



**ECONOMIC AND SOCIAL
RESEARCH FOUNDATION**

Medium Term **STRATEGIC PLAN**

2012 - 2015

**DAR ES SALAAM, TANZANIA
DECEMBER, 2011**

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- Foundation for Civil Society

Medium Term Strategic Plan 2012 - 2015

Economic and Social Research Foundation

51 Uporoto Street

Off Ali Hassan Mwinyi Rd

Ursino Estate

PO Box 31226

Dar es Salaam

Tanzania

Website: www.esrftz.org

Email: info@esrf.or.tz

Tel +255-22-2760260

Fax +255-22-2760062

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Abbreviations

ACBF	African Capacity Building Foundation
AGOA	African Growth and Opportunity Act
BRICS	Brazil, Russia, India, China, South Africa
CSOs	Civil Society Organisations
DANIDA	Danish International Development Agency
DFID	Department for International Development
DPs	Development Partners
EAC	East African Community
ERB	Economic Research Bureau
ESRF	Economic and Social Research Foundation
FYP	Five-Year Plan
GDNET	Global Development Network
GoT	Government of Tanzania
HRM	Human Resource Management
ICT	Information Communication Technology
IFP	Ford Foundation - International Fellowships
ISS	Institute of Social Studies
KMC	Knowledge Management Centre
MDGs	Millennium Development Goals
MKUKUTA	Mkakati wa KukuzaUchumi na Kuondoa
MKUZA	Mkakati wa Kuondoa Umaskini Zanzibar
MoF	Ministry of Finance
NGOs	Non Governmental Organisations
NSGRP	National Strategy for Growth and Reduction
ODI	Overseas Development Institute
PGD	Post Graduate Diploma programme
PRSP	Poverty Reduction Strategy Paper
RDP	Rural Development Policy
RDS	Rural Development Strategy
REPOA	Research on Poverty Alleviation
SADC	Southern Africa Development Community
SIDA	Swedish International Development Cooperation
SME	Small and Medium Enterprises
SMTP	Strategic Mid-Term Plan (for ESRF)
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund



Foreword by the Chairperson of the Board of Trustees

When the Government of Tanzania decided to guarantee the creation and registration of the Economic and Social Research Foundation (ESRF) in 1993, it was out of a need to have an independent think-tank in Tanzania. ESRF was therefore dedicated to undertake the triple objectives of policy and economic management research, capacity development in different sectors on policy and socio-economic matters, and knowledge management. I am happy to note that during the last 18 years, since ESRF started its operations, it has been able to successfully implement this mandate. It is now set to consolidate its reputation as a national centre of excellence, and to realise its target of becoming a regional centre of excellence in capacity development and research for policy analysis, development management, and policy dialogue.

ESRF operates using four-year Strategic Mid-Term Plans (SMTPs), which are designed to show the institution's road map by setting out priorities and plans, as well as providing contextual justification of those priorities in a comprehensive and coherent manner. We look back with pride over what the institution has managed to achieve with the support of national and international experts, and financial assistance from our government and several donor institutions, to which we express sincere gratitude.

During the 2008-2011 SMTP period, ESRF undertook more than 80 studies, which informed national and regional policies, and implementation strategies in different areas of the economy, and social arena. The Foundation introduced innovations in engaging the general public to contribute in policy debates through, for example, moderating online discussions under the Tanzania Knowledge Network (TAKNET) initiative, which resulted in the publication of 16 policy briefs. ESRF has also been actively involved in key strategic studies, the most recent being the nationally important review of the implementation of the Tanzania Development Vision (TDV) 2025, which had earlier been prepared with the technical support of ESRF in 1998-2000. The recommendations from the review instigated the revival of long-term and medium-term development plans in the country.

We are now embarking on the SMTP for 2012-2015 by taking into account the need to research and build capacity on priority issues highlighted during Tanzania's mid-term development plan, the current five-year plan (FYP 2011/12 to 2015/16), which focuses on addressing productive capacity constraints in addition to encompassing the objectives spelt out in MKUKUTA-II, and other sector specific programmes and strategies. Our research agenda will focus

on the issues central to the five-year plan of unleashing the country's growth potentials. The plan's core programmes reflect the objectives of MKUKUTA-II, Mini-Tiger Plan 2020, and key sector strategies in agriculture, livestock, mining, tourism and similar industries. It also addresses challenges for a more inclusive growth necessary for the substantial reduction of poverty in Tanzania.

I call upon all those who have been supporting ESRF, and especially the Government of Tanzania, to enhance their technical and financial support to the institution, so that it can fulfil its Vision and Mission for the benefit of the people of Tanzania, the East African Community, and Africa. It is also my sincere hope that the current phase of grants offered by the African Capacity Building Foundation (ACBF) will be extended, and that the United Nations, the IDRC-Think-Tank Initiative (TTI), and the Foundation for Civil Society, amongst other donors, will continue to offer their unwavering support to ESRF. It is crucial to underline the need for the continued financial support from the government, as it is a signal in demonstrating the importance Tanzania attaches to installing a strong, robust and effective policy regime. I would also like to welcome other well-wishers to join ESRF as technical experts and donors, so that they contribute more effectively to the development of our country.

I wish the Management Team and all ESRF staff successful implementation of the Strategic Plan and assure you the full support of the Board of Trustees.



Ruth H. Mollel

CHAIRPERSON OF THE BOARD OF TRUSTEES



Acknowledgement

The Economic and Social Research Foundation (ESRF) has, since its inception in 1994, implemented four phases of its Strategic Plans (1994-1997; 1998-2001; 2002-2006 and 2008-2011), whose outputs have contributed to policy formulation and strategic-thinking in Tanzania, the East African Community (EAC), and the Southern Africa Development Community (SADC). The Foundation has proudly made significant contributions to the development process, including actively supporting sectoral and national strategic medium and long-term planning initiatives, such as the formulation of the National Vision 2025 in 1998-2000, and most recently in its review after ten years of its implementation. ESRF was substantially involved in various stages of preparing the Poverty Reduction Strategy Paper (PRSP), as well as the National Strategy for Growth and Reduction of Poverty (NSGRP-MKUKUTA and MKUZA), the Rural Development Policy (RDP), the Rural Development Strategy (RDS), and the East African Development Strategy, just to mention a few. ESRF has also been involved in the evaluation of various sector-specific programmes and strategies, with a view to suggesting improvements to attain better outcomes.

The current document outlines the fifth phase of ESRF's mid-term Strategic Plan, for the period 2012-2015. The plan is a result of the institutional internal reviews undertaken to assess performance of the fourth strategic plan, whose lessons have been taken on board. This Strategic Plan focuses on the key thematic areas of research, capacity building, policy dialogue, and information dissemination, in line with the TDV-2025 as implemented through the first Five-Year Plan (FYP2011/12 to 2015/16), and its core programmes such as MKUKUTA- II/MKUZA-II, and the Mini Tiger Plan 2020. In research, the Foundation will focus on inclusive growth and poverty reduction, social services and quality life, governance, regional integration, and globalisation, as well as sustainable natural resources and environment management. The research agenda takes into account emerging issues in ensuring inclusive growth with high potential for sustainable job creation and cushioning the economy from the global economic crisis. The capacity development thrust will target Ministries, Departments and Agencies (MDAs), as well as addressing the needs of the general public, the private sector, civil society and the media.

The Foundation would like to acknowledge the technical, logistical and financial support provided by our various development partners, private institutions and the government. We are specifically grateful to the

Government of Tanzania (GOT) for the continued support in ensuring that ESRF is their first port of call when it comes to undertaking strategic studies for the country. We have been privileged, and will continue, to work closely with the President's Office Planning Commission, and the Department of Policy Analysis in the Ministry of Finance. ESRF has also received unwavering support directly, and indirectly, from multilateral development partners such as The African Capacity Building Foundation (ACBF), the United Nations Development Programme (UNDP), the IDRC-Think-Tank Initiative, the Development Gateway Foundation (DGF), the East African Community (EAC), The World Bank (WB), the African Development Bank (AfDB), the Ford Foundation (FF), the United Nations Children's Fund (UNICEF), the International Labour Organization (ILO), the International Growth Centre (IGC), the Alliance for a Green Revolution in Africa (AGRA), and the Comprehensive African Agriculture Development Programme (CAADP). Our working relationship with the Embassy of the Republic of South Africa, and the High Commission of India involved technical exchanges of people and information. The Foundation has also received support from Civil Society Organisations such as The Foundation for Civil Society (FSC), and Private Sector institutions such as CRDB Bank, and Azania Bank Ltd, to which we are most grateful. Media houses, especially Tanzania Broadcasting Cooperation (TBC), IPP Media, Mwananchi Communications, Tanzania Standard and Nation Media Group and Mlimani Tv, have also amply covered our activities as partners in the dissemination of knowledge generated by our team of researchers and other hosted workshops.

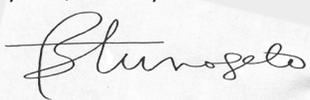
We also wish to acknowledge other institutions and networks, with whom we have been collaborating for the past four years or more, namely the African Economic Research Consortium (AERC), the Food, Agriculture and Natural Resources Policy Analysis Network (FANRPAN), the African Research and Resource Forum (ARRF), Formative Process Research on Integration in Southern Africa (FOPRISA), the Overseas Development Institute (ODI), Norway's Chr. Michelsen Institute (CMI), The Institute of Social Studies (ISS) of Erasmus University, the Consumer Unit & Trust Society International (CUTS), the Evidence Based Policy Development Network (EBPDN), Uganda's Economic Policy Research Centre (EPRC), Rwanda's Institute for Policy Analysis and Research (IPAR), the South African Institute for International Affairs (SAIIA), the South African Trust (SAT), the Namibian Economic Policy Research Unit (NEPRU), the Botswana Institute for Development Policy Analysis (BIDPA), the Centre for Policy Dialogue (CPD)-Bangladesh, the OECD

Development Centre, the International Centre for Trade and Sustainable Development (ICTSD), the Commonwealth Secretariat (ComSec), the African, Caribbean and Pacific (ACP) Secretariat, PANOS (East Africa), the Southern and Eastern Africa Policy Research Network (SEAPREN, until 2009), Association for Strengthening Agriculture Research in Eastern and Central Africa (ASARECA), ILLRI, and the Kenya Institute for Public Policy Research and Analysis (KIPPRA), Galatasaray University (Turkey) and Centre for Policy Dialogue (CPD) (Bangladesh) amongst others. Domestically, we have been privileged to work with, and also received technical support from, the Bank of Tanzania, the National Bureau of Statistics, the University of Dar es Salaam, Tanzania's Research on Poverty Alleviation (REPOA), the Financial Sector Deepening Trust (FSDT), the University of Dar es Salaam's Department of Economics, The Chair of Mwalimu Nyerere for Pan African Studies, and the Institute of Resource Assessment (IRA). Indeed, we are not able to mention all of the institutions and networks, let alone the individuals, with whom we have collaborated. To all of them we say "ASANTENI SANA!"

On behalf of the management and staff of ESRF, I take this opportunity to extend an invitation for more collaboration from interested stakeholders; and especially in providing technical services to MDAs, as coordinated by the President's Office-Planning Commission, our national think-tank. I also look forward to an enhanced cooperation with overseas think-tanks, including those in Asia and Latin America, in addressing the emerging challenges to the global economy generally, and to the least developed countries in particular.

I take special note of the network established recently, which ESRF is a member, to monitor the implementation of Istanbul Plan of Action (IPOA) following the UN-LDC IV meeting in Istanbul, May 2011.

Finally, and most importantly, let me assure our Board of Trustees, and all stakeholders, that the Management and staff of ESRF are fully prepared to work as a team to fulfil the plans detailed in this SMTP document. We therefore count on your technical, financial, and moral support in the next four years, and beyond!



Dr. H. Bohela Lunogelo
EXECUTIVE DIRECTOR



1.0 Vision and Mission of ESRF

1.1 INTRODUCTION

The Economic and Social Research Foundation (ESRF) is an independent policy research institution based in Dar es Salaam, Tanzania. Its primary objectives are to undertake policy-enhancing research, to strengthen capabilities in policy analysis and decision making, as well as to articulate and improve the understanding of policy options in government, the public sector, the donor community, and the growing private sector, and civil society.

ESRF has played a catalytic role in the country's socio-economic reforms since its establishment in the 1990s. Since then it has evolved through four planning phases. The first phase (ESRF 1 - 1994-1997) focused on four programme areas, namely: (i) ESRF institutional development, (ii) core research, (iii) commissioned studies, and (iv) policy dialogue and dissemination. The second phase (ESRF-II – 1998-2001) had five components, namely: institutional capacity building; capacity strengthening of Tanzanian institutions involved in the development agenda; core research in issues concerning development, policy dialogue, and the publication and dissemination of the outputs. The third phase (ESRF-III - 2002-2006), and the fourth phase (ESRF IV - 2008 – 2011) primarily continued with the activities started in the preceding phases, but in addition strived to ensure that there was a balance between research, commissioned studies, and consultancies, so as to reduce the high proportion of consultancies.

