



Assessment of Sector Wide Approaches (SWAp)



Outline of the Presentation

- ▶ Objectives of the Assessment
 - ▶ References and Methodology Used
 - ▶ Defining SWAp
 - ▶ Criteria Applied for the Assessment
 - ▶ Preliminary Results
 - ▶ Way Forward
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Key Objectives of SWAp Assessment

Assess

- Effectiveness and functionality of SWAP

Generate

- More comprehensive understanding of the requirements of SWAp

Draw

- Action Plan for strengthening SWAPs across all development sectors

Incorporate

- Lessons learned into the elaboration of EDPRS 2



Structure of the Report

Part 1

- Assessment of SWAp Sectors (Justice, Agriculture, Education, Health, Transport and Energy)

Part 2

- Assessment of Non-Swap Sectors (i.e. Water and Sanitation, Private Sector, Decentralisation, Social Protection + others) to assess their SWAp-readiness

Part 3

- Action Plan for Improving Effectiveness of SWAp
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Key Reference Materials

- ▶ SWAp MoU
- ▶ Sector Strategic Documents
- ▶ Sector M&E Framework
- ▶ EDPRS Self Sector Assessment
- ▶ District Self Sector Assessment
- ▶ EDPRS, Policy and Result Matrix, Common Performance Assessment Framework
- ▶ Development Partners' Assessment Framework
- ▶ Development Assistance Database
- ▶ Medium Term Expenditure Framework (MTEF), Strategic Issue Papers (SIPs)

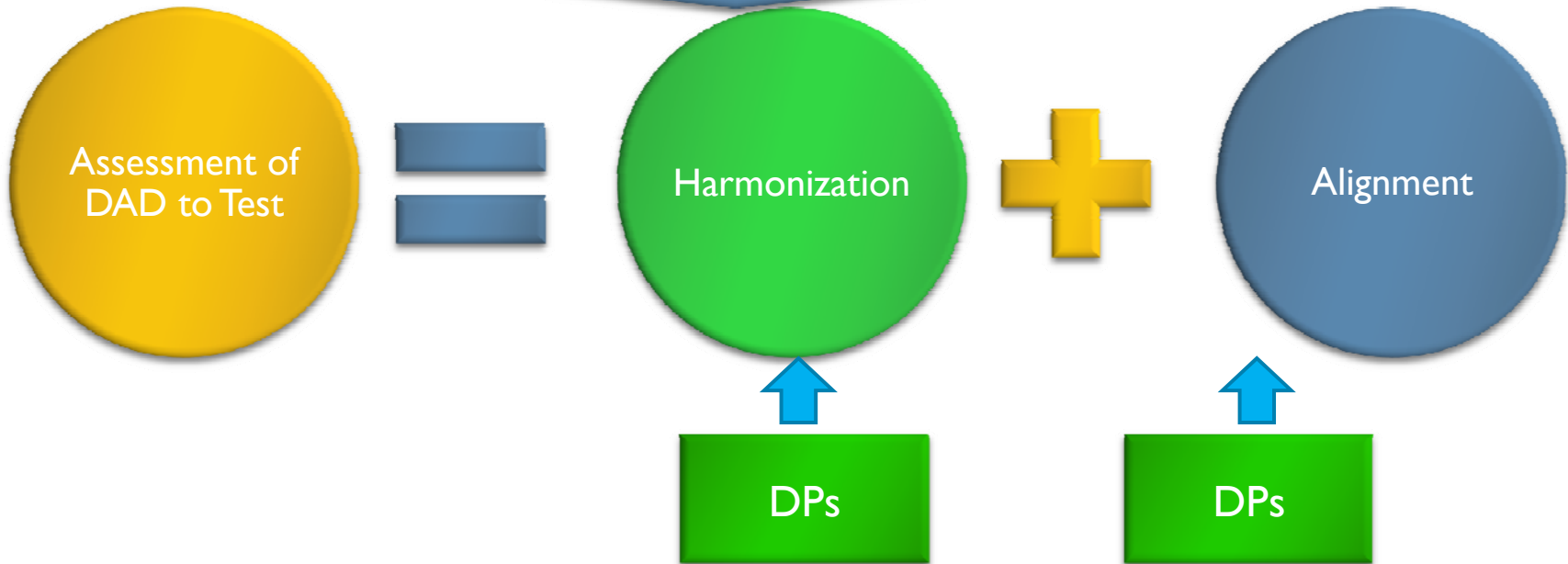
Interviews were also conducted with all DPs and Most SWAP Sectors from the 10th to 25th of January, 2012; Second phase of interviews will be conducted from the 12th of February, 2012





Development Assistance Database

The DAD is an important tool for assessing whether SWAPs are engendering improvements in harmonization and alignment.





