

**SMALL  
SCALE  
FARMERS**

**PUBLIC  
EXPENDITURE  
TRACKING  
SURVEY**

***“Invest in  
us, Budget  
Kilimo”***

*[East African Farmers]*

# **ESAFF - PETS ACTIVITIES IN A NUTSHELL**



**THE EASTERN AND SOUTHERN AFRICAN SMALL  
SCALE FARMERS' FORUM (ESAFF)**



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## ESAFF PETS ACTIVITIES IN A NUTSHELL

In the interest of assisting Small-Scale Farmers to prepare and conduct PETS in their areas/country, this brochure simply outline key steps to be taken by Small Scale Farmers when conducting PETS. The brochure is for ESAFF partners who have already received training on Social Accountability and can use this brochure as a quick reference before and during implementation of their Action Plans.

### ***Vision Statement***

*A strong effective forum of empowered Small Scale Farmers with united voices in the policy processes for ecological agriculture and poverty free Eastern and Southern Africa region.*

### ***Mission Statement***

*Empowering Small Scale Farmers in Eastern and Southern Africa to influence development policies and promote ecological agriculture through capacity strengthening, research and networking.*

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## STEP 1: Build the capacity of target groups & Develop Action plans

### 1:1: Capacity Building on:

- ▶ Understanding of Human Rights Based Approach
- ▶ Understanding on Social Accountability
- ▶ Local Governance and Budgets
- ▶ Public Expenditure Tracking Surveys (PETS) and PIMA CARDS
- ▶ Basic Skills on Advocacy

### 1:2: Action Plans

- ▶ Develop and agree on what activities will be done after the training.
- ▶ You can categorise your plan with Short-term; Medium-term and Long-term plans/activities
- ▶ Put time frame, and a realistic budget for each activity
- ▶ Ensure the action plan outlines what is going to be done at various levels (e.g. project, village, commune, ward, district, province, Regional or National level)

## STEP 2: Determine scope & objectives and Identify key actors

- ▶ Will PETS be conducted for the entire sector, a particular geographical area, or a specific project?
- ▶ Identify issues and bottlenecks within the Agriculture sector, area, program/project
- ▶ Establish objectives for expenditure tracking and outline expected outcomes
- ▶ Identify potential partners and key actors that you will work with



*"More than three-quarters of the world's poor live in rural areas, toiling on tiny plots of land that yield barely enough to support their family's basic needs and necessities"*

*[International Finance Corporation-IFC - World bank Group. 2014]*

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### **STEP 3: Formulate District Agriculture Monitoring Committee on PETS and introduce the project to local government officials**

#### **Formulate AMC**

- ▶ Identify key stakeholders and individuals that will fit into the Agriculture Monitoring Committee (AMC)
- ▶ Number of AMC should not exceed 13 members
- ▶ Invitation letters to selected potential AMC members
- ▶ Convey and agree on the purpose and general objectives of the study
- ▶ Setting mechanisms how the Monitoring Committee will work effectively

- ▶ **Preparation of the Scooping workshop with Local Government Officials**
- ▶ Hold a meeting involving all level of local government officials and the small-scale farmers/community
- ▶ Introduce the Project, Objectives of PETS Survey, a brief on the importance of Social Accountability and HRBA, focus on the effectiveness of PETS
- ▶ Discuss how the exercise will be carried out, with whom, for how long, and possible inputs, outputs and outcomes
- ▶ Generate discussions on what support and collaboration is needed during implementation
- ▶ Agreed together with the district on access to information and what type of information will be requested during implementation
- ▶ If possible set up time line for proposed issues/activities.
- ▶ Request the Local Government to formal communicate with the lower level (*Get a written letter from the district/Agriculture sector department*)

***“While around 40% of the EU budget is for the Common Agricultural Policy, public expenditure allocated to agriculture in Africa is on average less than 5%”***

