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INSTITUTIONAL ARCHITECTURE FOR FOOD SECURITY POLICY CHANGE: GUATEMALA

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ACRONYMS

ASIES	<i>Asociación de Investigación y Estudios Sociales</i> (Association of Social Research and Study)
CACIF	<i>Comité de Organizaciones Empresariales Agrícolas, Comerciales, Industriales y Financieras</i> (Committee for Agricultural, Commercial, Industrial and Financial Associations)
CdA	<i>Cámara del Agro</i> (Chamber of Agricultural Entrepreneurs)
GDR	<i>Gabinete de Desarrollo Rural</i> (Cabinet for Rural Development)
CIEN	<i>Centro de Investigaciones Económicas Nacionales</i> (National Economic Research Center)
COCODES	<i>Consejo Comunitario de Desarrollo</i> (Community Development Council)
COCOSAN	<i>Consejo Comunitario de SAN</i> (Community Council for FSN)
CODEDES	<i>Consejo Departamental de Desarrollo</i> (Department Development Council)
CODESAN	<i>Consejo Departamental de SAN</i> (Department Council for FSN)
COMUDES	<i>Consejo Municipal de Desarrollo</i> (Municipal Development Council)
COMUSAN	<i>Consejo Municipal de SAN</i> (Municipal Council for FSN)
CSO	<i>Organizaciones de la Sociedad Civil</i> (Civil Society Organizations)
DP	Development Partners
FAO	Food and Agricultural Organization of the United Nations
FEDECOVERA	<i>Federación de Cooperativas de las Verapaces</i> (Federation of Cooperatives)
FSN	<i>Seguridad Alimentaria y Nutricional</i> (Food Security and Nutrition)
GIA	<i>Grupo de Instituciones de Apoyo</i> (Group of Supporting Institutions)
GoG	Government of Guatemala
IARNA	<i>Instituto de Agricultura, Recursos Naturales y Ambiente, Universidad Rafael Landívar</i> (Institute of Agriculture, Natural Resources, and the Environment)
ICEFI	<i>El Instituto Centroamericano de Estudios Fiscales</i> (Central American Institute for Financial Studies)
IDB	Inter-American Development Bank
IFPRI	International Food Policy Research Institute
IICA	Inter-American Institute for Cooperation in Agriculture
INCOPAS	<i>Instancia de Consulta y Participación Social</i> (Instance of Social Participation and Consultation)
K'atun	National Development Plan – Kátun 2014-2032
M&E	Monitoring and Evaluation
MAGA	<i>Ministerio de Agricultura, Ganadería y Alimentación</i> (Ministry of Agriculture, Livestock, and Food)
MAGA-DIGEA	<i>Dirección de Extensión Agrícola</i> (Bureau for Agricultural Extension)
MAGA-DIPLAN	<i>Dirección de Planificación</i> (Bureau for Planning)
MAGA-ICTA	<i>Instituto de Ciencia y Tecnología Agrícola</i> (Agricultural Science and Technology Institute)
MIDES	<i>Ministerio de Desarrollo Social</i> (Ministry of Social Development)
MINECO	<i>Ministerio de Economía</i> (Ministry of Economy)
MINFIN	<i>Ministerio de Finanzas</i> (Ministry of Finance)

MSPAS	<i>Ministerio de Salud Pública y Asistencia Social</i> (Ministry of Public Health and Social Assistance)
PAFFEC	Family Farming Program to Strengthen the Rural Economy
PESAN	<i>Plan Estratégico de Seguridad Alimentaria y Nutricional</i> (Strategic Plan for Food Security and Nutrition)
PH0	Zero Hunger Pact
PPH0	Zero Hunger Pact Plan
PNDR	<i>Política Nacional de Desarrollo Rural Integral</i> (National Policy for Integrated Rural Development)
POA	<i>Plan Operativo Anual</i> (Annual Work Plan)
POASAN	<i>Plan Operativo Anual de Seguridad Alimentaria y Nutricional</i> (Annual Operating Plan for Food Security and Nutrition)
POLSAN	<i>Política de Seguridad Alimentaria y Nutricional</i> (Policy on Food Security and Nutrition)
SESAN	<i>Secretaría de Seguridad Alimentaria y Nutricional</i> (Secretariat of Food Security and Nutrition)
SICOIN	<i>Sistema Integrado de Contabilidad del Estado</i> (National Integrated Accounting System)
SIGES	<i>Sistema Integrado de Gestión del Estado basado en resultados</i> (National Integrated Management System)
SIINSAN	<i>Sistema Información de SAN</i> (Information System for Food Security and Nutrition)
SINASAN	<i>Sistema Nacional de Seguridad Alimentaria y Nutricional</i> (National System for Food Security and Nutrition)
UNICEF	United Nations Children's Rights and Emergency Relief Organization
USAID	United States Agency for International Development
WB	World Bank
WFP	World Food Program

EXECUTIVE SUMMARY

There is a well-developed system for the development, implementation, coordination, and monitoring and evaluation of the food security policy in Guatemala. Policy analysis and coordination is provided through the national council and cabinet system, with secretariat support provided by the Secretariat of Food Security and Nutrition (SESAN) and Secretary of the Cabinet for Rural Development (GDR). Policy development for food security is especially strong at the sector level, where ministries are carrying out operational work plans and development partners (DPs) are providing financial and technical support aligned with government priorities. However, the policy making process for agriculture and rural development is weaker and less developed than for food security. It must be noted, however, that the approval of the National Plan for Implementation of the Policy for Integrated Rural Development (PPNDRI) came in mid-2014, and thus there has been a limited amount of time to display progress and results.

Despite the strong institutional structure for food security and nutrition, there remains a systemic gap between policy development and policy implementation. There are poor linkages between policy formulation and development, with no official, systematic framework defined for policy making, and an absence of financial or economic analysis during policy development. Policy implementation for agriculture and food security in Guatemala is limited, with implementation heavily under-funded and depending largely on external financial and technical resources support. Budget appropriation is higher than actual government spending during most of the year, creating a disconnect between the prioritization of food security and rural development at the policy level, and the actions taken in practice to enable work to be carried out in key priority areas.

Policy development processes: The policy development process varies by policy and sector. In general, policies lack financial and economic analysis, investment plans, and multi-year budgets. The lack of such tools creates uncertainty about the feasibility of implementation over time. A standard for development, implementation, and the monitoring and evaluation of policies should be promulgated by the government, perhaps by SEGEPLAN, that takes into account the need for economic and financial analysis during the policy development phase and the formulation of a multi-year investment plan. This should be done at the national policy level as well as during the design of specific sector or ministry-level programs and plans.

Coordination of multi-sectoral policy frameworks: Line ministries and secretariats are responsible for implementing agriculture and other sector programs under PNDRI, but there is a weak central coordination mechanism for implementation leading to minimal complementary among activities. The Secretary of the GDR is insufficiently resourced to undertake such a role for PNDRI. Guatemala should define an institutional structure for the coordination of agriculture and rural development policy that includes an inter-institutional coordinating body. Improving the technical capacity and management capacity of municipal delegates of Ministry of Agriculture, Livestock, and Food (MAGA) would further improve the effectiveness of coordination and implementation. There is a need for a clear approach to assess the human resources capacity within line ministries and a strategic plan to support human resource capacity development in alignment with the resource demands of national policies.

Monitoring and evaluation (M&E) framework: The M&E information system of SESAN allows government to monitor and analyze the level of performance of implementing ministries and secretariats. However, the M&E system for PNDRI is extremely limited. A systematic action plan to develop an M&E system has not been determined. The government should build an M&E framework for PNDRI, while continuing to support the “Budget for Results” plan to include all ministries and secretariats.