SWAp as Defined by Aid Policy of GoR

Method of working between government and development partners

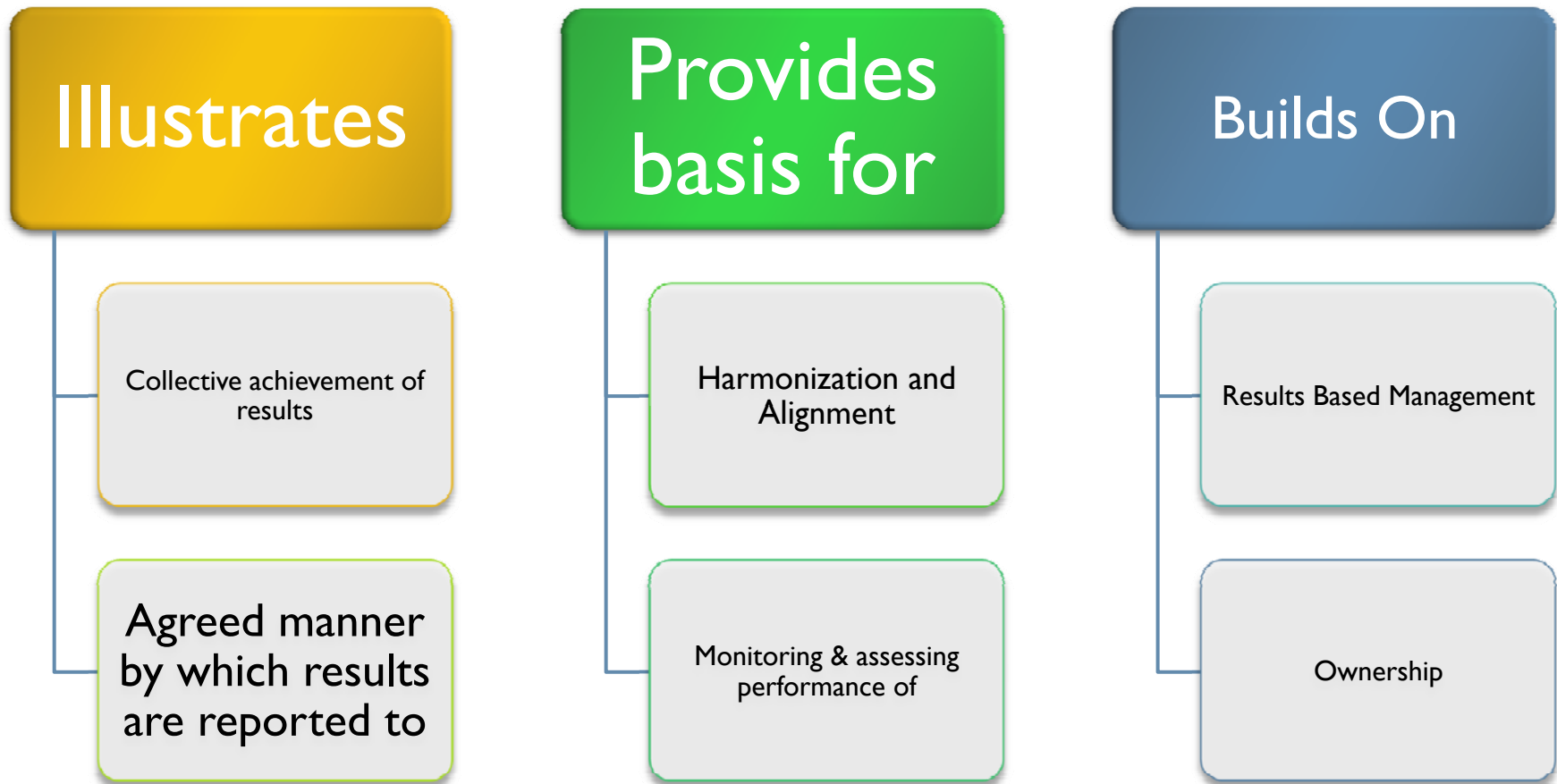
To implement a single sector strategy

Reflected in a single expenditure programme for the sector

The purpose of a SWAP is to reduce transaction costs of development assistance in a sector while improving policy and technical dialogue between partners and government.



Why SWAp?