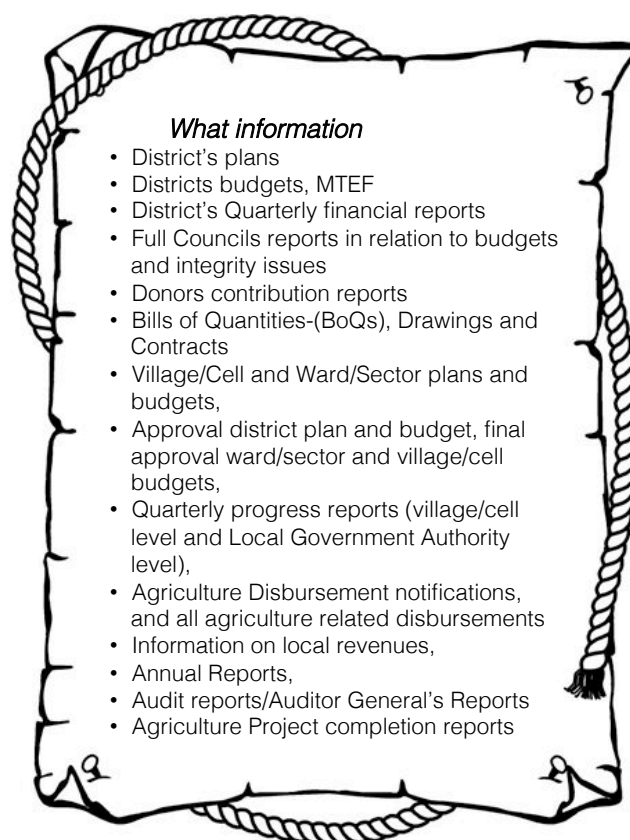
*[Mo Ibrahim Forum Facts & Figures, Africa Ahead: The Next 50 Years. Addis Ababa, November 2013]*

## STEP 4: Design questioners and Collect data and all other information

- ▶ Prepare questioners for duty bearers and right holders
- ▶ Design PIMA Cards for Small Scale farmers and community members
- ▶ Design PIMA Cards for District staff, and other government officials at local level
- ▶ If possible conduct a pre-testing exercise to check if the questioner are effective



