framework Analysis of General Budget Support.....	82
Annex 55: SOFA 2004 - Values and assets of public and private sectors in agri- biotechnology research.....	83
Annex 56: SOFA 2004 - Participatory approach to agri-biotech research.....	84
Annex 57: IDA Funding by Sub-sector	85
Annex 58: Real GDP growth per capita.....	86
Annex 59: Successful World Bank - IDA funded Projects in Africa.....	87

Annex 60: World Bank-IDA Environment Projects Yielding Agricultural Results.....	88
Annex 61: National Rural Development Strategies (NRDS) Completed in IDA Countries FY02-06	89
Annex 62: IDA's SECTOR Note on Agriculture 2007: Hot Button Issues.....	90
Annex 63: Diversification as part of a private sector development strategy in Kenya	91
Annex 64: Promoting vertical diversification in Ethiopia: the case of the leather industry.....	92
Annex 65: Horizontal diversification strategies in Tunisia	93
Annex 66: CGIAR Priorities and Strategies (2003)	94
Annex 67: WFP food procurement from developing countries, excluding Iraq: trends in local and triangular purchases (quantity)	95

Annex 41: The Technical areas of FAO's work

	Crops	Livestock	Fisheries	Forests
Agriculturally Dependent Population Primarily Dependent on the sector	60%	23%	10%	8%
FAO total expenditure for technical sector work, 2004-05	82%		11%	7%

Source: CC IEE (2007), p180.

Annex 42: FAO – per cent paid of assessed contributions

The 15 largest contributors' share of paid up assessed contributions at 30/9 each year (2001-2006)

Table 8.10. The 15 largest contributors' share of paid up assessed contributions at 30/9 each year (2001-2006)							
	Share (%) of paid assessed contributions at 30/9 (2001-2006)						
	2001	2002	2003	2004	2005	2006	Average
USA	0	0	0	0	0	0	0
Brazil	0	0	0	0	0	28	5
China	0	0	0	0	49	50	17
Japan	57	100	0	0	0	0	26
Mexico	68	24	48	100	60	22	54
Rep. Korea	0	100	100	0	49	100	58
UK	100	100	100	100	100	0	83
Germany	100	91	100	100	100	50	90
France	100	100	100	100	100	100	100
Italy	100	100	100	100	100	100	100
Canada	100	100	100	100	100	100	100
Spain	100	100	100	100	100	100	100
Netherlands	100	100	100	100	100	100	100
Australia	100	100	100	100	100	100	100
Switzerland	100	100	100	100	100	100	100
Share of total resources due (from the 15 largest contributors)							
	56	68	46	44	46	34	

Source: CC IEE (2007), p360.

Annex 43: Geographical distribution of FAO country-level cooperation

Geographical distribution of FAO country-level cooperation (excluding regional projects and Iraq's Oil for Food Programme), 2004-2005.

Region	US\$ (million)	Share (percent)	US\$ cents per capita
Africa	470	46%	34
Asia	260	24%	9
Pacific Islands	8	1%	32
Latin America	130	13%	29
Caribbean	26	2%	41
Near East	92	9%	14
Eastern Europe	32	3%	7
Central Asia	12	1%	5

Source: CC IEE (2007), p.117.

Annex 44: Geographical distribution of FAO/ TCP net delivery, 2004-05

Geographical distribution of FAO/ TCP net delivery, 2004-05 (US\$ 000)

Region	Total Net Delivery	Percentage	Average net delivery per	
			project	country
Africa	44,452	40%	\$ 101	\$ 945.8
Asia	22,529	16%	\$ 129	\$ 1126.5
Caribbean	4,931	6%	\$ 74	\$ 308.2
Central Asia	3,265	3%	\$ 105	\$ 466.4
Europe	6,308	6%	\$ 91	\$ 286.7
Interregional	4,118	2%	\$ 242	n.a.
Latin America	15,389	14%	\$ 103	\$ 905.2
Near East	11,075	10%	\$ 96	\$ 738.3
Pacific	3,237	4%	\$ 75	\$ 231.2
Total	115,302	100%	\$ 104	n.a.

Source: CC IEE (2007), p.119.

Annex 45: Income Sources to FAO TCI Investment Support Program

Percentage distribution between sources	2000-01	2002-03	2004-05	2006
World Bank Cooperative Programme	44%	51%	42%	45%
African Development Bank	4%	3%	4%	4%
Asian Development Bank	2%	2%	1%	1%
European Bank for Reconstruction and Development	1%	1%	1%	2%
IFAD	7%	5%	4%	2%
Others	4%	1%	2%	0%
FAO Regular Programme support to TCI	36%	35%	41%	44%
FAO Technical Cooperation Programme	2%	3%	5%	1%
Total \$ 000 at 1994 prices	39,926	37,200	35,751	n.a.