In the future, there are still many issues amongst those highlighted above that will continue to dominate the research agenda for informing policy formulation and development planning in the country. New issues and challenges are likely to emerge, and all will need pursuing by ESRF under the new strategic plan (2012-2015).

1.2 THE MANDATE OF ESRF

The Foundation's mandate embraces the following areas of work: (i) to undertake research in public policy and in sector-oriented issues, (ii) to facilitate capacity development for government and other stakeholders of economic development, (iii) to act as a focal point for dialogue and the exchange of knowledge on economic and social issues, and (iv) to disseminate policy and ESRF researched information so as to widen the understanding of the public and dedicated groups of policy makers and researchers. Whereas ESRF has historically played a positive role in the policy formulation and economic reforms in Tanzania, there are still a broad range

of challenges that require solid policy analysis, enhanced policy dialogue, and critical questioning and thinking. The original mandate and objectives of the ESRF, as highlighted above, are therefore still valid for the Strategic Plan of 2012-2015.

1.3 ESRF VISION, MISSION

Vision: To become a national and regional centre of excellence in capacity development for policy analysis and development management, policy research, and policy dialogue.

Mission: Advancing knowledge to serve the public, the government, CSOs, and the private sector through sound policy research, capacity development initiatives, and advocating good development management practices.

ESRF Values and Philosophy:

ESRF shall maintain and value a high-level of professional excellence, integrity and freedom; foster good governance and participation, to produce excellent quality policy research outputs, uphold social responsibility and high ethical standards. The Foundation will adhere to the following values:

- (i) **Development responsibility**, by ensuring that its policy-related work outputs have positive immediate, to long-term impact on the economies and welfare of the people of Tanzania and East Africa.
- (ii) **Professional excellence and integrity**, by ensuring that the pursuit of excellence in research and services to the public is well recognised, and is an integral part of the ESRF institutional life; and that all research and related capacity strengthening outputs are executed at acceptable international standards. This will be strengthened by promoting quality control mechanisms at the Foundation.
- (iii) **Academic freedom**, by upholding the spirit of free and critical thinking and enquiry, whilst conducting research and subjecting its findings to peer review and dialogue. This will be conducted whilst respecting the diverse traditions of the Tanzanian and East African communities.

- (iv) **Ethical standards**, by upholding high levels of ethical behaviour through honesty, sincerity and respect.
- (v) **Participation**, by conducting the Foundation's activities in a participatory style and inclusiveness in the planning process, involving internal and external stakeholders in crucial decisions, working in teams to increase efficiency and effectiveness, and enhancing the overall transparency.
- (vi) **Accountability**, characterised by adhering to contractual obligations, meeting high levels of financial management standards, and taking charge and responsibility for the results.

1.4 ESRF'S STRATEGIC OBJECTIVES

The overall objective of ESRF is to conduct research in economic and social policy areas and development management, and use its research outcomes to facilitate the country's capacity for economic development and social advancement.

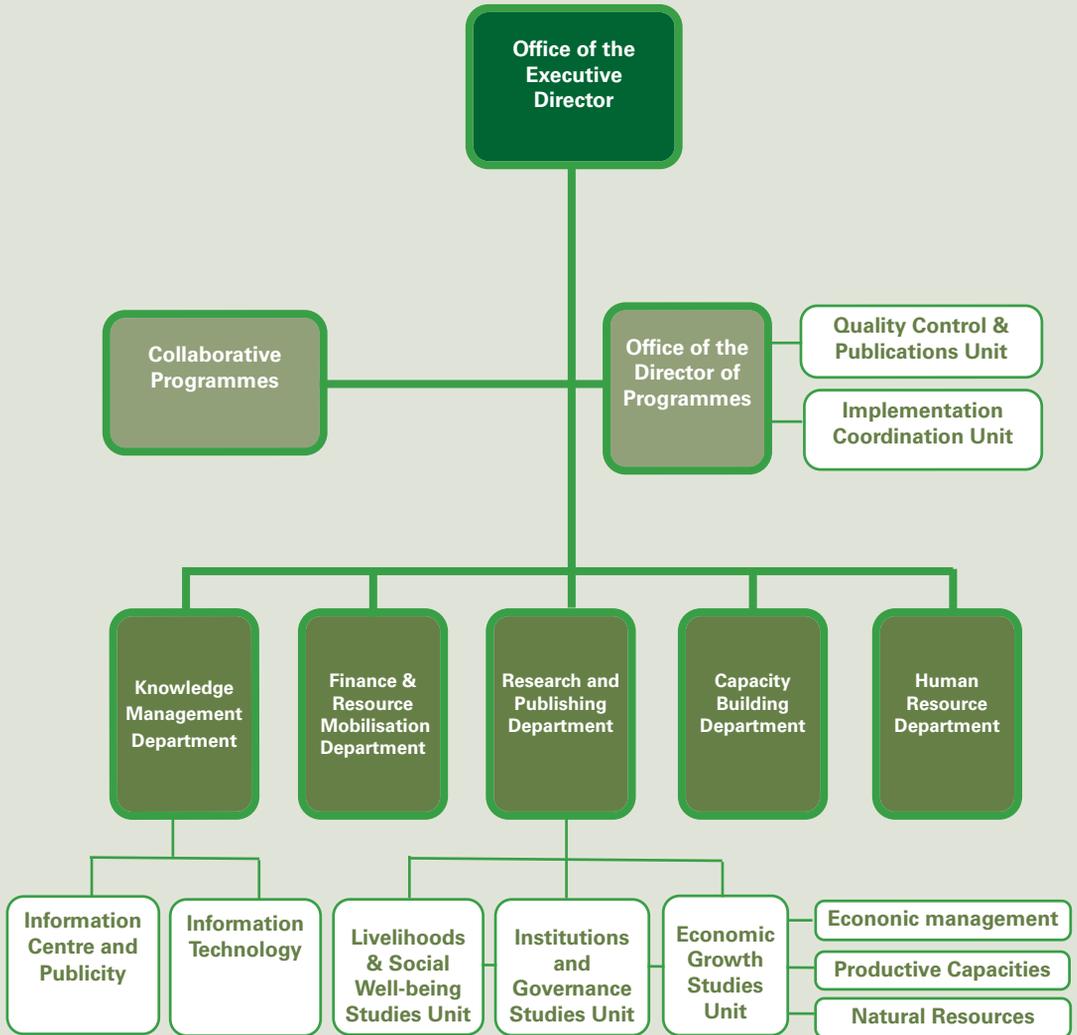
Specific Objectives

- (i) Undertake policy research and analysis to increase stakeholders' knowledge on major issues that affect the society.
- (ii) Strengthen capacity for policy analysis through innovative capacity development initiatives such as training, outreach programmes, and policy dialogue.
- (iii) Increase the awareness of national decision makers on specific policy issues and options that affect the nation and the communities.
- (iv) Facilitate debate and discourse on issues pertinent to the national and regional development priorities.
- (v) Encourage national, regional and international networking around policy issues.

1.5 INSTITUTIONAL GOVERNANCE

The ESRF Institutional Governance is under the guidance of the Board of Trustees, as mandated by its constitution of 1994, and as amended in 1999. The Board is composed of members from different recognised sectors of society: the government, private sector, civil society and academia. Board members are appointed for a maximum of two terms, three years per term.

Figure 1: ESRF Organisation Chart



The Management Committee, under the Executive Director is the third layer in the institutional organisation. The Executive Director is appointed by the Board for a maximum of two terms of four years each. The Management Team consists of senior members of staff, mostly heading departments at the Foundation (Fig.-1).

1.6 INSTITUTIONAL READINESS

The achievement of the stated institutional objectives is crucial for the Foundation to fulfil its roles and mandate. Thus, for these objectives to be attained, ESRF has positioned itself to ensure further improved quality and the timely delivery of research outputs to the satisfaction of its clients. ESRF is therefore determined to sharpen the focus of its core research areas; strike an optimal balance between medium and long-term research vis-à-vis consultancy work; and increase its outreach. The Foundation aims to improve on human resources development and management, and enhance the individual capacity and motivation of its personnel; and improve and broaden the use of infrastructure (ICT, library and publications units). It also strives to increase financial capacity and sustainability through broadening the sources of funds; and enhance cost-effectiveness of running various departments as cost centres. The implementation of the objectives will need to be systematically monitored and evaluated for results, using participatory methods.



ESRF Staff and Associates



2.0 Situation Analysis

2.1 RELEVANCE OF ESRF'S MANDATE AND OBJECTIVES VIS-A-VIS NATIONAL DEVELOPMENT GOALS

An institutional review carried out in the years 2009 - 2010 concluded that the mission and vision statements of ESRF are valid. The review noted that ESRF would continue to be needed to actively participate in solving development challenges of Tanzania, which have been highlighted largely in the national goals and priorities outlined in the National Development Vision 2025. Vision 2025 has been translated into the MKUKUTA and MKUZA frameworks, which are now in their second phase and whose implementation period coincides with the duration of the fifth ESRF Strategic Plan of 2012-2015. In this regard, ESRF was commissioned by the President's Office-Planning Commission in 2010 to review the implementation status of Vision 2025, and to recommend any corrective actions for the remainder of the period up to 2025.

It has now been decided that Vision 2025 will be implemented through the instrument of 5-Year Development Plans (FYP), with the first one covering the period 2011/12 to 2015/16. The FYP and MKUKUTA-II put their emphasis on growth with enhanced productivity, with a greater alignment of interventions towards wealth creation and shared growth benefits as ways out of poverty. This orientation also emphasises sharper sector prioritisation to underline the role of economic and sector drivers and inter-sectoral linkages, collaboration and synergies among development actors, as well as good governance and other objectives aligned with the Millennium Development Goals (MDGs), and international and regional commitments.

ESRF orientation has also to take into account several other challenges facing the country. For example, there is widespread perception by stakeholders in the country that the private sector investments are not as robust as they could be. This is partly a manifestation of the still nascent status of the private sector. Another example of the challenges is that in recent years in the pursuit of greater sharing of growth in the country, a clarion call is being made to adopt strong and systematic measures to address the social challenges posed by massive youth unemployment, which impacts upon the educated youth. Such weaknesses, as well as an inadequacy in a strong capacity in government to provide a clear development agenda, a conducive business environment, and an appropriate regulatory regime for the private sector further justify the need for a strong independent think-tank in development research processes. This is even more strongly reinforced by a changing environment introduced by regional development processes, such as the onset of the EAC.

Indeed, that is the stated national desire to effect a more equitable distribution of resources, services and the benefits of growth. This is all in favour of the majority of the population. Among other things, it highlights the desire to enhance social protection of the weak and generally to see the overall improvement in the well being of the population. This poses enormous social and economic policy challenges in the development agenda to try to arrange the correct priorities, thus warranting inputs from think-tanks, such as ESRF. Other areas that need the attention of ESRF include macro-economic management issues, the processes of globalisation and financial markets, global economic crisis and trade and trade competition. Regional integration, particularly the case of the East African Community, governance generally, but more particularly economic governance related to the management of natural resources, climate change and public revenues, as well as government decentralisation.

2.2 ANALYSIS OF STAKEHOLDERS

The ESRF has over the years built up relations with a variety of stakeholders including government, private sector, CSOs, and donors, without forsaking the general public, the media and academic and research organisations. These organisations directly and indirectly use ESRF research outputs in policy formulation processes, policy debates and for policy dissemination.

The Government of Tanzania

The Government of Tanzania has valued the inputs of ESRF since its inception, and in the course of policy formulation, review, analysis and dissemination, among other government processes, the government attaches great value to the participation of a neutral, but informed voice. The recent preparation of MKUKUTA-II and the review of Vision 2025 are good references on this account. In addition, the government has occasionally relied upon ESRF as a source for expertise during negotiations with development partners. The recent elevated stance of the Planning Commission (PC) is liable to facilitate a more systematic and strategic policy development dispensation in the country and in this context is considered as a good opportunity for ESRF to enhance the back-up support it can provide to the policy process. In view of the Foundation's mandate, objectives and vocational focus and thrust, there is a need, and indeed a justification, for the government to continue, and to considerably scale-up, its financial support to ESRF. Indeed, the government has been funding ESRF since 2002, at an average of 10 percent of ESRF's gross turnover.