INTRODUCTION AND METHODOLOGY

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

Institutional architecture provides a framework for analyzing a country's capacity to undertake food security policy change.² This is accomplished by identifying implementation barriers, designing policy options, and coordinating actions across public and private institutions. This assessment examines the components of the policy making process, providing USAID, local policy makers, and other key stakeholders with information on possible constraints that could stymie effective policy change. This work will help inform USAID as it explores new approaches for technical assistance to improve the capacity and performance of the policy change process.

Part I: Overview of Institutional Architecture for Policy Change

The first part of this assessment maps out the key actors that influence food security policy development. This involves identifying and mapping the key institutions that hold primary responsibility for implementation; inter-ministerial coordination mechanisms; private and civil society organizations; as well as think tanks and research organizations that impact and influence the food security policy change process. These factors are examined in the context of the broader economic and social dynamics that impact the policy change environment. A map of these institutions is found in Annex I.

Part II: Capacity of Food Security Policy Change

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

- Policy Element 1: Guiding Policy Framework
- Policy Element 2: Policy Development and Coordination
- Policy Element 3: Inclusivity and Stakeholder Consultation
- Policy Element 4: Evidence-based Analysis
- Policy Element 5: Policy Implementation
- Policy Element 6: Mutual Accountability

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Each of these components is analyzed through a set of indicators that determine the capacity and effectiveness of the overall policy change process. Each indicator is assessed using a three-tier rating system, which highlights

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

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

the level of attention needed to improve the effectiveness of the component. A *green* rating means the component is realized to a sufficient degree, and additional attention is not required. A *yellow* rating means that the conditions required to achieve the purpose underlying the component are partially achieved, but additional attention is required. A *red* rating means that significant attention is needed to ensure the component is achieved. Indicators will be accompanied with a narrative analysis of key gaps and constraints to the policy change process.

AGRICULTURE AND FOOD SECURITY IN GUATEMALA

Agriculture is an important driver of economic growth in Guatemala, accounting for a fifth of gross domestic product (GDP) and employing around 40 percent (CGIAR and GoG, 2011) of the total labor force (IFAD, 2014). Agricultural GDP growth has averaged 3-4 percent over the past six years, in line with the national growth rate (IDB, 2014).

Poverty and food insecurity in Guatemala is severely entrenched: the national poverty rate has fluctuated between 51 and 56 percent over the past decade (World Bank, 2014). While poverty is a national problem, poverty rates are significantly higher in the western plateau and the northern region. Nearly half of the population lives in rural areas, and around 70 percent of the rural population remains trapped in poverty, most of which suffer from chronic malnutrition (World Bank, 2014 and IDB, 2014). Chronic malnutrition among children is alarmingly high (50 percent), making it the highest in the region and among the highest in the world (FAO, 2014).

Crop production in Guatemala is particularly vulnerable. Of the total available agricultural land, 34 percent is arable of which basic crops account for 42 percent (CGIAR and GoG, 2011). Production of rice, wheat, maize, and soybean has increased since 2007, though imports and exports of these crops have declined (IFAD, 2014). Overall, Guatemala is a food consumption-deficit country, being a net importer of maize, rice, black beans, and other staple foods (FAO/WFP, 2010).

A number of challenges to smallholder growth exist, including insufficient access to land, recent climatic hardships such as hurricanes and droughts, low productivity farming techniques, and weak irrigation infrastructure. Increases in food prices further stress food security. On average, the price of maize increased 48 percent since 2010, and the price of plantains jumped by 67 percent over the same time period (WFP, 2013). This situation puts at risk the food security of the rural population that depends heavily on staple crops for subsistence.

The Government of Guatemala's strategic priority to ensure food security in the country has widespread support from government agencies, civil society, and development partners. Agriculture and food security priorities for the government include the right to proper and permanent access to adequate food and nutrition, increasing productivity and diversification of production, improved use and utilization of food to lower child malnutrition, and improved social protection of vulnerable populations to increase the access to food (GoG, 2012).

PART I: OVERVIEW OF THE INSTITUTIONAL FRAMEWORK

There is a complex institutional architecture in place for agriculture and food security policy in Guatemala. The Government of Guatemala (GoG) treats agriculture and food security rather independently in terms of policy and institutional organization and takes a multi-sectoral approach to addressing each subject. Food security is tied closely with nutrition and health, whereas agriculture is considered a component of integrated rural development, along with infrastructure, land use, natural resource management, and others.

FOOD SECURITY

Guatemala has a Policy on Food Security and Nutrition (POLSAN) and a Law on the National System for Food Security and Nutrition (SINASAN) that together define the strategic institutional framework for organization and coordination of food security and nutrition policy by prioritizing, classifying into hierarchies, harmonizing, developing, and executing actions related to food security and nutrition (FSN).

The National Council for Food and Nutritional Security (CONASAN), the Secretariat of Food Security and Nutrition (SESAN), the Ministry of Public Health and Social Assistance (MSPAS), the Ministry for Social Development (MIDES), and the Ministry of Agriculture, Livestock, and Food (MAGA), which has a Vice-Ministry on Food Security and Nutrition (VISAN), constitute the main government entities monitoring, coordinating, and implementing food security and nutrition policy.

CONASAN was established as the governing body of SINASAN, with wide representation by ministries, the private sector, and civil society. CONASAN oversees the fulfilment of the objectives and agreements of SINASAN, identifies and approves policies, plans, and strategies on FSN, and examines and proposes changes to policies and strategies on FSN.³ On the government side, CONASAN is led by the Vice President of Guatemala. Members of CONASAN include SESAN, which also acts as the Secretary of the Council, MAGA, MSPAS, MIDES, and other ministries and secretariats.⁴ The private sector has two representatives on the council. These spots are presently filled by the Committee for Agricultural, Commercial, Industrial and Financial Associations (CACIF) and the Cámara del Agro (Chamber of Agricultural Entrepreneurs). Civil Society is represented in CONASAN through five seats elected by the Instance of Social Participation and Consultation (INCOPAS). CONASAN meets at least once every month or as they determine necessary.

The main technical working group within CONASAN for food security and nutrition is the Inter-Institutional Technical Committee (CTI) made up of five government agencies and coordinated by the Director of the Information System for Food Security and Nutrition (SIINSAN).⁵ CONASAN is part of the General Cabinet,⁶ the Cabinet of Social Affairs,⁷ and the Cabinet for Rural Development (GDR).⁸

³ Article 15 of the Law on the National System for Food Security and Nutrition (SINASAN).

⁴ Additional members include: the Ministry of Education (MINEDUC), the Ministry of Economy (MINECO), the Ministry of Communication, Infrastructure and Housing (MICIVI), the Ministry of Environment and Natural Resources (MARN), the Ministry of Labor and Social Welfare (MINTRAB), the Ministry of Public Finances (MINFIN), the Secretary of the Executive Secretariat of the President (SCEP), and the General Secretary of Planning and Programming (SEGEPLAN).

⁵ CTI consists of MIDES, MAGA, MSPAS, MINFIN, and MINEDUC.

The SESAN is housed within CONASAN and was established under the Law on SINASAN as the coordinating body for the law and is responsible for managing all national FSN programs and plans. INCOPAS and the Group of Supporting Institutions (GIA) are mechanisms for inclusive participation of various civil society sectors and international organizations, respectively. The main role of INCOPAS is to present technical proposals within the CONASAN. The ten civil society sectors represented in INCOPAS are: non-governmental organizations (NGOs), indigenous groups, unions, farmers, businesses, women's organizations, universities and social research organizations, Catholic Church, Evangelical churches, and professional organizations. GIA allows supporting institutions, such as donors and international organizations, to provide financial and operational support for decision making about food and nutritional security. The Donor Group on Food Security and Rural Development is the technical working group of development partners (DPs) active on these topics and is currently chaired by USAID.