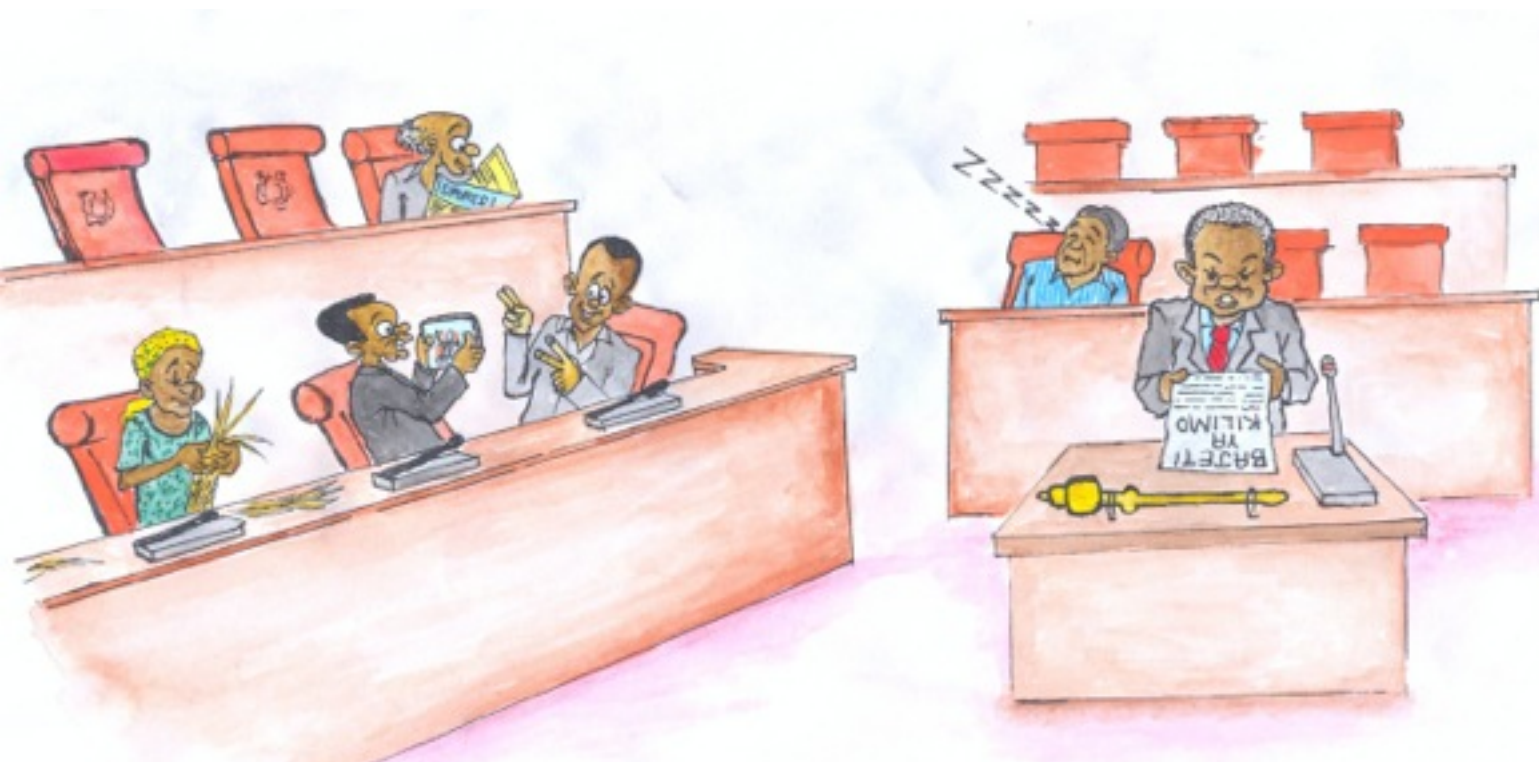
- ▶ Collect Data from the questioners designed
- ▶ Collect information using questioners by one to one of a Focus group discussion where necessary (ensure adequate representation of both males and females)
- ▶ For district officials link it with the time agreed during a scoping workshop in step 3 above.
- ▶ Check for Data quality and consistency. When necessary check for other alternative data available from other departments, CSOs or Researches done.
- ▶ AMCs must visit project sites for physical verifications and check Value for money against amount spend.
- ▶ Taking still pictures/photos or video while tracking is crucial for documentation and evidence to prove what was realised during the actual tracking.





## STEP 5: Analyse information and Write a report

- ▶ Analysing of the information collected simply by:
- ▶ Compare findings and approved Plans (Strategic plans), and approved Implementation Reports
- ▶ Findings Vs Revenues and Expenditure
- ▶ Compare Budget spending with the Value for money (in some cases technical skills may be needed to verify the value for money)
- ▶ Check if findings comply with Policies, Laws, guidelines, procedures, and code of conduct/ethics
- ▶ Verify where there were problems and how they were corrected (steps taken to rectify the problem) during implementation of the project.
- ▶ What does the small scale farmers say and what does the community says concerning the implementation of the agriculture projects being tracked. What is the level of satisfaction of small-scale farmers and the community?
- ▶ Check what activities are not included in the agriculture budget that are of paramount importance to small-scale farmers?
- ▶ Draft key findings and check for clarity of information/evidence available during tracking and highlight key lessons on accountability challenges including indication of corruption, ethics and integrity of public leaders.
- ▶ Report writing is an important step and this can either spoil the good findings or catalyse actions for change. Some important things to consider:
- ▶ Write a report on key findings and check for accuracy of the data. Get more information if needed from the community, small scale farmers or government officials