The Private Sector

Despite deliberate efforts by the government to promote private sector-led economic growth, there are still some challenges requiring a refocused and enhanced public policy, and strategic interventions. The role of the private sector in, for instance, responsibly exploiting natural resources, expanding and intensifying the value chain activities in agriculture, generating employment, adding value and taking advantage of growing international and regional markets, is still sub-optimal. Public-private partnerships (PPPs) have not developed to the desired levels, and the emergence of private sector-owned financial institutions, for example, was expected to provide the much needed financing of investments, especially in agriculture and agro-processing. In recognition of the slow speed and the level of magnitude in rolling out the PPPs, the government instituted a policy of PPP and accompanying legislation in 2010. ESRF will therefore continue to play its role in research and policy analysis and provide advice for enhancing the role of the private sector in economic growth, as well as for the realisation of the PPP objectives.

Civil Society Organisations

Civil Society Organisations (CSOs) in Tanzania also appreciate the role of ESRF, and have benefited from recommendations provided through the policy dialogue component, as well as ESRF studies. There is a good collegial relationship that has been built between ESRF and many CSOs, given the essence of ESRF as a member of the CSO community. Nonetheless, there is still room for improvement in this relationship, as in the area of the dissemination of research results for easy readership by CSOs and targeted communities. It should be recalled that the CSOs are much more in context, and are as thus in a better position to lobby for favourable and popular courses of action. They are potent in exerting pressure for change, only they tend to lack empirical evidence to justify their arguments. ESRF has a role to fill that gap. One potential benefit of partnership between ESRF and CSOs, amongst others, is in mounting joint proposals for third party financial support for research initiatives to be implemented in collaboration between the CSOs and ESRF.

Development Partners

Development Partners (DPs) also appreciate the role and importance of policy think-tanks such as ESRF. The DPs are ready to make use of the ESRF in certain specific tasks. For example, donors and international organisations seek ESRF advice in outsourcing Tanzanian experts in putting together consulting teams to work on Tanzanian issues, which action can help in building local capacity. ESRF could play a more significant role when different bilateral and multilateral aid agencies are articulating support for Tanzania, including the preparation of country assistance strategies (CAS), and in respective CAS evaluations. In this context, donors strive to coordinate their assistance under the auspices of the Development Partners' Group (DPG), and have been keen to carry out joint evaluation of their assistance in tandem with an assessment of government development efforts. For this they have partially relied on the views of the Independent Monitoring Group (IMG), which biennially assesses government and donor relations. ESRF has been proud to take an active part in the IMG process in Tanzania, since IMG's inception in the late 1990s; and in recent years has been formerly asked to host the IMG mechanism on regular basis.

In another area, the ESRF will forge stronger relationships with Development Partners through programmes such as induction and orientation courses for DP staff that are newly deployed to work in Tanzania. The ESRF can design packaged products for this purpose, to include for example: (i) seminars regarding key social and economic development trends in Tanzania, and (ii) a short time attachment at the ESRF premises where an individual can intermingle with ESRF staff, and access relevant information for their tasks.

Figure 2 overleaf presents a synoptic picture of stakeholder roles and relationships with ESRF.

Figure 2: Key ESRF Relationships with Other Stakeholders¹

GOT and Other Public Institutions Mandate: Policy Formulation and Development Management

- Policy/Strategies Reviews and Formulation
- Identification and measuring impact of policy options
- Founder trustees and potential future financier

The Private Sector Mandate: Investors and Profit Seekers

- Business environment intelligence
- Exploit Investment Opportunities
- Prediction: Implications of Policy Options
- Dialogue: Interfacing with Public Institutions
- A potential financier of business research

Civil Society Objectives: Advocacy and Pressure Agent

- Facts and Research Findings translated and presented in easily comprehensive manners
- Joint ESRF/CSOs funding proposals
- Academia, Media and General Public



Development Partners Objective: Development Assistance for:

- Comprehensive management of the economy
- Basic social and economic facts
- Quality data for independent analyses
- Induction support
- Dialogue: interfacing with Public and Private Sector, Civil Society
- Funding
- Collaborator in forging international institutional links

¹ This diagram is limited to showing the main relationship with key stakeholders

Table 1: Strengths, Challenges, Opportunities and Uncertainties

ESRF strengths evolve around Good Leadership and Governance Structure, Dedicated Staff and Work environment	Challenges (from within and outside the Institution)	Opportunities	Uncertainties and Treats
<ul style="list-style-type: none"> • A core team of qualified and skilled researchers (staff) with good knowledge of national conditions • Good research infrastructure – e.g. buildings and ICT, library, meeting facilities and good access road • Good institutional reputation based on past policy research and good data bank on same² • ESRF is highly ranked as a social and economic policy think-tank in Tanzania and East Africa, and among 25 other think-tanks in Africa 	<ul style="list-style-type: none"> • Lack of adequate core funding to undertake in-house identified strategic research and run the institution • Competition for commissioned studies • More competitive staff remuneration packages offered by other institutions • Need to demonstrate the precise impact of policy advice provided by think-tanks on specific decision making, by government 	<ul style="list-style-type: none"> • Expanding market (developments in East Africa, Africa as a whole, and even at the World level) • A stream of young well educated researchers wanting to join the Foundation, who would thus keep its staff contingent revitalised and able to adapt to fast changing work technology and information. • Increased demand for consultancy services in the country and high confidence level among ESRF stakeholders • Announced position of government to bolster public funding of research in the country (e.g. through COSTECH) • Untapped potential sources of finance (Private sector and CSOs) • High demand from the public to be engaged in policy analysis – formulation, use of data from research • Government, keen to build strong policy analysis capacity within the government 	<ul style="list-style-type: none"> • Harnessing the required level of financial resources • Changes in funding country strategies and hence funding priorities by donors and government • How to balance the scale of demand-driven versus supply-driven research in the face of limited core resources put at the disposal of the Foundation

² These attributes confer a competitive advantage in this area given that most emerging research entities in the country are new, sector based or single-issue focused advocates

2.3 REVIEW OF INTERNAL AND EXTERNAL FACTORS FACING THE FOUNDATION

As indicated before, according to the internal and external reviews of ESRF programme performance in the past, particularly under SMTP-IV, the Foundation has made considerable achievements, even though it encountered some challenges. This is in relation to its contribution to its economic policy processes and development management in Tanzania. For instance, during MKUKUTA, the Foundation was able to link into the processes of implementing the framework, and to that end, it was called upon to review the progress of MKUKUTA and its over-arching framework, Vision 2025. This review provided ideas for the formulation of MKUKUTA-II, as well as the government's FYP. In that context for instance, it also undertook a study on drivers of economic growth to underscore the need for a sharper strategic prioritisation of public expenditure given the scarcity of resources. Furthermore, several sector policy reviews were carried out in the areas of agriculture and food security, livestock, land, transport, trade and public service management, and employment. Nevertheless, in a number of areas, ESRF missed the opportunity to provide adequate and appropriate contributions. This was the case in the positioning of Tanzania to exploit the potentials indicated in the AGOA preferential trade agreement, or in guiding how the country could optimize the benefits from mineral sector development. On another level, in the area of disseminating ESRF research outputs, or mounting joint research functions, the channels provided by the Foundation's proximity to the CSO fraternity have yet to be fully utilised. Another gap was encountered in the funding endowment, specifically the inadequacy in core funding, which led to research activities being dominated by commissioned studies, thus tilting the envisaged balance between such studies and internally driven strategic researches, as stipulated in the SMTP-IV.

The ESRF reviews were satisfied with how a few specific collaborative programmes were managed. For instance, Ford Foundation International Fellowships Program (IFP) and the Post-Graduate Diploma in Poverty Analysis courses have progressed fairly well as indicated further in this document.

The most important factor in the overall achievements of ESRF's activities has been the ESRF staff. It has grown from a small hub of eight intended to network researchers to a fully-fledged multipurpose research-cum-training institution, to 32 experts and support staff. Indeed the staff numbers are still insufficient, but they reflect the reality of the financial situation. Moreover, the

lurking danger of staff being attracted to better paid jobs, especially in government and the private sector should not be underrated. Another important factor contributing to the Foundation's achievements has been a good research infrastructure: office buildings, ICT equipment, and the library, to name a few, which enables researchers to work in a favourable atmosphere. It has been observed that the ESRF is located in an improving physical neighbourhood that allows easy road access from different parts of Dares Salaam.

On the other hand, the internal and external reviews also noted three key uncertainties/gaps that affects ESRF's progress namely inadequacy of funding, growing competition for limited resources and difficulties in demonstrating impact of policy advice. First, the effectiveness and relevance of the ESRF could be jeopardised if it cannot harness the required level of financial resources and minimise their fluctuation through diversification of the funding sources. This manifests itself in inadequate funding to undertake in-house identified strategic research and to offer competitive remuneration packages to staff. The second, growing competition for the resources among institutions working in the same areas as ESRF, since they seek resources from the same financial sponsors and this affects the volume of commission research. Lastly, a difficulty in specifically attributing the impact of policy advice provided by ESRF to the government since it's usually a result of a process involving efforts by other stakeholders as well.

Given the above gaps, the new Strategic Plan (2012-2015) has identified the following measures: (i) The ESRF to formulate a resource mobilisation strategy for the SMTP as soon as possible. (ii) SMTP contains research themes/sub-themes that are based on clearly identified ESRF strengths and therefore are able to demonstrate its competitiveness. (iii) With initial indication of willingness by government to strengthen its relationship with ESRF, the Foundation will take deliberate measures to tap into public resources allocated for research through COSTECH and the Planning Commission.

The above explanation on ESRF experienced successes and their contributing factors, as well as the constraints, warrant an objective identification of the underlying strengths and weaknesses in order to further improve performance. Table 1 above summarises these issues accordingly in a SWOT (Strengths, Weaknesses/Limitations, Opportunities, and Threats) format.



3.0 Focus Areas for Research and Associated Activities

3.1 UNDERLYING PRINCIPLES AND ESSENCE OF RESEARCH

The underlying essence of ESRF operations is policy research for providing inputs into the country's policy-making processes. But it also carries an intrinsic twin objective of capacity development (CD) in policy analysis. For these two areas, research and CD, ESRF has to articulate the niche areas where it can outperform and deliver its outputs in a timely and effective manner. ESRF CD support can be undertaken as a distinctive objective on its own. However, more often it is embedded within the research function, especially when examining institutional strengthening and restructuring issues as well as the system, environment or context within which individuals and organisations are operating and interacting (UNDP, 1998) in a broader context of a research issue that is being examined. Therefore ESRF will develop the capability to identify the CD needs in the policy processes, and to identify research themes that are topical and have a high potential for application in national development. In this context, a wide dissemination of the research results will leverage their usefulness. Finally, as already directed by the ESRF Board, the monitoring and evaluation of the research results will have to be systematically undertaken so as to gauge the magnitude of the impact of the research results.

Historically, there have been two categories of research, which will continue during the SMTP period 2012-2015. These are: (i) strategic or supply-driven research, and (ii) commissioned or demand-driven research. Both research streams feed into the country's over-arching policy frameworks, TDV 2025 and MDG, which are currently implemented through the planning mechanism of the first Five-Year Plan 2011/12 to 2015/16 and MKUKUTA II/MKUZA II.

3.2 STRATEGIC RESEARCH AND OUTSTANDING RESEARCH ISSUES

Research may be conceptualised by ESRF researchers, and thus is supply-driven. It is propelled by the strategic objectives to advance knowledge in key areas of national or international importance. But this may also coincide with the needs expressed by clients for the same purpose, and thus the research could be commissioned by the clients. It is recognised that whether through supply-led or demand-driven initiatives, the ESRF research agenda will inevitably be shaped by the evolving economic policies, the dynamics of political governance and the emerging social economic challenges emanating from the changing economic environment in Tanzania, the EAC, and worldwide. The determination of the research priorities cited in this SMTP has

therefore been influenced by formal and informal consultations with potential clients, an approach that also increases the chances of ESRF being invited to participate in the planned research assignments by those clients. At the moment, it can safely be assumed that the government, and all its stakeholders, is committed to achieving increased growth under MKUKUTA-II and MKUZA-II, which is inclusive enough to avoid the marginalisation of sections of its citizens. It is committed to the pursuit of poverty reduction to afford a better life for every citizen and an improved public service delivery. Decisions regarding the exact policy options to adopt in order to achieve such political ambitions have to be informed by well-articulated research. Research becomes strategic when it seeks to meet important national goals and is not prompted by adhoc exigencies of ESRF or the clients.

The Vision 2025 and MDG goals are now planned for implementation in the medium term through the 5-Year Development Plan (FYP) which encompasses MKUKUTA-II and NON-MKUKUTA funding frameworks. Many of the goals happen to correspond to the ESRF mandate. The priority areas identified in the FYP include, among others: (i) Employment generation for dynamic labour markets; (ii) Agriculture (popularly epitomised in KILIMO KWANZA) to increase its average annual growth rate from 4.4 percent to 5.6 percent, which among others would be funded under the Tanzania Agricultural and Food Security Investment Plan (TAFSIP); (iii) Infrastructure, especially power and transport as a strategic sector for driving the Tanzania economy, so as to create a strong competitive base and to efficiently utilise its comparative advantages (especially the geographical location and rich natural resources); (iv) Knowledge Management and Education including enhancing skills development; (v) EAC integration; (vi) Improving the business environment and more particularly strengthening the role of the market; (vii) social sectors development; (viii) good governance; and (ix) institution building.