AGRICULTURE

The Ministry of Agriculture, Livestock and Food (MAGA) holds primary responsibility to establish agricultural policies and coordinate, monitor, and evaluate the implementation of agricultural projects under the government's Integrated Rural Development Policy (PNDRI). In practice, the main program implementing PNDRI is the Family Farming Program to Strengthen the Rural Economy (PAFFEC), for which MAGA is charged with coordination and implementation. A presidential commission will determine how to allocate other specific programs and pacts under PPNDRI to each ministry or secretariat.

There are three vice ministries within MAGA, including the Vice-Ministry of Rural Economic Development (VIDER), the most relevant to PNDRI objectives, the Vice-Ministry of Food Security and Nutrition (VISAN), the most relevant for food security activities of MAGA, and the Vice-Ministry of Rural Development in Petén (VIPER). MAGA's Information Unit works in the area of technical support and information as well as design analysis. MAGA's Bureau for Planning (DIPLAN) undertakes data collection, monitoring and evaluation (M&E), and institutional strengthening and modernizing. Like MAGA, all Guatemalan ministries have their own respective budget, information, M&E, and planning divisions or units. VIDER's technical committee includes the Director of Extension (DIGEA/MAGA), MAGA-DIPLAN, and the advisor to the Vice Minister.

The coordinating body for agriculture and rural development is presently the GDR, specifically the Secretary of this Cabinet. The Cabinet is the highest authority for issues on rural development and agriculture. The National Council for Agricultural Development (CONADEA) under MAGA was created by a ministerial accord and is a public-private consultation mechanism in Guatemala for rural development.

A detailed map of the key institutions that hold primary responsibility for policy development and implementation; inter-ministerial coordination mechanisms; private and civil society organizations; as well as think tanks and research organizations that impact and influence the food security policy change process is provided in Annex I.

⁶ The General Cabinet includes all ministries and secretariats of the country. Its role is to discuss and propose to the President its opinions on politics, plans and programs of the government and to advise the President on any subject relating to the duties of each member's respective office as well as general topics of government management.

⁷ The Cabinet of Social Affairs is coordinated by the Vice President of Guatemala and includes approximately fifteen ministries and secretariats including MAGA as well as other groups, such as the Fund for Social Development (FODES) and the National Institute of Statistics (INE).

⁸ The Cabinet for Rural Development is composed of the President, Vice President, Ministers of MAGA, MSPAS, MINEDUC, MICIVI, MINTRAB, MINFIN, MINECO, MARN, MIDES, and SESAN. Donors, private sector, and indigenous and farmer groups are also given permanent representation.

PART II: CAPACITY FOR FOOD SECURITY POLICY CHANGE

POLICY ELEMENT I: THE GUIDING POLICY FRAMEWORK

The policy framework to support agriculture and food security is well defined and consistent with national development strategies, but there is a divergence in scope and scale between the National Strategy for Food Security and Nutrition and sector strategies.

OVERVIEW

National development policies and programs reflect the government's commitment to agriculture and food security and nutrition. The National Development Plan or "K'atun" (2014 - 2032) was released by the National Council of Urban and Rural Development and the Commission for Rural Development and Commission for the Formulation and Monitoring of The National Development Plan. The plan contains key national objectives on hunger reduction, increased rural income and productive value chains, targeted infrastructure for local development, sustainable natural resource management, and improved territorial management and land security. The National Policy on Food Security and Nutrition (POLSAN) (1997) is the overarching policy document for food security in Guatemala. The Strategic Plan for Food Security and Nutrition 2012-2016 (PESAN) articulates actions to address four dimensions of FSN, namely availability, accessibility, consumption, and safety, with a general emphasis on the importance of effective coordination to achieve these goals. PESAN has established a system of information on indicators and M&E of national and municipal strategic plans.

Since 2012, the Program for the Reduction of Chronic Malnutrition 2006-2016 (PRDC) has been integrated into the Zero Hunger Pact (PH0) (2012). The PH0 is an ambitious commitment by the government to eradicate hunger and malnutrition, and to reduce chronic malnutrition, focusing its efforts on pregnant mothers and children 0-5 years of age. PH0 is the main operating plan of PESAN, and is further articulated and operationalized in the Zero Hunger Pact Plan 2012-2016 (PPH0). Its coverage and scope are comprehensive and national: the plan focuses on 166 high-priority municipalities.⁹ In addition, although less of a focus than PH0, the CONASAN and MAGA under the coordination of the Council for Social Integration approved the Food Contingency and Emergency Plan 2009 (PCEA), which aimed at providing assistance to families threatened by food insecurity. The execution of PCEA has been assigned to MAGA.

The National Policy on Integrated Rural Development (PNDRI) (2009) aligns under K'atun and has the overall objective of progress toward improved quality of life through the equitable and sustainable use of resources for integrated human development in rural areas. It is a priority of the current government, as it will help fulfill the commitments assumed under the 1996 peace accords. The Plan for PNDRI (PPNDRI) was approved in 2014, and is a strategic plan that operationalizes various aspects of the PNDRI. It lays out objectives to promote the rural economy, increase the access of indigenous and peasant population to basic public services, improve road infrastructure, encourage community development, and achieve territorial implementation of PNDRI through

⁹ Ministries and secretariats including MIDES, MAGA, MINECO, MSPAS, MINTRAB, MICIVI, MARN, MINFIN, MINEDUC, Executive Secretariat of the President (SCEP), Secretariat of Social Works of the President's Wife (SOSEP), Secretariat of Social Welfare (SBS), and Presidential Secretariat of Women (SEPREM) implement aspects of PPH0 through human resources and budget allocations. SESAN and SEGEPLAN play important roles but they do not have a role in direct implementation.

democratic governance. Line ministries are guided by the eleven policies under PPNDRI: agriculture, fishery, forestry and hydrobiology, economy, culture, social-environment, social participation and political development, gender equality, food sovereignty and FSN, social, vulnerability reduction and risk management, and labor. However, to date, the PPNDRI lacks an investment plan, work plans, and annual operating budgets.

MAGA's Agrarian and Agricultural Policy 1998-2030 was the first document setting the long-term strategy of rural development in Guatemala, with the goals of securing property rights, sustainable use of water and land resources and more efficient and competitive production. Agricultural policy goals are set in mid-term policy documents by MAGA. The mid-term National Agricultural Policy 2011-2015 is one of the eleven policies of PPNDRI and aims to create the conditions for productive actors to generate an equitable and sustainable economic development, fostering employment and reducing poverty and inequality. It prioritizes rural economies, indigenous and peasant communities in order for them to become surplus producers and invigorate local economies. With two priority areas, one on food and nutrition security and the other on production and business development, this policy aims to promote the integration of rural communities into the market economy through promoting linkages; strategic alliances and trade; economies of scale; information on accessing the market; microcredit lines with an emphasis on women; new partnerships between producers and funders; and a strengthened system of basic grain storage.

The Family Farming Program to Strengthen the Rural Economy 2012-2015 (PAFFEC) is MAGA's flagship program and acts under all the aforementioned frameworks. PAFFEC is the main activity under PNDRI regarding agriculture, and outlines the outcomes, outputs, and activities of the MAGA. The objective of PAFFEC is to create dynamic rural economies through technical assistance and inputs to farmers through the National System of Rural Extension (SNER), territorial strategic interventions at the municipal level, and the improvement of the productive infrastructure and logistics.

CAPACITY FOR POLICY CHANGE INDICATORS

a. Clearly Defined and Consistent Policy Framework

Status: Yellow

National policy documents are available in print and on government websites. There are many policies in Guatemala, though not all are implemented. K'atun (2014), for instance, includes 51 policies yet just 35 have central funds allocated for implementation. The food security plan sets out a clear strategic framework to coordinate, implement, and monitor food security policy; however this priority is highly political and is often changed or rebranded every four years with each change of government. Many policies in Guatemala, including PNDRI, lack legal approval. Without the backing of law, policies exist as more of a declaration of political will than legal obligation.