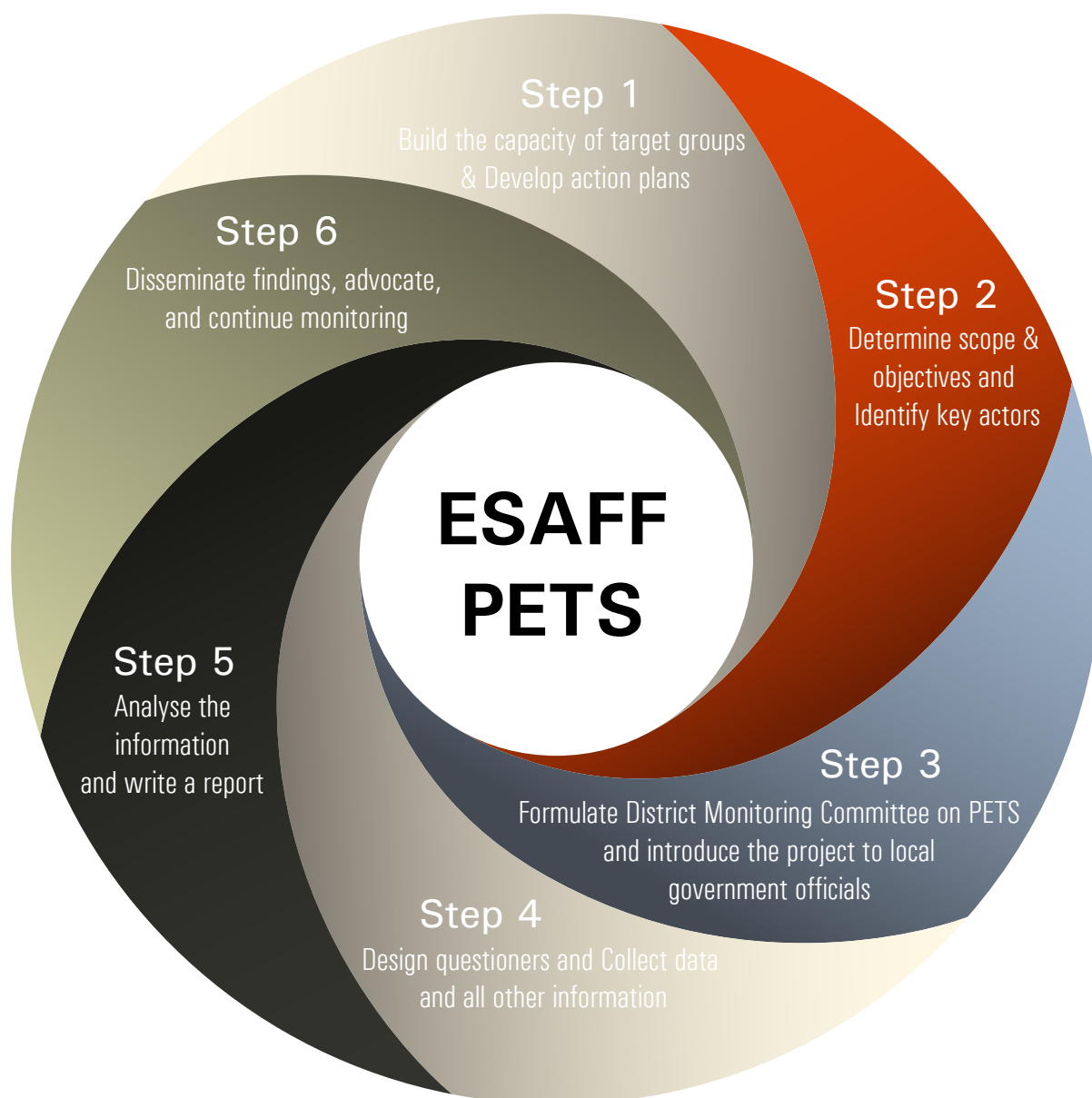


***“The application of principles of evidence-based planning, policy efficiency, dialogue, review, and accountability...”***

*[Recommitment to the Principles and Values of the CAADP Process 1(c) - June 2014]*

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*"Public Expenditure Tracking Surveys(PETS) track the flow of resources through various strata of government in order to determine how much of the originally allocated public resources (Human, financial, in-kind) reach each level"*

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## STEP 6: Disseminate findings, Advocate, and continue Monitoring