In exercising its mandate, ESRF has been addressing its twin focus streams of economic and social policy analysis by ensuring research is conducted in these two key areas. However, emphasis of priority research depend on the changes taking place in government planning and development priorities. A case in point is the effect of MKUKUTA on poverty reduction. Its minimal impact in this respect has been traced to a failure to significantly improve the productive sectors that can drive the economy and raise growth, to build a sustainable basis for poverty reduction. As a result, MKUKUTA II tries to rebalance the emphasis between an enhanced growth and robust poverty

reduction. The current ESRF strategic plan of 2012 – 2015 gravitates towards this directional change.

The research agenda also recognises the issue of governance that has in recent years gained heightened attention. It goes beyond the direct actions of government and the quality and efficiency of its service delivery, to also look at the enabling environment provided for the private sector to facilitate a higher economic growth, and the reduction in the level of poverty. The elements of good governance thus include better management of the entire country's economy and the social services. ESRF's research in these areas covers governmental responsibility to assure effective policies and institutions, the proper management of resources for development, providing an appropriate regulatory framework over the free market system and private sector activities, as well as regulating other players, such as employers, trade unions and civil society, in a fair manner. This is an important niche area, which ESRF intends to pursue, but due to its limited resources the strategy may have to focus on limited choices in the mid-term.

Another strategic research focus will be the economic environment factors facing Tanzania, such as the positive challenge of regional integration, especially within the EAC, and among the SADC countries. The establishment of an EA Common Market has underscored the importance of the EAC. ESRF contributed positively during the initial stages of the EAC process, including facilitating the exploration of the fast tracking option. There is a broad range of options for policy research and policy dialogue facilitation required in the integration process, and the ESRF has a comparative advantage to capitalise on its previous involvement. A key strategic role that ESRF will continue to play is that of raising "awareness", and triggering "preparedness", regarding the social and economic implications of East African cooperation. Further to this, the Foundation needs to generate information on how best the country should position itself to reap the benefits of the EA Common Market. ESRF will also elaborate on emerging evidence of the efficacy of the integration efforts, and conversely alert authorities when spontaneous national policy measures or actions taken by any participating state are running against the process of integration as a whole.

An additional focus for ESRF strategic research is dictated by emerging global issues that have increased the need for research-based evidence. They include the world financial crisis, emerging new economic powers, that are Brazil,

Russia, India, China and South Africa (BRICS, with Turkey soon to join), the threat to marine transport posed by Somali pirates, higher rates of population increase, increasing price of fuel, and the negative effects of changing climate with major impacts on agriculture.

In view of the above, it is apparent that the four pillars of the previous ESRF research agenda are still valid: (i) Inclusive Growth; (ii) Governance; (iii) Social Services and Quality of Life; and (iv) Globalisation and Regional Integration. While most of the newly emerging issues could fit easily into the above pillars of the research agenda, the issues of climate change and the environment do not find a suitable place in those pillars. Therefore, there is a need to introduce a new pillar, number five (v) denoted as Natural Resources and Environmental Management. In respect of the first four pillars, there is a need to sharpen their focus in order to enable them to meet the challenges ahead. This could include defining the challenges in terms of long, medium or short-term strategies. In all the research initiatives, ESRF is aware that it is not a unique player in the subject domains, so it is therefore intended to avoid duplication with other research institutions involved by forging viable alliances for research assignments on policy issues.

3.3 COMMISSIONED RESEARCH

All research work in ESRF that is requested by our clients is categorised as called Commissioned Research. This is regardless of whether or not it is short or long-term. Consultancies (commissioned by clients) however are undertaken by ESRF on economic and social issues that are of relevance to the Foundation's research agenda. Both Core, or self-initiated, and Commissioned Researches engage expertise available from within the Foundation. However, since it is not possible for each unit to maintain in-house all the required number of persons and skills sets, supplemental experts are externally sourced directly, or through other local and international firms.

The main challenge historically faced by ESRF has been its overreliance on unplanned demand driven consultancy assignments. During the period 2012 – 2015 the Foundation intends to reduce the impact of demand driven studies that tend to occur on a rather ad-hoc basis, by initiating proposals for studies that will also be utilised in policy dialogues of relevance to the Foundation's scope of work. The main challenge in the acceptance of demand driven studies is how to balance the fact that they help generate revenue for the Foundation while the organisation has to stay its course in line with its mandate.

3.4 RESEARCH FOCUS AREAS

The broad ESRF research agenda will therefore focus on the five broad research themes of inclusive Growth and Wealth Creation; Governance; Social Services and the Quality of Life; inclusive Globalisation and Regional Integration, as well as Natural Resources and Environment Management. Under each broad theme several sub-themes have been developed reflecting outstanding issues. It should be emphasised that all research themes, and the sub-themes proposed are geared towards achieving specific objectives, and building on the broad ESRF objectives.

Research Area One: Inclusive Growth and Wealth Creation

The achievement of Tanzania's long-term development objectives requires a sustained acceleration of the rate of economic growth, and a pattern of growth that ensures a robust national wealth creation that is inclusive, thus with a strong impact on poverty reduction, particularly through the creation of employment, income generation and social protection measures. This will require continuing with an effective macroeconomic management, selective policy interventions to accelerate overall economic growth and sector productivity, provision of public services that enhance human capabilities and improve wellbeing, e.g. education, health, water, sanitation and social protection. Efforts to ensure sustained growth must move beyond the macro and mid levels so as to increase economic choice and livelihood opportunities for poor households at the grass root level, and achieve a fair gender balance. This research area will include initiatives at the community level, to monitor how development in the economy and public policy impinges on poor households and vulnerable groups, and at the more macroeconomic level to analyse constraints on growth and the impact of growth on different sectors and social groups. It is evident that ESRF cannot do every research that is needed in this area. Thus only a few focus subjects in this SMTP are presented in Table 2 overleaf.

Table 2: Inclusive Growth and Wealth Creation**The Research Sub-Themes under Inclusive Growth and Wealth Creation****Sub-Theme 1: Promoting Robust and Sustained Inclusive Growth**

In this subtheme several options can be investigated under FYP 2012-15 and the MKUKUTA-II, including: (i) challenges that prevent key sectors to unleash their potentials to achieve high productivity, and thus contribute to growth, especially in agriculture, industry (especially manufacturing and SMEs), mining and tourism; (ii) fine-tuning the concept of growth drivers and other sector drivers; and (iii) how to further enhance the role of the private sector to particularly play a more vigorous role in resources mobilisation for development and in general become a veritable engine of growth. Therefore, it is recommended to unbundle the subtheme into more specific self-contained research subjects. Some of these subjects are important enough and may be partially picked in other subthemes mentioned below.

ESRF has for a number of years supported sector level policy research that has been highly valued, for instance in agriculture, industry and SMEs, infrastructure sectors, tourism, and in many others that are critical in driving the economy. This kind of work will continue in the next SMTP. One of the crosscutting subjects in the sectors that have profound impact on economic growth is the country's export potential. In the medium term, Tanzania has still to make greater efforts to increase its exports (diversified beyond minerals) so as to enhance its import capacity. The ESRF will work with different export promotion and investment institutions to achieve a more comprehensive approach in export development. Other crosscutting subjects closely related to growth are the maximisation of value chain processes in agriculture and other sectors, competitiveness of Tanzania's products in the regional markets, privatisation and the performance of the privatised industries, as well as employment.

Sub-Theme 2: Enhancing Enabling Environment for Business and Investment Climate

In response to concerns over the business environment, the government aims to reduce the cost of doing business by establishing a fair and efficient regulatory regime, and easing controls and administrative constraints on private sector operations and improving public service delivery to the private sector. This initiative has two main dimensions: (i) to create an enabling environment generally; (ii) to increase the competitiveness of Tanzania's products and services in the domestic and international markets. ESRF will research into still outstanding major constraints to investors and the business community in Tanzania, including the quality of basic infrastructure services; access to finance and banking

services; appropriate investment incentives, enforcing transparent business regulation, the quality of human resources; access to land and business and the leadership role of government informing synergies between the private sector and the government under the PPP and in direct investment in key productive sectors, including the mining and energy Industries, for example.

Sub-Theme 3: Employment Creation

Inclusive growth or shared growth manifests itself on the ground significantly through the creation of employment. In essence employment is a crosscutting issue and should be evoked in almost all other sub-themes presented in this section. Employment is the epitome of poverty reduction. Nonetheless, employment should be a self-contained topic for priority attention by ESRF research because of its implication in affording sustainable development in Tanzania. According to the FYP, an employment generation strategy in the country is particularly pertinent since approximately 700,000 Tanzanians join the labour market annually but only about 500,000 secure decent jobs. The creation of employment is particularly underlined in the sectors of agriculture, manufacturing and SMEs, but overall pro-employment policies need to be pursued vigorously in all the sectors, to avoid intolerable unemployment levels found in urban areas in Tanzania. In 2007 the unemployment rate in the country reached an alarming 34%³!



Sub-Theme 4: Continuous Monitoring of Performance of the Macro-Economy

As a policy think-tank, ESRF has to stay abreast of what is happening in the Tanzanian economy in general and be ready to participate, and exert influence, in any government initiated policy framework or any events (but more particularly in areas indicated in this Strategy) where opinion within the areas of its expertise is solicited. It has to portray the image of a first call think-tank for advice and expert opinion on economic and social policy matters. Such requests may entail writing brief papers,

commenting or holding interviews made at the request of government, donors, CSOs or the local and international media. Such preparedness requires the staff to monitor events and routinely do desk research on topical issues on a continuous basis, without being expressly asked to do so, so as to enrich the ESRF data base and thereby sharpen individual knowledge capacity and in-depth understanding in areas for which they will personally be recognised outside the Foundation as leading experts.

³ Source: FYP 2011/12-2015/16

Research Area Two: Social Services, Social Protection and Quality of Life

The positioning of Tanzania at 148 in the 2010 UNDP Human Development Index (HDI) sheds some light on the low indicator of human social services and quality of life in Tanzania. Although sectors such as education recorded encouraging progress on enrolment in primary schools and secondary schools, as well as enrolment in universities, but there are still potential challenges on school completion and attaining quality education. It is now clearly recognised that growth and social services, that effectively address human development needs, are closely interlinked. In today's knowledge-based world, the economy depends on a flexible, educated and healthy workforce to take advantage of economic openness. Investing in people promotes their individual development and gives them the ability to escape poverty, but this requires good policies on education and health care. It is therefore important to research and understand the dynamics needed to create a knowledge-based human capital.

The desire to achieve both the MKUKUTA II, and the Millennium Development Goals No. 4 to reduce child mortality, Goal No. 5 to improve maternal health, and Goal No. 6 to combat HIV and AIDS, malaria and other diseases, is a noble quest, but the time remaining to 2015 is too tight. The acceleration of the research-based policies in the social sectors is thus deemed necessary to bring up these goals to the desired implementation level. In the FYP another topic that has attracted high attention is population management that has impact on the capacity to provide effective social services, let alone its direct link with economic growth.

Given the resources constraint and our knowledge of existence of many players in the social policy domain, we have for the time being selected three subjects for concentration as depicted in Table 3.

Table 3: Social Services, Protection of Vulnerable Groups and Quality of Life

The Research Sub-Themes under "Social Services and Quality of Life"

Sub-Theme 1: Social Sector Focused Research

Human capital development is a key ingredient in the overall socio-economic development of the country, with education providing skilled people and professionals for the economy and health sustaining healthy individuals and a nationwide healthy environment generally.

In the social sectors, ESRF has been involved in supporting the social sectors particularly at the level of policy research. This kind of work will continue in the next SMTP.

Sub-Theme 2: Population Dynamics and Urbanisation

Population studies often transcend the discipline of pure economics and involve social studies. Population dynamics address population changes in size, composition of different age groups and population movements as well as production roles. As Tanzania's future lies with its children and youth population, these groups, plus the ageing population, become a major focus for attention for development studies. While the youth population is increasing, their role in socio-economic development remains unclear and the majority of them remain on the margin of the development spectrum, especially, as already mentioned before, threatened by the prospects of unemployment. The challenge is thus to nurture and harness the youth potential so as to transform it into a dynamic workforce. ESRF thus intends to pay more attention to children and youth studies. Population dynamics also addresses population migration trends with a growing population in urban areas, which have become a magnet for rural youth, and attendant results in urbanisation and over-stretched social services. The management and sustainability of large urban areas that are dominated by sprawling slums is a subject that is becoming inevitable as a top agenda for frontline policy research.