Priorities for food security and agriculture are articulated at the national level through POLSAN and PNDRI, respectively, and all sector strategies are to align with government strategic plans. In practice there are challenges in aligning sector strategies, as line ministries often operate as independent silos. It is not clear how national policies should be prioritized with ongoing sector strategies. For example, MSPAS has 23 programs and FSN is only one of them. Better linking policies together under the PNDRI umbrella is crucial to bring together ministries for adequate implementation.

b. Predictability and Transparency of the Policy Making Process

Status: Red

Government commitments to agriculture and food security are clearly articulated and addressed in national policy documents. However, there is no rule or specific legal framework standardizing the process of policy making, which can lead to delays and poorly drafted proposals.

The Open Budget Survey (2012) found that Guatemala provides the public with some information on the national government's budget and financial activities during the course of the budget year. Guatemala's score is higher than the global average yet lower than neighboring Honduras and Mexico. One noted area for improvement is for the GoG to link the budget to its stated policy goals, include performance indicators on all expenditure programs, and provide information intended to directly benefit the country's most impoverished populations (Open Budget Survey, 2012). Guatemala's "Budget for Results" program appears to be addressing this recommendation.

Transparency in public financial allocation, management, and expenditure is relatively strong for food security due to consistent tracking of activities and budgets in the Information System for Food Security and Nutrition (SIINSAN) managed by SESAN with the help of MINFIN and SEGEPLAN through the National Integrated Accounting System (SICOIN). By contrast, transparency of information is weak under PNDRI as there is neither a supervising institution nor an automated financial monitoring process for the policy. SIGES (Integrated Management System of the State) is being implemented gradually and is also open to the public, showing budgets, budget execution, activities, and achievement of objectives and results.

c. Clear and Functional Legislative System

Status: Yellow

There is a clear process for legal drafting and legislative approval in Guatemala. Oversight bodies are responsible for determining the constitutionality and legal feasibility of the draft laws before their promulgation. During the discussion phase in Congress, and depending on the subject matter, one of 33 committees reviews the law. The Constitutional Court is ultimately responsible for ensuring a law does not impinge on the Constitution of the Republic. On the legislative level, there are three commissions: Food and Nutritional Security, Human Rights, and Agriculture.

The Food Security and Nutrition Committee and the Rural Development Committee reviewed SINASAN and the proposed Law for Integrated Rural Development, respectively. These committees invite social or economic actors specifically related to each law to discuss or listen to their arguments for or against the bills. Alternatively, a civil society actor can ask for an invitation to the committee hearing. The committee's decision on the draft law is then sent to the board of directors. This board has representatives of all political parties in Congress and determines when Congress will review and decide on the proposed law. After Congressional review, approved laws are submitted to the President to be signed into law. Laws are published in the official national register.

d. Appropriate Dispute Resolution Process/Judicial Framework

Status: Red

The judicial system is ineffective at addressing business disputes related to agriculture as there is no functioning, expedited dispute resolution mechanism for agricultural issues. At the local, municipal, department, and national level, general civil and criminal courts are the only available option, though many municipalities lack any courts at all. Appellate courts exist at the national level, and commercial disputes go to the Center of Arbitration and Reconciliation (CENAC) of the Chamber of Commerce. CENAC exists at the national level in Guatemala City.

While the Constitution guarantees the separation of power, in practice Guatemala's judicial system is perceived as inefficient and corrupt due to excessive political influence of Congress and the President over the decision of judges. In 1993, reforms to the Constitution increased the number of justices from nine to thirteen, and reduced the terms of office from six to five years in an attempt to add more fairness and equitability to the court. Transparency International's assessment of judicial independence indicates that the judiciary still lacks sufficient independence and accountability (Transparency International, 2014).

e. Clearly Defined Institutional Responsibilities

Status: Yellow

Guatemala has clearly defined institutional roles and responsibilities with respect to food security, as defined in PESAN, PH0, and PPH0. Each component of PPH0 is allocated to one or more ministries to carry out, though in practice some tasks and responsibilities are overlapping, and ministries tend to operate independently leading to weak complementarity among programs. INCOPAS is not responsible for implementation but engages in monitoring, auditing, and supervising the activities of GoG. By law SESAN is obligated to listen to INCOPAS but not to incorporate their feedback and suggestions into implementation plans.

The agriculture sector has defined roles and responsibilities that are general and broad. Operating plans don't exist yet for PNDRI and it is too early to say if PNDRI will be consistently applied and predictable from year to year. For MAGA, clearly defined roles and responsibilities are set out at the program level and operating plans that exist for PAFSEC.

CONCLUSIONS

The GoG has a strong commitment to improve food security as expressed in PH0, one of the three main national plans of the current government. PH0 aligns with and strengthens the institutional framework given by the Law on SINASAN and POLSAN. The food security plan sets out a clear strategic framework to coordinate, implement, and monitor food security policy; however this priority is highly political and can be subject to changes in priority with each change of government. The approach for agricultural policy is also framed by a multi-sectoral system. The PPNDRI is a recent comprehensive rural development plan that is still developing in several areas. Implementation plans and execution strategies are unclear and under-developed, and PNDRI does not have a system of M&E. There is no legal authority under PNDRI to force the compliance of line ministries, which makes the policy more vulnerable to short-term political decisions. Guatemala has a well-defined institutional and participative structure for food security that guarantees the implementation of food security policy, but in the agriculture and rural development policy arena where the scope is large, it is uncertain if the implementing line ministries can achieve the broad objectives of PNDRI. This lack of clarity is likely to cause implementation challenges, as discussed further throughout the report.

RECOMMENDATIONS

1. **Create an official process for policy development:** Guatemala should formulate a standardized, enforceable guideline for the process of design, development, participation, and content (scope and specificity) of public policies. SEGEPLAN is best positioned to undertake and issue such nation-wide guidelines for policy making since SEGEPLAN is responsible for programming and planning activities for

laws, policies, programs, and plans for all sectors in Guatemala. Improving the course of action for policy making would improve the quality of policies in Guatemala and requirements for drafting, discussion and debate, and approvals. Despite a plethora of published policies, few have budgets or have been implemented (as is discussed throughout the report). Clarifying and guiding the political landscape could lead to more effective policies that last beyond a single administration.

2. **Build up judicial frameworks for dispute resolution:** There are insufficient judicial frameworks to address business disputes related to agriculture. Commercial courts with expedited options for cases involving agriculture would more appropriately address agriculture-related conflicts at the national, departmental, and municipal levels.

POLICY ELEMENT 2: POLICY DEVELOPMENT AND COORDINATION

Guatemala has a well-developed and comprehensive system for the development and coordination of agriculture and food security policy. There has been great leadership from the government to drive the food security policy agenda, while inter-ministerial coordination and stakeholder consensus is a continuing challenge for agriculture and rural development policy development.

OVERVIEW

Food security policy development in Guatemala has been shifting from a top-down approach to a more inclusive process involving multiple stakeholders across government, DPs, civil society, and private industry. However, this tendency is not made mandatory by specific rules or regulations regarding the policy development process at the national or ministerial level.

SEGEPLAN, the secretariat responsible for policy planning and programming for all sectors, has developed food security policies with CSO and DP input. In recent years, however, their role in FSN has been reduced due to the existence of SESAN and CONASAN. CONASAN has a very inclusive approach to policy formulation. Under CONASAN are SESAN, CTI, and INCOPAS. SESAN provides policy guidance, coordination, and M&E for FSN. SESAN is in charge of drafting and submitting policy proposals to CONASAN for their approval and adoption, such as they did for POLSAN, PH0, and PPH0. The drafts were reviewed by government, DPs, private sector and CSOs. CTI is the main technical working group for policy development and coordination under CONASAN.