Source: TCI data and base tables for FAO resources

Annex 46: some examples of successful piloting identified by the 2003 Evaluation of FAO Activities in Crop Production

The examples below illustrate a degree of success, but also demonstrate the limitations of the pilot initiative in terms of major sustainable impact:

- development of urban and peri-urban horticulture in the Democratic Republic of Congo with the both raising farmer incomes and contributing to the improvement of nutrition in the major urban centres;
- pilot rubber production in Ethiopia diversifying agriculture and contributing to the increase of farmer's income. Activities now expanded through collaboration with the private sector;
- multiplication of basic and certified seeds of rice in the west of Burkina Faso, a key element of which was the training of farmer seed producers. The project made a major contribution to the doubling of rice production in the country. Five years after the end of the project, the benefits were still apparent through contract arrangements between farmers and a private seed production company;
- cultivation of edible mushrooms in the Vietnam by resource-poor farmers;
- development of sweet sorghum for grain, sugar, feed, fibre and value- added by-products in the arid, saline-alkaline regions of China. Sweet sorghum is now being used as a source for cattle feed and as raw material for industrial processing into alcohol;
- training in hybrid rice technology in Egypt through Technical Cooperation between Developing Countries, which assisted in the development of early maturing rice hybrids with high yield potential and validated their usefulness in farmers' fields, especially under saline conditions.

Source: CC IEE (2007), p.165.

Annex 47: The Purposes and Mandate of FAO

"The Nations accepting this Constitution, being determined to promote the common welfare by furthering separate and collective action on their part for the purpose of:

- a) raising levels of nutrition and standards of living of the peoples under their respective jurisdictions;
- b) securing improvements in the efficiency of the production and distribution of all food and agricultural products;
- c) bettering the condition of rural populations;
- d) and thus contributing towards an expanding world economy and ensuring humanity's freedom from hunger."

Article I further defines the mandate of FAO as follows:

- e) "The Organization shall collect, analyse, interpret and disseminate information relating to nutrition, food and agriculture. In this Constitution, the term "agriculture" and its derivatives include fisheries, marine products, forestry and primary forestry products.
- f) The Organization shall promote and, where appropriate, shall recommend national and international action with respect to:
 - (1) scientific, technological, social and economic research relating to nutrition, food and agriculture;
 - (2) the improvement of education and administration relating to nutrition, food and agriculture, and the spread of public knowledge of nutritional and agricultural science and practice;
 - (3) the conservation of natural resources and the adoption of improved methods of agricultural production;
 - (4) the improvement of the processing, marketing and distribution of food and agricultural products;
 - (5) the adoption of policies for the provision of adequate agricultural credit, national and international; and,
 - (6) the adoption of international policies with respect to agricultural commodity arrangements.
- g) It shall also be the function of the Organization:
 - (1) to furnish such technical assistance as governments may request;
 - (2) to organize, in cooperation with the governments concerned, such missions as may be needed to assist them to fulfil the obligation arising from their acceptance of the recommendations of the United Nations Conference on Food and Agriculture and of this Constitution; and
 - (3) generally to take all necessary and appropriate action to implement the purposes of the Organization as set forth in the Preamble.

Source: CC IEE (2007), p. 78.

Annex 48: The Director-General's FAO Reform Proposal

The Director-General's FAO reform proposals were presented initially to the 2005 Conference as a supplement and further addendum to the PWB 2006-07, which included a Strategic "Vision for the 21st Century". The FAO Conference adopted a Resolution endorsing a first phase of reforms. In May 2006, the Programme and Finance Committees approved a Revised PWB 2006-07, thereby also putting into effect this first phase of reforms. Subsequent proposals from the Director-General were submitted to the November 2006 session of the FAO Council. The Council received an update on progress in the implementation of these reforms in November 2006 and June 2007.

Source: CC IEE (2007), p.91.