Sub-Theme 3: Social Services and Protection of Vulnerable Population

Vulnerable groups particularly the elderly and people with disability are marginalised in socio-economic services, although the gender inequality aspect also intervenes. In MKUKUTA-II, the National Social Protection Framework (NSPF) identifies vulnerable groups as street children, orphans, widows, and people living with HIV and AIDS, youths, orphans, young mothers, people with disabilities, and eligible elders over the age of 60. It advocates for interventions for addressing customised social services and protection, employment included. The ESRF undertook a comprehensive study in 2002-03 on vulnerability to poverty that needs to be revisited for pointers to possible solutions. This field will be pursued in the SMTP. The ESRF involvement will particularly focus more on the nexus between social wellbeing and economic development.

Research Area Three: Natural Resources and Environment Management

Rich endowment in natural resources in Africa can be a double-edged sword that carries both blessings and curses. Tanzania is not immune to this, so it is vital that these resources be harnessed for sustained contribution to production, a fair-share of generated income through rent and taxation, as well as a judicious balancing of the use of derived revenues between consumption and investments to achieve good returns for capital. In this context, there should be no neglecting of continuous identification of new resources, which in the case of minerals require lots of capital investment. The other aspect of natural resources is related to climatic changes and natural and man-made disasters that damage or deplete the resources. In the context of escalating climate changes, resource scarcity and the lacking of effective management of the natural resources management, ESRF's research focus on these subjects is justified for a major component of its strategy. It should be noted that the next Rio+20 Earth Summit is just around the corner (in 2012) and Tanzania as a Rio adherent should be preparing for the Summit accordingly. For Tanzania's credit, its long-term development goals underline sustainable utilisation and management of natural resources. FYP 2012-15 also underscores the vital role of natural resources in poverty reduction, while the MKUKUTA II highlights this aspect and the need to reflect on the perverse impact of climate change. We intend to contribute by informing on these important crosscutting aspects through research and capacity building activities. Table 4 shows two components by which we believe ESRF can make useful contributions.

Table 4: Natural Resources and Environment Management

Research Sub-Themes under Natural Resources and Environment Management

Sub-Theme-1: Climate Change and Environment Management

Climate Change is an imminent challenge to the country's development prospects and will remain so for many years to come. In this country, climate change effects are directly observable in the broad agricultural sector (including land resources, crop and livestock husbandry, fisheries, wildlife and forest resources), which is the base for macro economic performance and poverty reduction. ESRF will conduct research and encourage policy dialogue on this important area. In collaboration with local and international institutions, it will try to further understand the effects, challenges and policy recommendations among

the following examples of broad areas: effects of climate variability on agriculture production; climate change and livelihood adaptation and mitigation; changes in weather patterns in different agro-ecological zones and their effect on crops/livestock performance; and impact of climate change to marginalised communities. Long-range measures to mitigate and/or cope with climate change effects on specific population clusters need to be kept in close view. New issues like international pressure for drastic conservation measures, trading in carbon credits, production of bio-fuels, etc. at the expense of the poor's current welfare need also to be addressed. Finally the Foundation will follow the process and outcome of the Rio+20 Earth Summit of 2012.



Sub-Theme-2: Effective Management of Natural Resources

Good governance in natural resource management is a crucial element to ensure that renewable and non-renewable resources are properly utilised so as to benefit current and future generations. In the past ESRF has collaborated with local institutions in dissemination of research

studies on this area. Due to its importance over long-term use of resources, ESRF will continue to work and engage in further research activities in this aspect. ESRF intends to work on the effectiveness of distribution of benefits from natural resources. Existing sentiments and discontentment expressed by Tanzanians and especially communities living near the resource rich sites inspire this.

As the country develops, many challenges unveil on the selection of optimal uses of resources among competing use options, again evolving within the context of the land-water-energy nexus. This phenomenon pertains for example to issues of: (i) bio-fuel production versus food crop production, (ii) the impact of a growing human population on land, particularly on wetlands and water catchments, which also impacts on sustainable river bodies and power generation, (iii) the growing human population leading to pressures on the use of natural resources and rural/urban migration. All these present policy challenges in order to sustain the natural resources endowment and safeguard the environment, which need immediate addressing. ESRF will collaborate with other institutions interested in conducting research in these themes. It will be important to identify best practices and roles for the private sector and options for public-sector engagement, with recommended measures in regulating, subsidising, taxing, as well as undertaking cooperative initiatives under PPPs that will promote a better natural resource management regime.

Research Area Four: Governance and Accountability

Governance, as defined by the World Bank (2007), is the use of institutions, and other structures of authority to allocate resources to coordinate, or control activities in society or the economy⁴. The United Nations Development Programme defines governance as the exercise of economic, political and administrative authority to manage the country's affairs at all levels⁵ of government and society. It comprises of mechanisms, processes and institutions, through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations, and mediate their differences. Governance is therefore identified as one of the missing links in economic development.

Good Governance has increasingly gained attention in the debate on economic growth and development in Tanzania, and is the focus of cluster III of MKUKUTA II. In addition, major donors and international financial institutions are increasingly basing their aid contributions on the condition that reforms ensuring good governance are undertaken. In this regard, good progress has been made in terms of strategic interventions aiming at achieving good governance in Tanzania. Appropriate institutions have been created, including the PCCB, NAO⁶, Ethics Secretariat, and Parliamentary Oversight Committees. The policy process in Tanzania has strategically gone through changes to go beyond the simplistic notion of corruption to also encompass the many dimensions of governance already cited earlier. However, some challenges still remain in the following broad areas: (i) good governance and the rule of law; (ii) accountability of leaders and public servants to the people; (iii) deepening democracy, political and social tolerance; and cultivation and sustenance of peace, (iv) self restraint and oversight control in the use of public resources, and above all (v) the ability or capacity to effect desired changes and sustain them through suitable institutions and systems of dispensing and regulating governance.

ESRF will therefore continue to articulate governance issues in the broader sense noted above, but due to the constrained resources, the following have been identified as priority areas for our research in the coming SMTP (Table 5):

⁴ World Bank (2007): *Governance Matters 2007: World Wide Governance Indicators – Country Data Report for Tanzania (1996 – 2006)*, Development Research Group (of the World Bank) and World Bank Institute, Washington.

⁵ UN Committee of Experts on Public Administration Fifth session New York, 27-31 March 2006. *Compendium of basic terminology in governance and public administration.*

⁶ PCCB: *Prevention and Control of Corruption Bureau* and NAO: *National Audit Office.*



Policy Dialogue at ESRF Conference Hall.

Table 5: Governance and Accountability as well as Capacity Building

The Research Sub-Themes under “Governance and Accountability”

Sub-Theme 1: Government Effectiveness in the Management of Financial Resources

Government is key in leading the development agenda and in managing the country’s public financial resources. It has to play this role effectively with the help of a strategic government budget. Aid management is part and parcel of budget resources management. In this respect, ESRF has been dealing with aid management generally, but more precisely in coordinating the Independent Monitoring Group (IMG), which assesses aid effectiveness and government - donor relationships. Having established itself as a neutral broker, the ESRF intends to carry its brand of “Independent Monitoring” beyond aid effectiveness (e.g. performance of aid modality, aid instruments, technical assistance, and alignment of aid to MKUKUTA II) and relations, to encompass the effectiveness of the General Budget Support (GBS) and other budgetary modalities, alignment of the budget to MKUKUTA II and the FYP, budget disbursement behaviour, off-budget financing. In order to enhance its profile in advocating for strategic budget making, the Foundation will announce a pre-budget statement to the press each year, outlining what it thinks should be the budget priorities in the coming financial year. It would network and collaborate with any willing research centre or CSO in this objective. The underlying aim of this sub-theme is also to promote budget and aid transparency and good budget management practices.⁷

⁷ Reference works by the Center on Budget and Policy Priorities in SA and in USA

Sub-Theme 2: Monitoring and Assessment of the Quality of Service Delivery to the Public

The ESRF intends to engage in the monitoring and assessment of quality of social services at national and sub-national levels whether both deliver these by public or private institutions, or jointly. It will, amongst others, assess to what extent services delivery is hampered by corruption and what can be done to curb corruption for the sake of improving in the services. Different methodologies and techniques will be adopted in implementing this sub-theme. This could for example entail working with the Public Service Management and other organisations to follow through with independent service delivery feedback surveys and implementation of client service charters. It will also develop more capacity to undertake public expenditure tracking in this regard.

Sub-Theme 3: Support of ICT Development for Increased Efficiency in Productivity and Services Delivery

The fast changing technology in the ICT domain presents a welcome challenge to Tanzania, as it can facilitate increased productivity and improved services. Among the latest government initiatives to tap the ICT potentials is the installation of e-government. It is already stipulated in MKUKUTA-II as an integral part of advancing governance, with expanded use of ICT facilities in generating and processing government information and delivering services, but with more speed and efficiency. In Tanzania, substantive steps have already taken place in installing e-government elements, but they are disjointed and quite scarce. Many MDAs are already using different ICT facilities to manage and deliver services like the Integrated Finance Management System – IFMS- or the integrated HR and Payroll systems or the National Audit Office’s Teammate software. But these initiatives are often overlapping and a comprehensive approach is still missing. In fact, the government in general still operates and uses huge amounts of paper, but given the high demands for electronic operations placed on a multitude of government service operations, ICT progress will in turn rely on better physical infrastructure, appropriate policies, capacity in ICT applications, and relevant ICT content to be able to fully implement e-government services. Most of these prerequisites are considerably lagging far behind compared to most countries in Africa, like Botswana and Kenya. The ESRF has ICT facilities and pre-requisite experience that can be put to use to support the government in the e-government initiative that is expected to be in place by 2014.

Sub-Theme-4: Research in Capacity Building

The ESRF carries out specific activities of capacity building for itself and for other stakeholders. As will be elaborated further below, and within the research themes outlined above, the research also looks into intrinsic capacity aspects. Yet, the Foundation also undertakes self-standing research on capacity development and building issues usually at the request of other institutions. This important research dimension will continue in the new SMTP.

Research Area Five: Globalisation and Regional Integration

The shape and pace of regional integration in East Africa, and the SADC, will be determined by the interweaving of a complex web of economic circumstances that are both global and regional in character. The overarching objective of ESRF research in this area is to provide data and analysis on these issues that can assist Tanzania and the EAC in efforts to advance regional integration. This could be achieved through a “formative process research” approach, which actively involves the principal stakeholders in mutually agreed research, feedback and organisational learning processes. The formative research approach could be appropriate in studying the EAC integration process, and the collaboration with the EAC Secretariat and its active involvement in the feedback process could be sought and will form the backbone of the research. Our research focus areas are indentified in Table 6 below.

Table 6: Globalisation and Regional Integration

The Research Sub-Themes under Globalisation and Regional Integration

Sub-Theme 1: Regional and International Trade

Research would focus on linkages between trade policy and poverty reduction - analyse links between trade and poverty in order to increase the understanding of trade-poverty links, as well as the possibilities of designing policies to assist the poor through inter-country trading activities. The importance of this is central to EAC and SADC, which are strongly geared towards trade integration with the overriding aim of poverty reduction. The fact that various stages of trade liberalisation and globalisation will produce winners and losers means that the effect on poverty will have to be taken into account as EAC and SADC promote regional trade integration and assist the region in international trade negotiations

Sub-Theme 2: The Dynamics of the Global Economy

With the ascendance of new economic powers on the world trading and finance scenes, especially Brazil, Russia, India, China, South Africa (BRICS), South Korea, and Turkey, the dynamics of the global economy is changing profoundly. The ESRF should reposition its research to better understand the dynamics of relations resulting from the changing situation, and more importantly suggest how Tanzania should correspondingly respond, particularly in respect of exploiting the opportunities for trading, investment and to a limited extent, foreign aid. The sub-theme cited above on supporting the export drive implies also the searching for new promising markets. The BRICS can be key in this endeavour.

Sub-Theme 3: Monitoring Regional Economic Integration within EAC and SADC

The ESRF will be carrying out regular desk research of monitoring regional integration within EAC and SADC. This aims to assist in providing regular information on the progress and benefits of regional integration. Related objectives are to provide feedback to the other components of research. ESRF outputs would be made available to decision makers particularly in the EAC and its member countries. The corollary aim is to raise awareness of a significant segment of society regarding the social and economic implications of East African cooperation so that it triggers high preparedness to reap the benefits of the EAC integration process. The information task also includes identifying officials in regional institutions and national governments, the private sector, and CSOs to collaborate with in carrying out the monitoring agenda. In addition, the outputs will be sent out to an existing and constantly expanding e-mail list of contacts interested in regional integration. The first task is clarifying the benefits to potential clients of having such a monitoring centre.