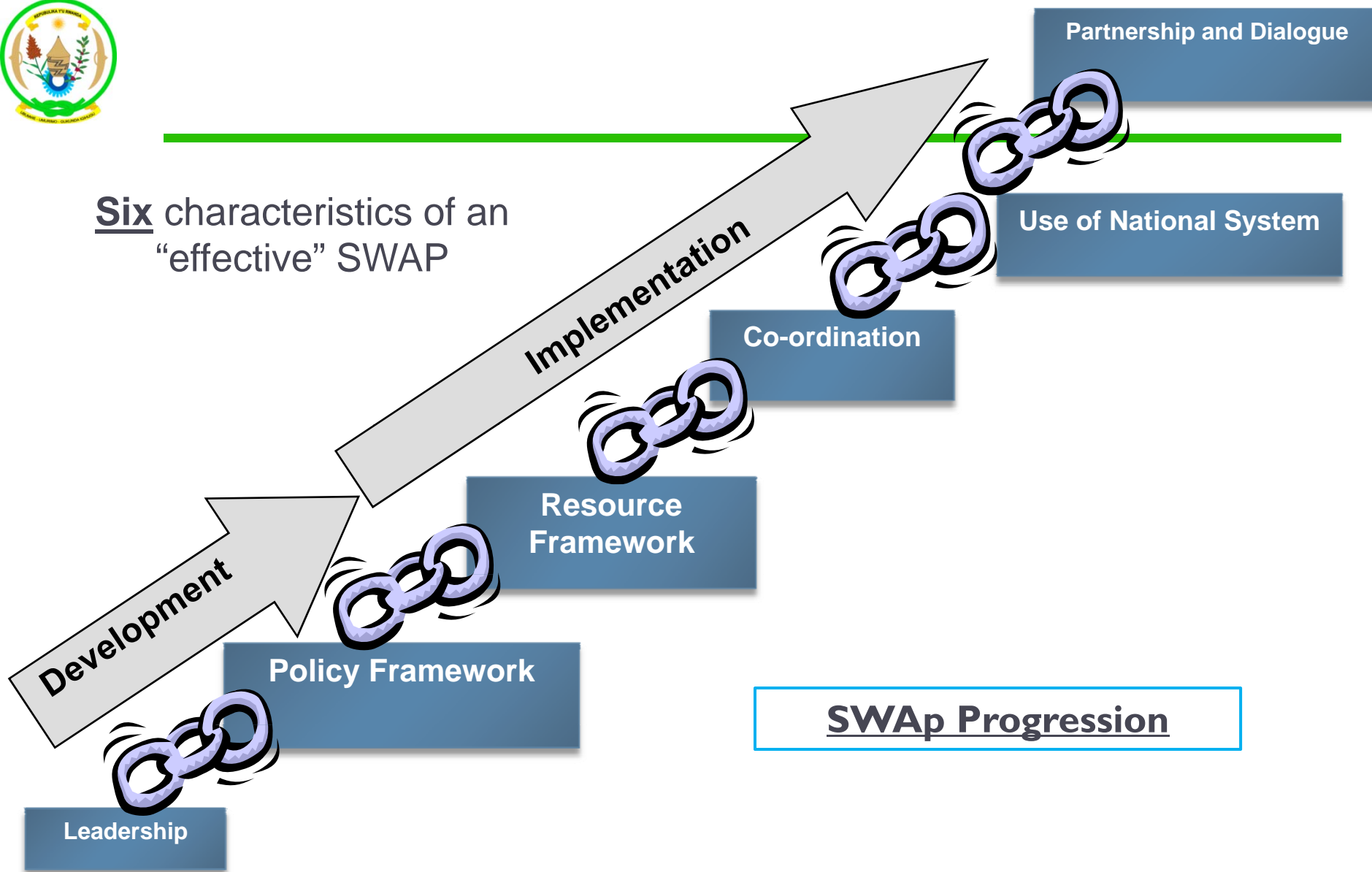


Aid Effectiveness Principles as the Basis of SWAp





Six characteristics of an
“effective” SWAP





Description of Criteria Used for Assessment

Leadership	Comprehensive Policy/Planning Framework	Comprehensive Resource Framework	Co-ordination	Use of National System	Partnership and Dialogue
<ul style="list-style-type: none">• Govt. sets out policy, identifies how resources are to be used, defines implementation arrangements, manages coordination and establishes effective monitoring mechanisms.	<ul style="list-style-type: none">• Provides basis for defining the “sector” and the engagement of resources of all domestic and external partners	<ul style="list-style-type: none">• An annual work plan (and/or a medium-term framework linked to the budget) that supports the strategic allocation of resources and promotes consistency, prioritisation, efficiency, and sustainability	<ul style="list-style-type: none">• Formal process of donor coordination and harmonisation of donor procedures in reporting, budgeting, financial management and procurement	<ul style="list-style-type: none">• Projects/programmes uses local systems of programme design, programme implementation, financial management, and monitoring and evaluation	<ul style="list-style-type: none">• Inclusive coordination mechanisms are established including participation of non state actors



Current Status of the Assessment

Justice	• Assessment Completed
Agriculture	• Assessment Completed
Health	• Assessment Completed
Education	• Assessment Completed
Natural Resources	• Work in Progress
Transport	• Work in Progress
Energy	• Work in Progress

All SWAPs are undergoing a SWAP process, evolving towards the ideal of the effective SWAP characteristics. This assessment focused on comparing existing SWAPs against these ideal characteristics.