For agriculture policies, MAGA has a Planning and Policy Unit that participates as part of a task force of ministry and non-government experts to draw up the policy. The minister of MAGA and, if desired, the National Council for Agricultural Development (CONADEA) must approve the project or policy before it is taken to the President for final approval. MAGA's Bureau for Planning (MAGA-DIPLAN) is in charge of planning and monitoring. MAGA followed a consultative process for drafting PAFFEC, primarily through direct consultation with academia. For PNDRI, the drafting process was lengthy and inclusive, bringing in farmers and indigenous CSOs, the private sector, and DPs. In contrast with food security policy development, the power of leadership for policy development has shifted over time from DPs to ministry officials, and now to the President within the GDR.

CAPACITY FOR POLICY CHANGE INDICATORS

a. Approved Food Security Strategy/Investment Plan

Status: Yellow

Guatemala has a multi-sectoral, multi-year strategic plan for food security, which specifies priorities, objectives, results, and activities to be taken. This plan clearly defines the roles and responsibilities of different actors from the public and private sectors and civil society. The long-term vision and strategy to improve food security are clear. However, there is currently no investment plan included in the strategy, and uncertainty about the financial resources required to implement the strategy remains.

Only after strategic plans are approved do SEGEPLAN and MINFIN work together with the finance departments of each implementing agency to create budgets to implement the work plans designed by each line ministry. The budgeting process is characterized by a lack of consultation prior to creating the national budget, a lack of economic and financial analysis prior to budget-setting, and incomplete consideration of policy objectives when setting ministry allocations. In practice, the Tax Ministry sets a

ceiling on budgets for each sector without considering annual work plans, making multi-year policies and implementation plans impossible.

b. Predictable Policy Agenda and Priorities Developed

Status: Yellow

While the objectives and aims of policies are predictable and clear, there is a disconnect between policy priorities, which are based on the administration and line ministry's needs, and implementation priorities, which are based on the availability of finance. Ministers of key food security ministries, such as MAGA, are replaced often, compounding the unpredictability of priorities. Greater institutionalization of policies would improve consistency and predictability of policies over time and better ensure investment in food security and agriculture objectives.

c. Annual Work Plans

Status: Yellow

Annual work plans are developed for implementation of national rural development and food security strategies. Line ministries and municipalities are responsible for drafting sector action plans, called POAs, for carrying out the national strategies. The objectives within agriculture and food security policy are at a sufficient level of detail to enable implementation by ministries. Each ministry prepares a strategy for the formulation of the POA along with a proposed budget. These draft POAs are delivered to SESAN, MINFIN, and SEGEPLAN for review and discussion to ensure they are appropriately aligned with the national policy and national budget. During meetings of the Inter-governmental Technical Committee (CTI) in SESAN, representatives of all relevant ministries report their activities and budgets for PPH0. CTI is responsible for monitoring, planning, evaluation and coordination of the execution of the POAs for PH0 throughout the year. The consolidated work plan is presented to the General Cabinet, which consolidates it into the national budget and submits it to Congress. Following review and approval of the national budget by the Congressional Finance Committee, the national budget is published and a law is passed to formally adopt the budget.

For agriculture, work planning is completed by MAGA as well as each municipal government, and follows a similar approval process as for food security work plans. Poor inter-ministerial alignment is problematic. Ministries lack any incentive to converge on policies and implementation, and SESAN has little power to force them to cooperate, leading to work plans that operate independent of one another.

d. Functioning Coordination Process

Status: Yellow

SESAN serves as the primary agency responsible for coordinating policy development for food security and nutrition policy. SESAN has a well-developed mechanism for inter-ministerial coordination, but the impact of this coordination is limited. This is because SESAN lacks enforcement power and does not have a role or budget for implementation and thus no incentives to offer to line ministries to engage in policy coordination. GIA and the Donor Group for Food Security and Rural Development function as a forum between donors and government. These bodies have similar membership with the G13 group of DPs who work together with the GoG to achieve development goals. The G13 was created with the signing of the Declaration of Stockholm in 1999, and consists of: Germany, Canada, Spain, the United States, Italy, Japan, Norway, Netherlands, and Sweden, in addition to the following multilateral organizations: the Inter-American Development Bank (IDB), the World Bank (WB), the International

Monetary Fund (IMF), the United Nations (UN), the European Union (EU), and the Organization of American States (OAS).

The private sector has its own initiative in food security and nutrition called the Alliance for Nutrition, involving 21 companies and private-sector NGOs and CSOs. The Alliance has three areas of work: impacting public policy, territorial-level actions, and communication about behavioral change. This initiative coordinates with SESAN on aspects of policy, strategy, and implementation through private-sector delegates in CONASAN. SESAN has a strategic alliances and international cooperation unit that leads this dialogue with the private sector, CSOs, and DPs.

PNDRI (2009) was made operational through the ambitious Plan for PNDRI (PPNDRI) that was recently released in mid-2014. PNDRI states that there should be an inter-ministerial coordination role but doesn't say who or how to create one. As a result, there is no institutionalized coordination body for PNDRI. Presently, the Executive Secretary of the GDR is acting as coordinator between the ministries and secretariats involved in PPNDRI, DPs via the donor group on food security and rural development, and with the private sector.

e. Secretariat/Administrative Support Function

Status: Yellow

SESAN has adequate staff to perform its functions, including coordination, meeting management, communication, and document management. Within SESAN, there is a Sub-secretary of Administration, Finance and Human Resources that is responsible for all financial, administrative, and logistical aspects of food security policy. SESAN has an Information System Unit that manages SIINSAN and SIMON, which are the online information systems for FSN. Another unit is in charge of monitoring and evaluating the line ministries' reporting of indicators for PPH0 and ensuring that the strategic plan for food security is realized.

f. Technical Capacity

Status: Yellow

Staff capacity in CONASAN and CTI, the main technical committee for food security, is strong. SESAN has a competent unit specializing in technical and financial coordination with DPs, CSOs, and the private sector called the Sub-secretariat for Strategic Alliances and International Cooperation. INCOPAS provides meaningful feedback and observations to the food security dialogue yet could better develop its technical skills and dialogue with SESAN. The GDR lacks sufficient staffing, and since the private sector withdrew itself from the Cabinet earlier this year over disagreements over PNDRI, the capacity of the Cabinet for technical coordination and consensus-building is weakened significantly. The capacity within MAGA for policy development and coordination is strong due to the Planning and Policy Unit. However, policies in Guatemala are rarely backed by laws, indicating a disconnect between the technical capacity of ministries and coordination bodies to pass policy and their ability to work within the legislative process. Capacity gaps are discussed further in Policy Component 5 – Policy Implementation.

g. Political Support and Approval

Status: Green

Participation by high-level decision makers enables efficient political support for the passage and development of new policies. Power in Guatemala is heavily centralized with the President and drafting

power rests at the ministry and secretariat level. Food security policy has been strongly supported by CONASAN, the highest authority for food security, which is led by the Vice President of Guatemala. Consensus also comes from the international development community and local NGOs and CSOs. The GDR is the highest authority for agriculture and rural development, which is presided over by the President of Guatemala.

h. Engagement of Parliament/Legislative Body

Status: Red

In Guatemala, few policies have had legislative participation. Congress has shown its interest in food security through its decision to create a specific commission for FSN, though this commission is said to provide more oversight over the implementation of the PPH0 work than legislative support for policy formulation. The high level of awareness and interest in agriculture and food security policy by the public guarantees that it will remain a government priority, although the emphasis and names of programs and plans typically change with each new government. The private sector in Guatemala is particularly powerful, well organized, and in opposition to the proposed law for integrated rural development, due mostly to land reform issues. However, given the sensitivity of government to rural society, Congress adopted the draft law despite strong opposition from the private sector. The private sector has expressed interest in developing a proposal for an alternative law.