Annex 49: FAO Reform

Topic	Status as of June 2007
Restructuring FAO's programmes	The 2005 Conference approved a new chapter structure as a basis for a new programme and programme entity structure. This new structure was fully reflected in the Revised PWB 2006-07 which was approved by the Council's Programme and Finance Committees in May 2006 for implementation as from 1 January 2006.
Reorganization of offices and departments at headquarters	<p>The reform proposals contain a number of strategic changes which are expected to affect FAO's organizational structure at both headquarters and the decentralized offices. The new organizational structure for headquarters approved by the November 2006 Council has been implemented as of 1 January 2007. It includes two important departmental-level changes over previous arrangements, i.e. the departments for Natural Resources Management and Environment (NR) and for Knowledge and Communication (KC). Other changes included:</p> <ul style="list-style-type: none"> • Security functions are now under the authority of the ADG of the AF Department. • Nutrition and Consumer Protection Division moved to the AG Department (renamed Agriculture and Consumer Protection Department) • Advocacy activities (e.g. TeleFood, Goodwill Ambassadors and the International Alliance against Hunger) were reallocated between the new Knowledge and Communication Department ADG Office (International Alliance Against Hunger) and the Communications Division. • Policy advice on the UN System expanded to include MDG Follow-up and upgraded in the Office of UN Coordination and MDG Follow-up (UNC) headed by an ADG. • MSS and ODS merged into the new Shared Services Centre, reporting to the ADG of the AF Department.
Decentralization in programme delivery	The implementation of the Conference approved "first phase" started during 2006, including a "new operating model" for a more responsive field office network of Regional Offices with outposted technical officers, and strategically located Subregional Offices with multidisciplinary teams of technical officers and country offices, the 'FAORs'. The first phase covered the authorized establishment of four Subregional Offices (SRO) in Gabon, Ghana, Ethiopia and Turkey; and the reconfiguration of the existing office in Zimbabwe, along with the downsizing of the Regional Office (RO) in Ghana. The Regional Office for Europe and Central Asia in Budapest and the co-located and reconfigured Subregional Office for Central and Eastern Europe will be operational by July 2007. In June 2007, the FAO Council approved the establishment of a new Subregional Office for Central America in Panama. Country-level capacities are being built up "through the provision of enhanced technical and administrative support to FAORs, staff training and the establishment of additional national professional officer post". There is emphasis on shifting technical expertise from headquarters to decentralized offices (e.g. on Livestock, Land and Water, Plant Production and Protection). In addition, professional posts from the Investment Centre have been outposted to each of the SROs. Refresher courses for FAORs are being organized, drawing <i>inter alia</i> on communications technology, etc. As a result, the budget share of decentralized offices has increased from 33 percent in 2004-2005 to 37 percent in the Revised PWB 2006-07, although the available resources have decreased in real terms.
Achieving efficiency and performance gains	The PWB 2006-2007 includes a list of key measures to be implemented as part of an effective framework to achieve efficiency and productivity gains. The principles of this framework to achieve efficiency savings and productivity gains cover, <i>inter alia</i> , inclusivity; empowerment and accountability; delegation of authority; auto-evaluation and effective cost allocation. FAO indeed aims to achieve "efficiency savings and productivity improvements of about US\$10 million for the current biennium". The implementation of these principles implies in particular: the elimination of manual processing steps through improved system support; the clarification of rules; the delegation of administrative and financial authority; changes to cost allocation rules and internal pricing strategy for staff. The deployment of the new Human Resources Management System would provide the pre-requisite systems functionality for the Shared Services Centre as regards this area of management.
Reinforcing monitoring, evaluation and oversight	The further Director-General reform proposals approved by Council in November 2006 reinstated nearly US\$1 million for the local audit programme, provided a further US\$340 000 to the Office of the Inspector-General and US\$1.1 million to bolster internal control mechanisms in the Finance Division. Additional funding of US\$0.4 million was proposed for auto-evaluations in the main PWB 2006-07 (C2005/3 para 226) and maintained in the revised PWB proposals.

Source: CC IEE (2007), p. 92.

Annex 50: Country-driven priority for expenditure of FAO resources

Summary Scores from member countries on Criteria for Recommendations and Determining

	Needed for balanced global development supporting the three goals of member countries	Stated priority of members	Performance in contributing to sustainable outcomes and impacts	Few competitors	Potential for extra-budgetary support	Priority for Resource Allocation
Advocacy and communication	4	2	2	1	1	Medium
Knowledge management	4	2	2	4	2-3	High
Support to Investment	4	2	2	0	1	Low
Support in emergencies	4	3	3	2	4	High
Basic statistics and data	4	2	3	4	3	High
Information Systems and Publications	4	4	3	2	2	Medium
Crops Production and Processing Technology	4	2	2	1	2	Low
Plant Protection and Pesticides	4	4	3	3	2	High
Plant Genetic Resources and Biodiversity	4	3	3	3	3	High
Livestock sector policy and management	4	3	2	3	3	High
Animal Health	4	3	3	2	3	High
Lands and Soils	4	3	2	4	2	High
IAEA Joint work	1	1	2	3	1	Low
Water and Irrigation	4	2	2	4	2	Medium
Fisheries	4	3	3	3	3	High
Forestry	4	3	4	3	3	High
Food Safety	4	4	3	3	2	High
Support to Institutional Development	4	1	1	4	2	Low
Economic, Social and Food and Nutrition Policy	4	4	2	2	3	High
Gender mainstreaming and women's empowerment	4	2	2	1	2	High
Environment and Natural Resources Management	4	3	3	3	3	High
Production, Technology Transfer and Piloting	4	3	1	0	1-2	Low
Legal Services	4	3	3	2	2	Medium
Development of Policy and Strategy	4	4	2	2	3	High
Capacity Building	4	4	2	2	3	High

Source: CC IEE (2007), p.193.