3.5 CAPACITY FOR DEVELOPMENT MANAGEMENT AND POLICY VOICE

Capacity development is the process through which individuals, organisations, institutions and societies develop abilities, individually and collectively, to manage their affairs successfully⁸. It entails a change of knowledge, skills, work processes, tools, systems, authority patterns, and management styles for example over time. In Tanzania, the relevance of capacity development is stressed in MKUKUTA II wherein the government and stakeholders alike recognise that the strengthening of capacity at various levels ought to be a priority.

The ESRF is acknowledged by many stakeholders as being instrumental in capacity development in different areas of its policy analysis. Its initiatives and approaches include a post-graduate programme in poverty studies, as well as other short-course trainings, that cover different topics like governance and accountability, policy formulation and analysis, and research methodology to name a few. Furthermore, as already indicated in Table 5, ESRF has conducted joint research and short-term assignments with public service experts with the aim of sharing knowledge and imparting skills. The Foundation also organises work attachments for external junior and senior researchers, hosts visiting scholars, and runs short courses and policy dialogue seminars.

⁸ Organisation for Economic Co-operation and Development. 2006b. *The Challenge of Capacity Development: Working towards Good Practice*. Paris (February).

ESRF training themes will be drawn from a number of areas earmarked in the FYP2012-15 and MKUKUTA II, namely leadership, policy analysis/formulation, the use of research based evidence, strategic planning, project/programme implementation, supervision and monitoring. Other themes will be derived from the training needs assessments and research outputs, under the major five ESRF research areas.

ESRF intends to promote effective policies that evolve through participatory processes. Thus through its dialogue sessions may be based on internally generated research findings, it will also give room to demand-driven topics emanating from emerging policy issues. All the capacity development programmes are designed in such a way that they meet the ESRF broad and specific objectives spelt out earlier; but at the same time there is recognition that research must generate results that meet stakeholders' expectations. To achieve this objective, ESRF will continue speaking out to ensure that there exists adequate links between research and policy. As they have in the past, ESRF will encourage its stakeholders, CSOs and private-sector actors for example, to use the various research outputs extensively as instruments to influence public policy, as well as decision-making generally. A variety of capacity development programmes will be designed specifically to enable different stakeholders to benefit. For instance, training programmes will be tailored to contribute to building the capacity of government executives on policy analysis and economic management including induction training programmes for foreigners (business people and donor aging experts coming to Tanzania) . In addition, internships and staff exchange programmes, as well as secondments, and staff attachment programmes between ESRF staff and government officials will be organised to facilitate mutual learning and tapping experiences on policy processes and policy analysis. Similarly, training programmes would be designed to enable CSOs and private sector actors to access research-based evidence to contribute to the policy processes, and to be able to conduct effective advocacy. Stakeholders' dissemination workshops will be organised to coincide with the completion of a research project when the findings are ready for dissemination. These workshops include the Biennial Development Forum - an event organised in collaboration with other collaborating institutions, such as Ministry of Finance, the Planning Commission, the Economic Research Bureau (ERB), and Research on Poverty Alleviation (REPOA).

A new capacity building aspect is gaining ascendance that will also require ESRF concerted attention, namely: focusing on regional capacity development programmes so that by year 2015 ESRF is able to become a regional centre of excellence in capacity development in Africa. It is about the need in research capacity to handle regional integration issues as well as develop the mechanisms to disseminate ESRF research results, among national and EAC policy makers and institutions. The spin-off of this initiative will be the development of capacity to provide tailor-made training and policy exchange forums to Tanzanian and EAC officials on social-economic subjects on integration, to promote better understanding of the EAC market benefits and how to reap these benefits.



4.0 Collaboration with other Organisations

4.1 COLLABORATION IS KEY IN THE SMTP

The need of ESRF collaborating with other organisations has repeatedly been mentioned and emphasised throughout this document. The stress of this need is due to the fact that ESRF is not working alone in the public policy research domain and in capacity building, and is doing more since its role is largely to support that of the government. Thus, there are several other research and capacity building organisations in the country and worldwide, and synergy among organisations working on similar issues will be maximised if they try to join forces.

Collaboration with other entities and networks including universities, research organisations, government agencies, civil society, the private sector, and others is critical to the effective performance of ESRF. In this SMTP particularly, close collaboration with the Planning Commission (PC) is underscored, given the PC's leadership role in shaping the government agenda in development policy. Another key collaborative institution, among others, will be the Commission for Science and Technology (COSTECH), which is paying increasing attention to policy research to underpin the development of technical research and particularly its impact on the lives of the people. For other institutions, collaboration ranges from joint research projects, joint or subcontracting consulting arrangements as well as sharing data and information; shared staff appointments, out-posting of staff with collaborator organisations, capacity strengthening, provision of technical assistance, mounting conferences and seminars, and entering grant and sub-grant arrangements. Currently ESRF has collaboration arrangements in research with the following institutions and networks: CUTS International, the Food Agriculture and Natural Resources Policy Analysis Network (FANRPAN), the Sharing with other People Network (SWOPNET), the Global Development Network (GDNET), the African Resource and Research Foundation (ARRF), the Chr.Michelsen Institute (CMI), the Overseas Development Institute (ODI), the African Economic Research Consortium (AERC), Research on Poverty Alleviation (REPOA), the Evidence Based Policy in Development (EBPDN) and the Development Gateway Foundation. ESRF is also among the founder institutions which teamed in 2011 to monitor the implementation of Istanbul Plan of Action (IPOA²) based on the resolutions of LDC-IV Conference in Istanbul in May 2011.

The following Table 7 shows examples of important collaborative areas and institutions that will be targeted for collaboration in the implementation of the SMTP, mostly within Tanzania. Naturally the table is not exhaustive, and notably is not intended to show the important institutions expected to be solicited for funding or technical assistance.

Table 7: An Indicative List of Collaborative Areas and Institutions for Implementation of the SMTP⁹

Research or Capacity Building Area/Activity	Likely Collaborating Institutions in Tanzania
1 Implementation of FYP, MKUKUTA-II and other sector and regional plans in promoting high growth and poverty reduction	Planning Commission (PC) MoF and COSTECH
2 Sector Drivers and Sector Issues	Sector ministries such as agriculture, livestock, industry, SMEs, infrastructure and tourism, and private sector organisations
3 Enabling Environment for Business and Investment	Planning Commission, TIC
4 Role of Government in PPP and indirect investments in leading sectors	PC, PMO, MoF, NDC and private sector organisations
5 Employment Creation	Planning Commission, Ministry of Labour, ILO, private sector organisations and workers organisations sector organisations and workers organisations
6 Monitoring EAC integration and Tripartite Milestones (COMESA/SADC/EAC)	ThinkTanks in East Africa, South Africa and West Africa

⁹ There are additional acronyms in this table, namely: Prime Minister's Office (PMO), National Development Corporation (NDC), Tanzania Investment Centre (TIC), Commission of Science and Technology (COSTECH), National Environmental Management Council (NEMC), Prevention and Control of Corruption Bureau (PCCB), Institute of Resource Assessment (IRA)

Research or Capacity Building Area/Activity	Likely Collaborating Institutions in Tanzania
7 Monitoring International pledges to support Least Developed Countries under the UN-LDC framework.	IPOA ² project under coordination of OECD
8 Population, Urbanisation and Child Issues	Ministry of Lands, Ardhi University, UNICEF, UNPF
9 Social Services and Protection of Vulnerable Population	Ministries of Education and Health, Social Security Funds
10 Climate Change Issues	COSTECH, NEMC, Ministry of Agriculture
11 Management of natural resources	Planning Commission, COSTECH, Relevant Sector ministries, IRA
12 Government budget process, budget priorities, budget transparency and aid management (IMG)	MoF, Partners Development Group, Policy Forum, PCCB
13 Quality of Public Services and e-Government Initiative	Prime Minister's Office (Local Government), Public Service Management (PSM), Uongozi College
14 Regional trade and integration	EAC Secretariat, Ministry of EA cooperation,
15 Dissemination of ESRF Research Results (including Biennial Development Forum on Vision 2025 Monitoring)	Planning Commission, MoF, Economic Research Bureau (ERB), and Research on Poverty Alleviation (REPOA)
16 Special Capacity Building Programmes (like the Post Graduate Diploma programme in Poverty and Development studies as well as Ford Foundation Fellowships)	REPOA, UNDP (and ISS)
17 Higher Profile for the Quarterly Economic Review (Explore collaboration with other organisations)	PC, MoF, ERB, REPOA, Policy Forum

4.2 POST-GRADUATE DIPLOMA IN POVERTY ANALYSIS

The Post Graduate Diploma programme (PGD) is jointly delivered, and managed, by three institutions: ESRF, REPOA and the International Institute of Social Studies (ISS) of Erasmus University Rotterdam, based in The Nether

lands. The programme was officially launched in 2003 with the support from the United Nations Development Programme (UNDP). The main objective of the programme is to train policy analysts and researchers who are actively involved in research on poverty, vulnerability to poverty and socio-economic security and development. The programme trains participants in the design, implementation, and evaluation of programmes aimed at reducing poverty and universalising socio-economic security for the protection of the poor. The programme mainly targets mid career professionals from the central government, local government, private sector, academic/research institutions, local and international NGO's. In the first six intakes during 2004-2011, a total of 157 officials have benefited from the programme.

The experience with these first six intakes allowed the diploma programme to earn a reputation for the quality of content, and the effectiveness of delivery. The students displayed great enthusiasm about the programme as shown by the exceptionally low dropout rates, notwithstanding the high study load, and the demanding nature of the assessments required for the satisfactory completion of the course. An extensive review of the programme conducted in 2010 set the stage for dealing with the following strategic issues for the period 2012 -2015:

- (a) **Course Development:** It is imperative that the programme adapts to new demands, in particular, to the new challenges arising from the changing policy context in Tanzania. For example, among others in this strategic phase a new unit on Monitoring and Evaluation (M&E) aspects will be introduced. There is in Tanzania an apparent gap between policy pronouncements and policy implementation, and the systematic monitoring and evaluation of policies and policy processes would help in filling this gap.
- (b) **Course Delivery:** It is intended to make continuous improvements in the tutorial system, and in the running of the intensive workshops. The students will be required to work on research papers on different policy issues.
- (c) **Finance and Sustainability:** The UN System through UNDP has committed to finance the delivery of the course for this new strategic period with possible exit, beyond 2015, without damaging the current positive impact of the programme. In this regard, the diversification of

funding is crucial through: (i) soliciting co-funding arrangements with the Government of Tanzania through the MKUKUTA Monitoring System, and from donors; and (ii) enhancing the support mechanism from the employers whose employees have been selected to join the programme.

- (d) **Recruitment:** Maintenance and improvement of the current system of open competition.

4.3 FORD FOUNDATION INTERNATIONAL FELLOWSHIPS PROGRAM (IFP) - TANZANIA

IFP Tanzania is being hosted by the ESRF as an International Partner for IFP and continues to oversee the program in the country. Since its inception in year 2000, the IFP-Tanzania program main objective has centred on providing opportunity to potential community leaders and exceptional individuals who lack access to higher education. Between 2001 and 2010, the program has selected 9 cohorts with a total of 128 candidates and supported them in their studies in various universities in the USA, UK, and the Royal Netherlands, and also in the Africa Region, and Tanzania. As closure of the programme is in 2013; the main emphasis is being placed on creating the IFP Legacy by making the programme and the IFP alumni more visible. In the IFP Final Phase, ESRF and IFP Tanzania intend to employ various strategies in accomplishing this, including ESRF collaboration through Policy Discussion Forums. These Policy Discussion Forums are envisaged to greatly enhance the Alumni Legacy Building among policy and decision makers, as well as the Tanzania communities.

Program focus from 2011 to 2013 is on:

- **Fellows' activities Monitoring and Evaluation:** IFP Tanzania will continue monitoring and supporting fellows up to June 2013 when all of them will complete their studies and the programme will end.
- **Building the IFP Legacy:** IFP Tanzania will endeavour to promote the visibility of its alumni in Tanzania.
- **Program Review and Evaluation:** IFP Tanzania will participate in the Country and Region Programme review activities in order to share Tanzania's experiences with other countries in East Africa, Africa, and at the global level.



5.0 Institutional Strengthening

As shown in the previous sections regarding the core of ESRF functions of research and capacity building, four critical support services are needed for the Foundation to fulfil its mandate. These relate to Knowledge Management, Publication and Quality Control, Human Resources, and ICT Hardware. It is imperative that these support services be properly functioning if ESRF is to accomplish its mandate and mission successfully.