CONCLUSIONS

There is a well-developed system for the development and coordination of food security policy in Guatemala, and political support for addressing food security challenges is high, although not necessarily reflected in budget allocations. Effective policy analysis and coordination for FSN is achieved through CONASAN, GIA, and INCOPAS, while secretariat support is provided by SESAN. This system is far more sophisticated than that of agriculture and rural development. Policy development for rural development is robust at the sector level, where for agriculture it is a MAGA-led process. However, due to the lack of an institutional framework for inter-ministerial coordination of PNDRI, the effectiveness of PNDRI may be limited.

Despite the strong institutional structure for food security laid out in the Law of SINASAN, substantial gaps in the policy making process remains. Linkages between policy formulation and development are uncertain, with no official, systematic process defined for policy development, and there is an absence of financial or economic analysis during policy formulation. While SESAN provides an inter-ministerial coordination mechanism for food security, the line ministries retain a high degree of autonomy. As a result, SESAN has little political or legal power for enforcement. Under the current process, line ministries and municipalities will develop work plans to support implementation, and SESAN will combine these action plans into a single document (POASAN). However, each ministry continues to promote its own agenda and political priorities that span beyond those defined in PH0 and PAFFEC. Additionally, this present policy making process does not provide for a transparent discussion about resourcing. There is no system for estimating the resource commitments needed for the implementation of PH0, especially given that no investment plan was completed during policy development, or the remaining funding gaps (the funding gap is reported as 60 percent of the total amount required to fully implement PH0).

The political relations between the President and the Congress have been erratic in Guatemala. However, when interest has been high, such as for food security, policies have been recognized and approved. The lack of long-term commitments is marked by the uncertainty in continuity of leadership in key government entities.

RECOMMENDATIONS

1. **Develop an investment plan for policies during policy development phase:** There is no required step during the policy development process for approving an investment plan for agriculture and food security at the national or sectoral level. A standard process for the development, implementation, and M&E of policies should be promulgated by the government, taking into account the need for economic and financial analysis during the policy development phase and the formulation of a multi-year investment plan. This should be done at the strategic level as well as during the design of specific sector or ministry-level programs and plans (i.e. PAFFEC, PH0).
2. **Define an institutional structure for the coordination of agriculture and rural development policy:** PNDRI is presently coordinated by the Secretary of the GDR, a single person, rather than a Secretariat or group of officers as is the case for FSN. For adequate coordination of PNDRI, the government should establish an inter-institutional coordination system for shared policy priorities for agriculture and rural development. Steps should be taken to ensure that the coordinating body lasts beyond each election cycle.

POLICY ELEMENT 3: INCLUSIVITY AND STAKEHOLDER CONSULTATION

Civil society and the private sector have been effective in engaging in the policy development process through consultative groups, although there is more openness on behalf of government to engage in transparent food security policy dialogue than for agricultural policy dialogue.

OVERVIEW

Guatemala has a legal mechanism for the participation of civil society and government in planning and monitoring social and economic development through the National System of Urban and Rural Development Councils. The Executive Secretariat of the President (SCEP) is responsible for the coordination of the Development Council System, which is composed of 22 departments each with corresponding Departmental Development Councils (CODEDES), 338 Municipal Development Councils (COMUDES), and over 12,000 Community Development Councils (COCODES). The National Council for Urban and Rural Development is responsible for overseeing the formulation and implementation of national development plans among each department and municipality. For food security, the system is organized similarly with Community Council for FSN (COCOSAN), Municipal Council for FSN (COMUSAN), and Department Council for FSN (CODESAN). SCEP has a seat in CONASAN.

There are two central private sector umbrella organizations for agriculture and a number of sector specific associations in operation. The CACIF and the Cámara del Agro (CdA) are both well-organized, powerful players in agriculture and food security in Guatemala. CdA's 13 members include representatives from the major agricultural associations of Guatemala, such as for coffee, sugar, and banana. CACIF consists of CdA, the Chamber of Commerce, the Chamber of Industry, and the Chamber of Finance (financial industry: banks, financial cooperatives, and insurance).

The legal framework for inclusive government structures was created recognizing the importance of involving multiple government and non-government sectors in the development and implementation of policy for FSN. This vision led to the inclusion of a wide range of actors in the decision making processes, such as for POLSAN, PESAN, PH0, and PNDRI. National and international institutions have played key roles in supporting these government initiatives and in supporting the development of action plans. SESAN, INCOPAS, and GIA are the consultative groups and spaces for the participation of civil society in the development of food security initiatives. Donors have a structure established and regular participation in GIA, which meets with SESAN. The same group of donors that participates in GIA participates bilaterally in the Cabinet for Rural Development (GDR).

The National Council for Agricultural Development (CONADEA) is the primary public-private consultation mechanism for rural development in Guatemala. CONADEA, which is led by the Minister of MAGA, has representation from the private sector, cooperatives, and industry representatives from export-oriented crops, and helps prioritize MAGA's rural development activities.

CAPACITY FOR POLICY CHANGE INDICATORS

- a. Inclusive Participation within the Policy Coordination Management Entity
Status: Yellow

CONASAN and the GDR are the primary mechanisms for consultation with the private sector and CSOs at the national level. CSOs and the private sector are included in policy coordination, planning, technical support, and consultation, and both participated in the development of national policies for food security and agriculture, although with different intensities and varying results. For food security, participation is recognized by law, regulation, and policy. CTI incorporates participation from government entities implementing food security policy objectives, GIA connects DPs and SESAN, and INCOPAS brings in the private sector and CSOs.

Discussion around PNDR began around the time of the 1996 Peace Accords. PNDR was approved in May 2009 by consensus between the previous government and more than 25 organizations from agricultural, peasant, and women's movements. The current government consulted with various organizations to hear their opinions and suggestions, known as the 40-84 Initiative, for the law drafted on integrated rural development. Discussions were lengthy, beginning in 2000. Since the proposed law has support from government and CSOs and staunch opposition from the private sector, it is unclear when or if this or an alternative law will be passed. Although they are allocated a seat, the private sector is not currently represented in the GDR Donors, which are represented through the Donor Group within the Cabinet. Some donors, such as Food and Agricultural Organization of the United Nations (FAO), directly participate in the GDR by decision of the President.

b. Outreach and Communications

Status: Green

SESAN serves as the primary mechanism for interacting with stakeholders and sharing information on food security policy. SESAN meetings typically take place monthly. In Guatemala, by obligation of the law on transparency and free access to public information, any proposed government law, policy, budget, hiring, performance or financial information can be requested as public information. Accordingly, information on laws, policies, budgets, activities, and results are published on the websites of each responsible ministry or secretariat. There is a central web site of all the national laws on the website of Congress, and all national policies are available on the website of SEGEPLAN. There is also the website of SIINSAN where laws and regulations on food security are published. Budget information and the status of execution of those budgets is available and consolidated by Ministry or Secretariat in the accounting system of the state (SICOIN), and all procurement of goods or services must be published by all ministries or secretariats on their webpage as well as in the procurement portal of the state (GUATECOMPRAS).

c. Private Sector Participation – Opportunity/Space

Status: Red

CONASAN plays a key role in fostering intra-governmental coordination and information exchange as well as a space for the private sector and CSOs to participate in development challenges. DPs participate via GIA through which they interact directly with SESAN. The Donor Group for Food Security and Rural Development invites private-sector and government officials to its monthly meetings to allow for direct communication between donors and other implementing institutions aside from SESAN.