- Disseminate findings:
  - A public feedback meeting is held for sharing with all stake holders
  - Suggestions for corrective measures is done with Small Scale Farmers and community members at large
  - Action plan is drawn
  - Feedback session to district officials. Explanations and justifications/ request for thorough technical audits (compliance, performance and forensic audit)
- Advocate to influence changes:
  - Disseminate the report as much as you can using media, writing articles, get journalists to interview those concerns on the project/ findings
  - Roundtable discussion with policy makers
  - Generate Community discussions, dialogues and collecting feedback for the voice of Small Scale Farmers and community members
- Continue follow-ups and monitoring of other priorities/projects/issues
- Explore possibilities of institutionalisation







### *Things to Remember when writing your Report:*

1. Executive summary
  - 1.1. Brief of the problem, method, main results and major recommendations (1-3 pages)
  - 1.2. A big mental picture of the report
  - 1.3. Note that many will read this part so make it a summary of the whole report.
2. Introduction
  - 2.1. Brief about your organisation
  - 2.2. Explain why you conducted this tracking and its importance
  - 2.3. What were some of the questioners used
3. Methodology (who, what, why, where, when, how)
  - 3.1. Outline your goals and objectives
  - 3.2. Who was involved and main source of information
  - 3.3. What was the intention
  - 3.4. How did you collect your data/information (e.g. community meetings, budget analysis, survey questioners "PIMA Cards", Time and locations/areas covered, who collected the information, any challenges encountered and possible solutions for future monitoring/tracking)
4. Budget Analysis
  - 4.1. What is the picture between development budget, agriculture budget, and the recurrent budget?
  - 4.2. Were the planning-procedures and budget calendar and budget cycles adhered to?
  - 4.3. What are the issues coming out in the budget analysis?
  - 4.4. Is the budget clear and understood by most of the small-scale farmers/
  - 4.5. What are the recommendations to Local government for future formats and level of details
5. Findings (results of the tracking/monitoring)
  - 5.1. Results should be described in details
  - 5.2. If possible separate projects in Agriculture sector
  - 5.3. Show bottlenecks in the service delivery chain
  - 5.4. Outline Potential sources of inefficiencies and inequities
  - 5.5. Outline challenges in the program and during the survey.
  - 5.6. Summarise data but keep detailed data for justifications and explanation
  - 5.7. Use headings and sub-headings to make things clearer
  - 5.8. Include statistics and if many, put it as appendices
  - 5.9. If a question was not answered explain the reasons why
6. Conclusions
  - 6.1. What is the meaning and significance of your results?
  - 6.2. Summarise again the main findings
7. Lessons learned and recommendations
  - 7.1. What are the issues and what can be done by duty bearers and right holders, demand side and supply side, and what small-scale farmers can do to make things right
  - 7.2. Link local and national planning and budgets, challenges and strength, allocations and expenditures in agriculture
  - 7.3. Mainly point out directions for better input, output, outcome and impact
8. References
9. Appendices

**The Eastern and Southern Africa small scale Farmers' Forum – ESAFF**, is a network of small holder farmers that advocate for policy, practice and attitude change that reflects the needs, aspirations, and development of small-scale farmers in east and southern Africa.



*"Hunger and Malnutrition are major causes of poverty and underdevelopment in Africa by causing poor health, low levels of energy, and mental impairment, all leading to low productivity and low educational attainment all of which can in turn lead to even greater hunger and malnutrition, thereby creating a viscous cycle".*

*(A Concern by Heads of State and Government of the African Union, 23rd Ordinary Session of the AU Assembly in Malabo, Equatorial Guinea, June 2014)*

ESAFF operates in 13 countries namely in the eastern and southern Africa region. These countries are; Tanzania through MVIWATA; Kenya (Kenya Small Scale Farmers Forum – KESSFF), Uganda (ESAFF Uganda), Zambia (ESAFF Zambia); Zimbabwe (Zimbabwe Small Organic Smallholder Farmers Forum – ZIMSOF), Lesotho (Lesotho Small Scale Farmers Forum); South Africa (ESAFF South Africa); Malawi (National Small Scale Farmers Movement -NASFAM); Rwanda (APPPE); Burundi (ESAFF Burundi); Madagascar (Confédération des Agriculteurs Malagas - CPM) ; Seychelles (Seychelles Farmers Association - SeyFA) and Mozambique (ROSA).

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