5.1 KNOWLEDGE MANAGEMENT: INFORMATION SERVICES, ICT AND LIBRARY

Knowledge management is a process of creating, acquiring, capturing, sharing, transferring and using knowledge to enhance learning and performance in organisations. As admitted in Vision 2025, the 2003 ICT policy, FYP 2012-15, MKUKUTA II knowledge management can play a key role in enhancing service delivery and competitiveness. The government is now realising the importance of knowledge management and ICT as a key component in its policy process, service delivery, and enhancement of transparency and building the relationship between citizens and the government. Access to government information and knowledge is an important aspect in decision making by other economic and social actors outside the government, for example in avoidance of duplications, increasing innovation, reduction of operational costs and improving the services to citizens generally. This approach encompasses the creation and collection of information, the conversion of information into institutional knowledge, and government decision-making being based on that knowledge. ESRF's role is to effectively manage the information value chain, based on its research and capacity building works as well as ICT facilities that will give it an advantage in policy advice and subsequent research assignments.



TAKNET Policy Briefs

Beneficiaries of ESRF involvement in the past have not only been ESRF researchers and other internal staffs, but also a broad range of policy analysis stakeholders. In this regard, ESRF is the manager of the Tanzania Development Gateway - an internet portal that provides online networking, and Tanzania

Online - a gateway to information on development issues. It is also hosting the Tanzania knowledge network (TAKNET) - a forum that provides opportunities to professionals to network, share and exchange experiences and knowledge. The Foundation likewise hosts the country node for FANRPAN. The ESRF library, together with information technology, provides an adequate backbone for a stronger national and regional Knowledge Management Centre (KMC) in the areas of policy analysis and development management. ESRF will therefore endeavor to pursue courses of action that will ultimately ensure that it does not only do research, but also effectively disseminates its own and other knowledge generated by collaborating institutions, to the broader community.

Components of Knowledge Management, ICT and the Library

There are four sub-themes under this theme, namely: Knowledge Management, e-Government and Information Communication for Development, Communicating Research and Library.

(i) Knowledge Management

In Tanzania Knowledge readiness is still at low levels, whether in education, business, research, innovation or the ability to create access, share and apply knowledge within different sectors. It is important for Tanzania to strengthen the four pillars of the Knowledge Management (KM) if it is to accelerate its economic growth and its sustainability. The four pillars are: (i) Economic and Institutional regime, the efficient creation, dissemination and use of new and existing knowledge; (ii) Information Infrastructure, the effective communication, dissemination and processing of information; (iii) Education, a skilled population that can use and share knowledge effectively; and (iv) Innovation, whereby organisations can tap into the stock of global knowledge, assimilate, and adapt it and create local knowledge.

Four specific activity initiatives are envisaged by ESRF in the coming period:

- Maintenance and Expansion of Tanzania Online.
- Maintenance and Expansion of Tanzania Development Gateway.
- Maintenance and expansion of Tanzania Knowledge Network
- Establishment of 'Kilimo Kwanza' portal

(ii) e-Government and Information Communication Technology for Development (ICT4D)

ICT is able to play a major role in enhancing delivery of government services by bringing the government closer to the citizens through e-Government; e-Business and e-Education. In this respect, establishment of e-Government short courses would enhance policy awareness of policy stakeholders and actors (i.e. policy makers, designers, managers, researchers and activists) on issues and benefits of ICT in the government system. In the above respect, ESRF will try to work closely with the e-Government focal point once it is established within the government and in coordination with the research theme number 5 sub-themes 3 above.

(iii) Communicating Research Recent studies illustrate that there has been a gap between researches done and what the media people manage to take up. The gap has affected the spread of research findings in that they do not reach most of the targeted groups, due to either the complexity of research reports or the model of communication used. In the coming medium term ESRF plans to reduce the gap by bringing together researchers and media to allow the research findings to reach wider audiences. The specific programmes envisaged under this section are as follows:

- Repackaging and dissemination of research
- Institutional branding
- Training for media professionals on how to communicate research outputs

(iv) Library

The Library plays a major role for in-house researchers and other stakeholders. It is also a channel for dissemination of ESRF research outputs to the community and to other institutions. One major program in the coming period is in focus: The maintenance and expansion of library databases, subscriptions to online database and journals, will be important activities.

5.2 PUBLICATIONS AND QUALITY CONTROL

Publications

In the medium term a variety of publications is envisaged, as follows:

Most of the non-commissioned work done by ESRF is largely accessed in the

publications that are produced and disseminated by the Foundation. In this regard, emphasis will be put in improving the existing publications and introducing new ones that result from research and other activities.

One of the most innovative elements in this SMTP is to have a flagship publication, which will focus on a chosen subject of current relevance to the economy or to social devolvement in Tanzania. It would be produced by ESRF, and possibly in collaboration other willing institutions, on a biennial basis as a result of an in-depth review of a selected subject, which among others could be on one of the sub-themes indicated in the current strategy or any other burning issue. Its launching will be in the context of the annual research conference, elaborated further below.

The other main publications will include both technical Publications and Institutional Publications as categorised below:

(a) Technical Publications: There will also be regular publications, namely:

- (i) Working Paper Series (WPS):** They will constitute specific publications that evolve from ESRF research programmes. In this case, authorship will be limited to staff assigned to the study/research who will abide to certain guidelines. They may eventually transform into Policy Dialogue Series.
- (ii) Policy Dialogue Series (PDS):** These publications evolve from substantive discussions mostly in workshops or seminars, hosted or organised by ESRF.
- (iii) ESRF Policy Briefs (EPB):** These are short papers (e.g. a Brief of 4-6 pages) aimed at message delivery on a policy issue. They could be summarising an output of a substantive policy dialogue process or derived from working paper series. The Policy Brief Series would incorporate stakeholders' views and will be written for wide readership (i.e. put in simple non-technical language).
- (iv) TAKNET Policy Briefs (TPB):** These are summaries of the exchange processes in the TAKNET forum on different topics of current (popular) interest in the country, in East Africa or worldwide. They usually include contextual information to enhance their value for furtherance of policy dialogue and decision-making.
- (v) Quarterly and Annual Reports and Statements:** (i) Quarterly Economic

Review (QER) will be published quarterly to review the major economic developments in the country, factually maintaining the past trend; and (ii) The annual documents such as the annual pre-budget statement, cited previously.

(vi) Newsletters: These will be published monthly to enlighten the public about the various burning or simply newsworthy issues and occasions – at national and international level. The publication will also present information about major developments at the Foundation

(b) Institutional Publications

These include brochures for information and annual reports on ESRF state of affairs.

Quality Control

As emphasised from the outset of this Strategic Plan, it is intended to enforce quality control in all ESRF activities. Because publications portray to the wider public the image of the Foundation, an institutionalised mechanism will be put in place to ensure that publications produced are of high quality. A two-stage approach will be applied to assure quality in the publications: First, use of an internal quality control expert, and second, use of peer reviewers (possibly external reviewers) for all publications and key technical works.

Dissemination of Publications

The Foundation will use the strong linkages it has with a wide range of stakeholders – Government Ministries, Departments and Agencies, Development Partners, Civil Society Organisations, other Research and Academic Institutions, and the Private Sector – to ensure efficient dissemination of its publications. Where necessary, ESRF will consider collaborating with NGOs who would decipher and present relevant ESRF research results in a reader and user-friendly form for particular groups of stakeholders. Proper marketing of the publications is another important aspect that will be considered for better dissemination of ESRF publications. Marketing of ESRF's products will be done through the use of newsletters and brochures; use of the internet – especially via the popular Tanzania Online housed by ESRF; and events – such as forums, workshops, seminars and dialogue series. It is intended to initiate one annual research conference that will serve to disseminate selected ESRF research work outputs and to enhance networking and contacts among researchers working or interested in similar research fields, as well as facili-

tating formal consultation with research clients. During this conference the flagship publication cited above will be circulated. Every two years the annual conference could be expanded to become a regional conference so as to highlight more issues of regional and international concerns. Such a regional conference will have to involve collaboration with other research institutions and networks of regional level status.

The Foundation will continue with its efforts to enhance subscriptions, distribution, and sales of ESRF publications through more aggressive marketing. Also, ESRF will continue to foster a stronger network of various experts who could help the Foundation's core staff to produce and disseminate its envisaged outputs.

5.3 HUMAN RESOURCES

Human Resource Management

Human Resource Management (HRM) is a critical component for the success of ESRF. It is crucial in ESRF's transition to become a centre of excellence in the region. (it aspires to be). The medium term strategy will therefore address key HRM factors by focusing and aligning the required skills to fulfill the Foundation's vision and mission. The Human Resource Department (HRD) will accordingly ensure that ESRF recruits and retains staff with the requisite expertise.

Though the current number of staff is 32 in total, according to the proposed organisation structure, the Foundation requires a total of 36 employees. The proposed positions and staffing levels are optimal under an ideal situation where all research programmes, training and policy works are at highest level of performance. Due to financial constraints, the Foundation has in the past found it hard to meet staffing demands to its satisfaction.

The strategic direction of HRM for the period 2012-2015 shall focus on recruiting and retaining qualified staff, and ensuring that the manpower retention scheme is in place. This will aim at minimising staff turnover, and increasing productivity as well as and maintaining the integrity and credibility of the Foundation. Steady staff development shall also entail the recruitment and capacity building of young professionals for which short-term training and exchange programmes and partnerships will be established worldwide with other research institutions and centres of excellence. As indicated in the re-

search section, professional staff will seek deeper specialisation so that they gain national, and international recognition as leading researchers in their specific fields. The intention is to attain excellence in research, in the specific areas around the core staff whose capacity will be strengthened with the outsourcing of other experts. A network of outside experts will be maintained in a systematic database.

Staff Retention Strategies

Given that at the core of any organisation is its staff contingent, ESRF's retention strategy focuses on ensuring that the staff are highly motivated by ensuring that remuneration and other welfare options remain competitive. ESRF recognises that competitive compensation does not reflect on the benefits alone but it also includes improving the non-financial elements of the job like the work environment, the facilities, the opportunities for personal advancement, and room for staff participation in designing and implementing various research projects.

The HRM Department shall improve upon human resource planning and improve further the performance management systems and human resource policies and practices. For this purpose, the HRM department will design a staff development plan, considered as one of the staff retention strategies. It will highlight a staff succession plan, which will among other elements shed light on such matters as (i) strengths and potential gaps in internal capabilities, particularly the organisational core competencies, and thus plans for meeting future staffing needs, (ii) professional carrier development plans to guide individuals to advance to higher professional responsibilities or leadership levels, and (c) the ESRF external experts resourcing strategy, for anticipated and planned gap filling. Funds needed for staff training and development programs will be solicited accordingly, and training shall focus among other areas on general leadership, as this attribute will help managers to guide and improve staff performance. Strategies are already laid out for staff capacity building in research and policy skills, including academic pursuit to Masters and PhD levels. The HRM Department shall work to ensure that staff is retained by recognising and rewarding their performance. A salary review shall be conducted every 5 years to enable the provision of better staff benefits based on industry benchmarks.

5.4 ICT HARDWARE BASE

In the wake of the 'digital world', ESRF has to be at the forefront in ensuring that Tanzania is less affected by the north-south 'digital divide' phenomena, and it is moving well in that direction. In recent years, the ICT facilities at ESRF have improved significantly so as to support very well the research activities. By doing so, the Foundation will now be able to further strengthen its position in the market. Successes achieved by managing TZ-Online and TZ-Gateway are a showcase of a basis for a broader range of ESRF's ICT based products. However, the ICT facilities available need to continually improve in tandem with the fast changing technology in the world and the computers, for instance, should be replaced in the near future, as most of them were bought before 2009. A computer normally works perfectly between 3 to 4 years. The internet facilities have improved significantly after inauguration in Tanzania of the ocean-floor cable. With the combination of good internet speed and a healthy hardware, the speed of completing research has advanced as well. It is pertinent to recall that the advances made in ESRF ICT management has been one of the key factors in raising the prestige of the Foundation and its ranking as a centre of excellence in Africa.

For the future, further improvements are required in desktop and laptop computers and other accessories. Internet access has to be expanded as a lot of the research depends on information readily available on the internet. A larger capacity computer server shall also facilitate more effective sharing of knowledge and information within and outside of ESRF.



6.0 Monitoring and Evaluation (M&E)

6.1 INTRODUCTION

The monitoring and Evaluation (M&E) of the ESRF programmes is a routine activity, which is conducted quarterly, semi-annually and annually. A number of instruments have been developed to conduct Monitoring and Evaluation of the programmes. These instruments also form a major part of the Foundation's reporting system. They include official meetings (by ESRF Board of Trustees, ESRF Management, Management Sub Committee, and ESRF Staff Meetings); Semi Annual Reports; Annual Reports; and Supervision and Evaluation Missions (External Evaluation) by grant providers such as ACBF.

Monitoring and Evaluation will be part and parcel of the entire ESRF implementation of the 2012-2015 strategic plan. Each proposal submitted for funding will have clear indicators for measuring outcomes as well as M&E mechanisms. The overall M&E strategic objectives and strategic actions of ESRF are developed in the Log frame with indicators for assessing ESRF performance (Annex I).