For agriculture and food security policy development, private sector stakeholders noted that they are typically informally contacted on an *ad-hoc* basis by the government to provide feedback during the consultation process. The GDR has not indicated that it will organize a private-sector roundtable

during the consultation process for the anticipated law for integrated rural development. Poor communication and unresolved contention between government and the private sector over the direction of the national agriculture system impedes consensus-building processes and further exacerbates the fragmentation of the rural development community, given that actors are polarized by their differing perspectives and values. These gaps in communication and coordination may result in difficulties in decision making, as well as in the implementation, sustainability, and effectiveness of national policies and programs.

d. Private Sector Participation – Capacity to Participate

Status: Green

Agricultural associations have the capacity to effectively articulate policy stances and provide evidence-based research to propose constructive solutions. Think tanks and universities are involved in the policy space, offering insight, criticism, and recommendations in the area of food security and agriculture. Despite their technical capacity, the private sector and CSOs are highly dependent on funds from DPs.

e. Participation of CSOs – Opportunity/Space

Status: Yellow

CSOs are well represented at the national level in INCOPAS and the GDR. INCOPAS represents 10 sectors and communicates at the highest level with CONASAN through its elected representatives who attend monthly meetings. INCOPAS says that the government asks for its perspective on issues outside of CONASAN but that it rarely if ever has the space within CONASAN meetings to present information or opinions. CSO relations with the government depend highly on the sector and policy. The space within food security is functional and working relatively well, relative to other sectors. However, there is no guarantee of continuity of CSO participation in the GDR after the general elections next year.

f. Participation of CSOs – Capacity to Participate

Status: Yellow

The role of INCOPAS is defined in the Law for SINASAN. This association is perceived by the general population to mean that INCOPAS is part of the GoG, and is therefore more reluctant to work with INCOPAS. Nonetheless, INCOPAS is able to articulate and communicate policy positions, and to provide evidence-based analysis to support its viewpoints. Recently INCOPAS articulated a strategic plan for advocacy in FSN. INCOPAS has strong representatives and monthly meetings.

CONCLUSIONS

There are many mechanisms for consultation with the private sector and civil society, especially for FSN. The private sector and CSOs have been effective in engaging in the policy dialogue, although concerns remain about the capacity of these stakeholders to engage on agriculture and food security issues without the financial support of DPs. The level of CSO representation within CONASAN is greater and more permanent than in the GDR. Institutional organization for FSN is recognized and laid out clearly in law, regulation, and policy. For rural development and agriculture, however, the structure is simply informal. Participation by the private sector and CSOs for agriculture and rural development occurs mainly in the development of policies and M&E, while technical work depends on DP funding.

RECOMMENDATIONS

1. **Improve the quality of participatory mechanisms, especially for PNDRI:** Despite sufficient spaces for consultation with the private sector and civil society, each space can be improved to allow for higher quality discussion or debate. Strengthening the organizational and decision-making capacities of communities and their development councils would strengthen the national development system through better resource management, inclusivity, feedback loops, and institutional capacity to implement policy. The GDR has not indicated that it will organize a private sector roundtable during the consultation process for the anticipated law for integrated rural development, and poor communication and unresolved contention between government and the private sector over the direction of the national agriculture system will likely impede consensus-building processes in the future. Outreach to the private sector to rejoin the Cabinet and enhancing the opportunities for CSOs to engage as part of the CONASAN agenda would contribute to higher quality discussion.
2. **Develop a formal means of incorporating suggestions and feedback into the food security information system:** The National Development Council seems to approve new policies without adequate debate. The GoG should develop two-way discussion and debate as well as a formal means of incorporating suggestions and feedback into the food security information system to improve the effectiveness of policies and programs. This is particularly important to private sector and CSO stakeholders who are unclear about how or if their feedback and suggestions are valued or prioritized.
3. **Incentivize INCOPAS to contribute to the dialogue on social accountability and policy effectiveness:** INCOPAS, with its on-the-ground representation at the local level and mandate for M&E of PH0 could be better leveraged as an M&E mechanism. INCOPAS is well positioned to provide insight on emerging social concerns and priorities of internal and external stakeholders, including communities, employees, governmental and nongovernmental organizations, management, and owners. These insights should be systematically incorporated into the national policy dialogue to improve the effectiveness of policies at the local level.

POLICY ELEMENT 4: EVIDENCE-BASED ANALYSIS

Access to, and availability of, agricultural data is critical to effective policy development, implementation, and evaluation. Considerable achievements have been made in strengthening information systems for agriculture and food security in Guatemala. However, a number of gaps remain in terms of linkages between implementing institutions, the use of information by policy makers, and the financial support for maintaining and strengthening the existing systems.

OVERVIEW

Valid food security data supports better targeting high risk populations, program monitoring and evaluation, and measuring progress over time. There are numerous agencies involved in data collection in Guatemala, and the infrastructure for evidence-based analysis to support agriculture and food security policy has been strengthened over the past five years. The main entities collecting and reporting data are ministries, National Institute of Statistics (INE), SESAN, research organizations and donors. MAGA's Agricultural Science and Technology Institute (MAGA-ICTA) acts as the Guatemalan agriculture research and development institute. MAGA-DIPLAN is the agricultural statistics office under the MAGA responsible for the collection and dissemination of agricultural statistics and agricultural surveys.

The Association of Social Research and Study (ASIES), Central American Institute for Financial Studies (ICEFI), Institute of Agriculture, Natural Resources and the Environment (IARNA), and the National Economic Research Center (CIEN) are the main think tanks and universities that conduct research and data analysis in practice areas including production, trade, finance, and politics relating to agriculture and food security. These entities offer consultation, independent assessments, reports, strategic advice, and research. FEDECOVERA has also undertaken independent analysis and M&E. These national and international institutions collaborate with DPs such as the World Food Program (WFP), the International Food Policy Research Institute (IFPRI), FAO, the Inter-American Institute for Cooperation in Agriculture (IICA), the Inter-American Development Bank (IDB), and the World Bank (WB). The Food Security Portal, facilitated by IFPRI, is an open access project that brings together international, regional, and country-level data, news, and research aimed at meeting countries' immediate long-term food security needs.

FSN is unique in Guatemala in that other areas do not have as much emphasis on data collection. The Food Security and Nutrition Data Analysis team within SIINSAN plays a leading role in data collection and organization. Until 2011, there was no integrated, coordinated budget focusing on implementation of the food security policy. In 2012, a process was initialized to develop and consolidate resources in support of food security, nutrition, and rural development using the National Integrated Accounting System (SICOIN). At present, 14 institutions are subject to specific monitoring of their spending and progress toward measurable indicators: a total of 266 indicators exist for PH0, of which 134 are action items and 52 are indicators of impact. SESAN is responsible for operating this system, monitoring, and evaluating progress toward food security goals.