Current Status of the Assessment

SWOT of Justice Sector SWAp



Strengths:

- Strong leadership by the GoR
- Sector strategy fully aligned to EDPRS
- Relatively strong co-ordination, partnership and dialogue structure
- Improved NGO participation

Weaknesses:

- Absence of comprehensive policy
- Unclear roles and responsibilities of key institutions
- Fractured management and coordination of projects at the institutional level
- Strategic Plans not based on proper costing and cross-cutting issues are absent
- Low capacity in planning, budgeting, reporting and procurement
- Some institutions received proportionally more external funding than the others within the sector creating funding imbalance
- Sector Strategy Document mentions the costs only for priority activities only
- Limited link with (DDPs)
- Outputs/activities and the M&E framework of the Justice Sector is not captured in the DDPs.
- Too many meetings for stakeholders increasing transaction cost
- Co-ordination Secretariat is under staffed
- Sector strategy is largely silent on the role and contribution of civil society and the private sector.



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Current Status of the Assessment

SWOT of Agriculture Sector SWAp



Strengths:

- Strong donor coordination (Of 13 project missions to the Agriculture sector in 2010/11, 8 were joint)
- Effective operationalisation of the strategic plan with good capacity
- Aid disbursed compared with scheduled commitments in 2010/11 fell slightly, but at 83.5% remained above the DPAF target of 83%.
- Stakeholder engagement in the sector is generally considered to be “good”.
- Well co-ordinated ear-marked transfers to districts

Opportunities:

- Programme-based support to the sector increased significantly in 2010/11
- Aid commitments to the Agriculture Sector increased by 64% in 2010/11
- Establishment of SPIU would have a large impact, as there are many projects using PIUs in the sector

Weaknesses:

- Sector costing lacked a cost-benefit analysis
- Financing gap over 2009-12 was projected at 38% in the costing of the Sectoral Plan
- Poor inter-ministerial coordination on budgetary issues
- Lack of linkage to DDP
- M&E Framework is too complicated threatening its relevance.
- Disproportionate focus on programme I
- Limited involvement of districts in formulation of sectoral plans
- Limited understanding of the Sectoral Strategy by districts (few reported)
- Lack of financial reporting on funds at the district level
- Limited communication with NGOs, Districts and the private sector

Threats:

- Proliferation of small projects (45 DP interventions in the sector in 2010/11 over half of which were for projects with disbursements of less than US\$1 mn per year)
- Only 30.8% of aid to the sector in 2010/11 used national budget execution procedures
- Use of individual PFM systems lagged far behind the DPAF targets
- No reference to Public Private Partnership (PPP) although sector is heavily dependent on the



Current Status of the Assessment

SWOT of Health Sector SWAp





Current Status of the Assessment

SWOT of Education Sector SWAp



Strengths:

- The sector is considered to be very inclusive, particularly involving NGOs in a much more meaningful way than other sectors.
- Considered as a model of strong co-ordination
- Strong Sector Strategic Plan and M&E Framework

Weaknesses:

- SWAP MoU expired
- Large fluctuations in development assistance, and the DoL policy removed the mandate of one of the sector's largest donors, the World Bank, to be involved.
- Budget execution fell in 2009/10 and 2010/11 to 89%
- A very large financing gap projected in the Strategic Plan, tending to around 78% towards the end of the period

Opportunities:

- Oldest SWAP: sector is willing to innovate and experiment with different ways of working
- DPs have strong willingness to support

Threats:

- The predictability of aid fell in 2010/11, and only 77% of commitments were realized—short of the DPAF target of 83%.
- Number of project-type interventions for less than US\$1mn (disbursement per year) almost doubled (Half of the DPs involved in the sector in 2010/11 managed more than two project-type interventions)
- Less than 50% of aid uses budget execution procedures, the national financial reporting system and the national auditing procedures
- Only 28.6% of aid qualified in 2010/11 as PBA
- The lack of consultation on some key policy shifts has diminished the level of partnership in the sector.



Way Forward

Complete all SWAp Sector Assessment by 2nd of February, 2012

Complete Assessment of other remaining Sector (light touch) by 10th of February, 2012

Develop the Preliminary Implementation Plan (Action Plan) by 13th of February, 2012

Circulate the Draft to all Stakeholders by 15th of February, 2012

Organize Workshop on the 20th of February, 2012

Incorporate Comments and Submit Final Report by 24th February, 2012



THANK YOU