One of the important M&E aspects is related to the question of demonstrating that most of ESRF work outputs especially on the policy platform lead to positive immediate or long term impact on the economies and peoples' welfare of Tanzania, and even East Africa. This information should be captured and documented in a specified manner to build up the indicators included in the Log frame for assessing the institution's performance. Before the end of the fifth SMTP, it is also intended to carry out a special survey of ESRF clients to gauge the level and areas of customer satisfaction, or dissatisfaction, with ESRF's services. This will help in shaping the next SMTP.

6.2 RISKS AND ASSUMPTIONS

The main assumption underlying ESRF's success in reaching its objectives is that Tanzania Government, DPs, NGO's, CSO's and local organisations will maintain confidence in the Foundation and interest in its products and services. It is further assumed that in addition to the commitment of policymakers to continue working with ESRF, professional staff at ESRF has to be motivated, and essentially dedicated to their work, to achieve the Foundation's objectives. One factor in evaluating ESRF's outputs during the timeframe of this SMTP will be the timely completion of research assignments and efficient dissemination of the outputs to leverage impact on policy decisions by policy practitioners and/or on policy voice in partnership with CSOs.

It is also assumed that the Government of Tanzania, DPs, the Private Sectors and others will extend strong support to ESRF for its work programmes. It is further expected that Government will work closely with ESRF in its activities for capacity building for policy analysis through mentorship programs for professionals working in or with similar backgrounds in policy analysis. This will include attachment of ESRF staff to work in Government departments to gain more hands-on approach on policy formulation as well as Civil Servants' secondment to ESRF for field level practices.



7.0 Resource Requirements and Mobilisation

7.1 RESOURCE REQUIREMENTS

The resource requirement to implement the activities outlined in the new SMTP 2012-2015 is projected to be US\$ 11,296,513. This projection is an increase of about 37% compared to the resources used in the outgoing SMTP 2008-2011, whose implementation has been constrained by insufficient funding. Therefore, the new SMTP 2012-2015 has been designed with more realistic ambition than in the last SMTP. The cost elements featuring in the new SMTP reflect the key research and capacity building areas and as well as other institutional operation and support functions, as seen in Table 8 below. More details with annual breakdowns are shown in ANNEX-II.

Table 8: SMTP 2012-2015 Resource Requirement Projection¹⁰

	COST ESTIMATE AREAS	US\$	%
1	PROGRAMMES	4,406,443	39.0
1.1	Research Agenda (Including commission research)	2,402,020	21.3
1.2	Informing the Policy Process and Dissemination	366,576	3.2
1.3	Capacity Development and networking	1,637,848	14.5
2	INSTITUTIONAL STRENGTHENING	4,101,007	36.3
2.1	Knowledge Management	926,600	8.2
2.2	Publication and Quality Control	372,826	3.30
2.3	Human Resource Management	2,801,581	24.8
3	INFRASTRUCTURE	285,375	2.5
3.1	Renovation of Offices and Extension	146,375	1.3
3.2	Office furniture and Equipments	18,000	0.2
3.3	ICT Hardware and Software	41,000	0.4
3.4	Library Services (Books, Periodicals & online resources)	80,000	0.7
4	ADMINISTRATION	2,503,687	22.2
4.1	Administration and Staff remuneration	1,230,990	10.9
4.2	Office Operating Expenses	1,272,697	11.3
	TOTAL EXPENDITURE	11,296,513	100

Source: Annex II

7.2 RESOURCE MOBILISATION

In this SMTP 2012-2015, the ESRF will depend for most of its funding on Government of Tanzania, Development Partners (DPs) and a few non-official

¹⁰ The breakdown per year is presented in Annex II

sources, without of course forgetting the income derived from Commissioned Research and Consultancies. The key DP and non-official contributors were acknowledged at the beginning of this document. On-going efforts to contact these and new donors aim at diversification of the sources under the new SMTP. It is noteworthy to mention here the GOT has announced intention to scale up funding of research activities in the country in general up to 1% of the GDP, through COSTECH, and policy research is definitely included¹¹. This source will be pursued accordingly.

It is anticipated that the Government of Tanzania and other major donors such as IDRC – TTI, UN system (UNDAP) and ACFB, will cover about 72% of the Foundation's needs. Another 21.7% would be covered from the earned income under the commissioned studies and consultancies. That leaves a shortfall of close to 6 % of resources to be mobilised from new sources to be identified as part of the Resource Mobilisation Strategy. Even for commissioned research, funds will not be easily come by. There will be constant scouting for consultancy opportunities and proposals, most of which may not be advertised by clients. By systematically following up what is being planned in MDAs, it is possible to identify promising areas that are likely to generate policy research needs of the type that is suitable for ESRF's intervention.

In all cases, a vigorous resources mobilisation effort will be needed. For this purpose, at the beginning of the SMTP period in 2012, ESRF's management, through the Board, will develop a specific Resources Mobilisation Strategy (RMS) to guide the mobilisation efforts. Implementation of the strategy will be evaluated annually prior to preparation of the annual budget of the Foundation so as to input into the budget estimates. Resource mobilisation goes beyond just money, it also embraces steady building of contacts and networks of potential contributors, and cultivating their interest in what the Foundation does, inciting their support and material contributions, building valuable relationships so that when a financial request is sent to them it will not be seen as a surprise. They will then be able to discern by mutual interest in what ESRF is planning to do with their financial resources. Thus the RMS will elaborate the strategy and approaches to deal with each group of donors, and even mention them by name when possible, and appraise the status or prospects where specific negotiations are headed.

¹¹ Though the fund is ostensibly earmarked for scientific research, this cannot be divorced from policy research aspects when it is in support of socio-economic development; research for development is essentially interdisciplinary.

Besides the RMS, other activities to be undertaken in tandem will include the following two components, which have to be approved by the Board:

- (i) **Annual Activity or Action Plan.** This will be prepared and approved annually by the Board for all the Foundation's activities that will preoccupy staff time and resources. The Action Plan will be an elaboration of the current SMTP.

- (ii) **An Annual Budget.** This goes hand in hand with the Annual Action Plan. The budget shows more precise estimates of sources of funds and the detailed items of expenditures.

ANNEX-I: SUMMARY OF THE STRATEGIC PLAN 2012-2015 AND PERFORMANCE INDICATORS

The overarching objective of the Foundation is to input into the country's policy-making process. This will be done by means of the SMTP through: (1) research and (2) capacity building in economic and social policy areas for which the priority themes have been indicated above in Tables 2 to 6. These core functions will be accompanied with requisite activities for (3) disseminating the results of the Foundation's work. Thus performance indicators will try to show ESRF effectiveness. But other indicators (4) should also show efficiency in use of the financial, human and other resources available. The fifth (5) category of indicators relates to long-term sustainability of the Foundation. The performance targets are set annually with the help of the Action Plan and are assessed equally annually. Cumulatively performance is indicated where appropriate for the duration of the SMTP.

Strategic Objectives (SO)	Strategic Actions (SA)	Indicators
SO-1. RESEARCH		
<p>1.1. Inputting into policy making processes of the country</p> <p>1.2. Contribution to increased knowledge on major stakeholders' knowledge on major issues that affect the society</p> <p>1.3 Enhancing knowledge of the organisation</p>	<p>SA-1-1 Undertake strategic and commissioned research (per research theme)</p> <p>SA-1.2.1 Carry out consultations with local and international stakeholders to identify or reflect on research issues</p> <p>SA-1.3.1 Attend, organise or attend seminars, workshops and conferences for information sharing</p>	<ul style="list-style-type: none"> • Number of initiated research activities undertaken. • For Commissioned research, number of specific problem solutions or policy initiatives proposed and adopted by clients • Percent of SMTP research sub-themes undertaken • Ratio of core research to commissioned research undertaken • Number of written citations and references made by outsiders to ESRF studies • Number of substantive non-ESRF reports and studies reviewed • Number of books and publication received by ESRF each year • Number of seminars and workshops organised • Number of seminars and workshops attended
SO-2. CAPACITY DEVELOPMENT (CD) AND POLICY VOICE		
<p>2.1. Strengthen capacity for policy research and analysis.</p> <p>2.2. Host national, regional and international policy researchers and programmes</p>	<p>SA-2.1.1 Provide short-term and long-term training programmes indicated in this strategy.</p> <p>SA-2.2.1 Provide backstopping technical support for policy analysis to government, donors and CSOs</p> <p>SA-2.2. 2 Organise policy dialogue sessions</p>	<ul style="list-style-type: none"> • Number of specific CD studies carried out • Number of seminars and workshops organised • Number of seminars and workshops hosted or facilitated by ESRF or its staff • Number of training events and participants in training events organised by ESRF • Number of ESRF staff participating in training events organised by outsiders

Strategic Objectives (SO)	Strategic Actions (SA)	Indicators
SO-3. POLICY WORK; DISSEMINATION OF ESRF RESEARCH RESULTS		
<p>3.1 Increase the awareness of national decision makers on specific policy issues</p>	<p>SA-3.1.1 Undertake awareness raising programmes and actions</p> <p>SA-3.1.2 Facilitate debate and discourse on issues pertinent to the national development priorities</p>	<ul style="list-style-type: none"> • Number of periodic publications per type • Number of dissemination channels established • Number of conferences attended in which ESRF papers were presented • Number of debates and discourse facilitated
SO-4 INSTITUTIONAL CAPACITY STRENGTHENING		
<p>4.1. Increase human resource capacity to undertake research and training</p> <p>4.2. Establish sustainable funding mechanism</p> <p>4.3. Upgrade infrastructural facilities and services</p>	<p>SA-4.1.1 Prepare ESRF Human Resources Development Strategy</p> <p>SA-4.1.2 Prepare ESRF Communication Strategy</p> <p>SA-4.2.1 Prepare Resources Mobilisation Strategy</p> <p>SA-4.3.1 Undertake systematic procurement of facilities and services needed</p>	<ul style="list-style-type: none"> • Human Resource Development Strategy prepared and adopted • Operational Communication strategy prepared and adopted • Number of Endowment funds or funding commitments established • Annual Action Plans and Annual Budget prepared and adopted • Prepare viable funding proposals for donors
SO-5 GENERAL INSTITUTIONAL PERFORMANCE (CREDIBILITY AND SUSTAINABILITY)		
<p>5.1 Maintain the Foundation's relevance and prestige</p>	<p>SA-5.1.1 Promote ESRF standing as a think-tank</p> <p>SA-5.1.2 Establish and maintain links with other organisations</p> <p>SA-5.1.3 Subject the Foundation to outside assessment</p>	<ul style="list-style-type: none"> • Number of ESRF formal retroactive reviews undertaken • Number of continuing client owned programmes hosted by ESRF • Number of collaborative research and capacity building links established with other organisations • ESRF position in research rankings made by outstanding assessment institutions

ANNEX-II: STRATEGIC PLAN 2012-15 RESOURCE REQUIREMENT PROJECTION

B	COST ELEMENTS	USD	USD	USD	USD	USD	%
B1	PROGRAMMES	1,022,347	1,073,464	1,127,138	1,183,494	4,406,443	39.5
B1.1	Research Agenda (Incl. Commissioned Research)	557,297	585,162	614,420	645,141	2,402,020	21.5
B1.2	Informing the Policy Process and Dissemination	85,050	89,303	93,768	98,456	366,576	3.3
B1.3	Capacity Development and Networking	380,000	399,000	418,950	439,898	1,637,848	14.7
B2	INSTITUTIONAL STRENGTHENING	2012 941,500	2013 1,014,825	2014 1,065,566	2015 1,084,116	TOTAL 4,106,007	% 36.8
B2.1	Knowledge Management	205,000	241,500	253,575	231,525	931,600	8.4
B2.2	Publication and Quality Control	86,500	90,825	95,366	100,135	372,826	3.34
B2.3	Human Resource Management	650,000	682,500	716,625	752,456	2,801,581	25.1
B3	INFRASTRUCTURE	28,000	130,000	61,000	66,375	285,375	2.6
B3.1	Renovation of Offices and Extension	7,500	82,500	27,500	28,875	146,375	1.3
B3.2	Office Furniture and Equipment	3,500	3,500	8,500	2,500	18,000	0.2
B3.3	ICT Hardware and Software	2,000	14,000	10,000	15,000	41,000	0.4
B3.4	Library Services (Books, Periodicals & online resources)	15,000	30,000	15,000	20,000	80,000	0.7
B4	ADMINISTRATION	561,829	578,684	596,044	613,926	2,350,483	21.1
B4.1	Administration and Staff Remuneration	294,240	303,067	312,159	321,524	1,230,990	11.0
B4.2	Office Operating Expenses	267,589	275,617	283,885	292,402	1,119,493	10.0
	TOTAL EXPENDITURE	2,553,676	2,796,973	2,849,748	2,947,911	11,148,308	100