CAPACITY FOR POLICY CHANGE INDICATORS

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

The national food security policy was based on a limited degree of review of past strategies, technical information, and best practices. POLSAN and PESAN lack economic or financial analysis of the cost of the strategy, or the funding gap required for implementation. Similarly, when PH0 and PPH0 were proposed by SESAN, they did not include official economic analysis or an investment plan. Considering alternative investment plans and conducting cost-benefit analysis and economic impact studies for POLSAN and PNDRI would enhance performance and ensure feasibility. However, economic and financial analysis was conducted during the planning stage for infrastructure projects under PNDRI with the help of USAID. Multi-annual budgets and annual investment plans are not completed as a component of planning. National food security priority policy initiatives and investment plans are not available for public review. Cost analysis is completed by line ministries only after the policy is approved when they are developing annual operation plans.

b. Performance Monitoring Measures and Targets Developed

Status: Green

The national food security and agriculture plans and programs, PH0 and PAFFEC respectively, include specific objectives, performance indicators, and targets to monitor performance. The monitoring system includes indicators on products, results, and objectives for each initiative. Relevant FSN performance indicators tracked in the information systems of the line ministries are consolidated by SESAN. For PH0, SESAN consolidates ministry-level data in SIINSAN. Ministry representatives report data to the municipal governor (CODESANES), and the governor reports the information to CONASAN. Monthly uploads are made directly into SIINSAN. For PAFFEC, MAGA monitors indicators of PAFFEC and maintains them in MAGA-DIPLAN's information system. Sub-components of each program are assessed at the indicator level, ministry level, and program level. Through the "Budget for Results" initiative, ministries monitor their budget execution and progress toward specific actions in their work plans in SICOIN. SIGES is the information management system of the state, which is more developed than SICOIN and easier to access. SIGES is a platform that shows results, indicators, and historical information in an accessible way that allows for comparative analysis. SIGES can also show the quality of spending through comparing beneficiaries, the achievement of results, and expenses incurred as well as the timing of each. To date, SIGES includes some but not all ministries. Indicators to monitor institutional arrangements for implementation for POLSAN/PH0 & PNDRI/PAFFEC do not exist. A joint work plan from all executors at the community level doesn't yet exist so ministries work relatively independently.

c. Quality Data Exists for Policy Monitoring

Status: Yellow

Stakeholders regard the quality of agriculture and food security data as sufficient to promote informed policy monitoring. However, insufficient baseline data gathering prior to policy implementation makes tracking ministry-level compliance with PH0 difficult. Numerous institutions are involved in data collection and there is a comprehensive system for food security data collection through SIINSAN. Data comes from the information systems of each ministry, SESAN, agriculture surveys carried out by MAGA and INE every 1-2 years, and the survey for impact evaluation of PPH0 by the MAGA with the assistance of IFPRI for the years 2012-2014. The agricultural surveys focus on specific themes that sometimes change from year to year. INCOPAS collects and reports information at the community level to SESAN in the CONASAN monthly meetings, such as the problems faced by beneficiaries of the programs. For agriculture, however, INE does not have up-to-date data sources and relies heavily on

MAGA to provide agriculture data. The last national census took place 12 years ago. INE created an internal group in March 2014 that works on FSN issues known as the Food Security and Nutrition Office for Collecting Sector Statistics. INE meets with ministries, academics, and donors to decide what the priority statistics are, and hope to eventually have a document that unifies all sector statistics. Data therefore exists but there is an issue of quality data available over time depending on the priorities and focus of each of the data sources. For the 1000 day window initiative under PH0, MSPAS monitors activities and results in the integrated system on the attention to health (SIAS) which covers four main programs of MSPAS.

The transparency and quality of information housed in SICOIN is suspect as many stakeholders expressed concerns over the government's compliance with laws for purchasing and budgeting. In 2013, the national budget law protected the allocations associated with PPH0 and mandated a special report by SIINSAN on its expenditures. In 2014, SESAN, with the MINFIN, developed an implementation tool to enable ministers, secretaries, and managers to understand the connection between their budgets and the physical targets for which their respective institutions are responsible. The relevant ministries are accountable to CONASAN on the physical targets and financial resources associated with PPH0.

The initial reporting for PNDRI should be available at the end of 2014. The PPNDRI does not include an M&E plan. Field data is collected through local MAGA offices organized at the department level. The GDR compiles information from all ministries for PNDRI. There is a system of indicators and measures for PAFFEC that was developed with the help of the EU. PAFFEC began in 2012, and reporting so far has not demonstrated whether the data available is of sufficient quality as to be effective for policy monitoring. No monitoring report for PAFFEC is yet published.

d. Quality Data Available for Policy Making

Status: Yellow

Data on agriculture and food security is publically available and shared in a timely manner for others to use and analyze. Strong linkages exist between ministry information systems and SESAN. These linkages can be improved, however, through better trained staff that gather and report information at the community level, and consistent, timely reporting of key data for FSN. Unequal division of resources between central government and municipalities constrains data quality and accuracy as many community-level offices lack internet or computers. Coordination poses a concern for data availability for agricultural policy making. Within MAGA is there a clear mechanism for the dissemination of information but the information is not updated regularly. MAGA has little on their website in terms of reports and evaluations or presentation of data. In MAGA-DIPLAN, information is available but must be in person. MAGA's InfoAgro, developed in collaboration with the FAO, is available online but is said to cover a subset of policy-related data.

e. Inclusion of Analysis in the Policy Development Process

Status: Yellow

Evidence-based analysis is not systematically considered to develop policy priorities or policy proposals. Decision-making within the government that is largely top-down coupled with a limited amount of economic and financial analysis results in a limited ability to incorporate performance-based review into further policy development.

f. Annual Performance Measurement Report Produced and Reviewed

Status: Green

The GDR and CONASAN, which meets monthly, are charged with formal review of policy implementation efforts. SEGEPLAN has presence within each Cabinet, and one of its mandates is to have a formal review session. In practice, however, SEGEPLAN does not lead M&E sessions. Typically SESAN leads the sessions for PH0 or MAGA for PAFFEC, which raises a potential conflict of interest as the entities implementing are also evaluating and presenting. There is an annual performance measurement report for PH0 and monthly meetings to track progress. A formal review session is held for each official evaluation of PH0, issued three times per year and available on SIINSAN's website, where recommendations are developed as a result of the review. For PAFFEC, there is an annual performance measurement report and annual review meeting to discuss progress in the Cabinet. There has not been a specific meeting yet to discuss progress on PNDRI, although stakeholders are skeptical about whether MAGA is sufficiently organized to undertake proper coordination of such a review.

g. Independent Analysis Capacity Exists

Status: Green

There is capacity for independent agriculture and food security policy analysis. Several institutes are involved in policy research. These entities are engaged in the government's policy development and review process as, for example, through papers, forums, or participation introduced in official policy review and discussion meetings.

CONCLUSIONS

The availability and quality of agricultural data and strength of information systems that support and enable evidence-based analysis is improving in Guatemala. Efforts have been made to develop food security information systems leading to better data on food security indicators. The instruments for data collection, the information system to coordinate FSN data, and a capacity for technical analysis are established for food security policy. However, constraints to their system exist, such as the failure to include evidence-based analysis in the policy development process. The ability of INE to standardize the processes of national and sectoral statistical information is weak, making ministry-level information important. Information on the implementation of the policies of rural development and FSN is available, however analysis of the information is more difficult to find both by government or independent organization and usually focus on specific aspects or components of these policies rather than the whole programs, since the scope of analysis is often dependent on the DPs financing them.

RECOMMENDATIONS

1. **Make investment planning part of the process of policy development:** Constraints to evidence-based analysis include: uncertainty surrounding government tax revenue, a lack of analysis of costs of the policy in order to identify funding gaps, and a lack of investment plans using economic and financial analysis. Policy investment plans need to include efficacy analysis of different investments and their opportunity costs, cost-benefit analysis of alternative investments to obtain results, and analysis of the social benefits of each investment plan. The investment plan should cover multiple years and include multi-year budgets. SIGES should be used as one of the information sources for policy formulation.
2. **Reinforce the normative capacity of SEGEPLAN:** SEGEPLAN lacks the power to enforce ministry-level compliance with national policy objectives. In order to increase the level of accountability of each ministry and secretariat to align their sector activities with national priorities, the law of

SINASAN should be revised to strengthen the regulatory capacity of SEGEPLAN. This would give SEGEPLAN the authority to develop a framework for policy development and obligate ministries to incorporate feedback into subsequent plans.

3. **Strengthen the system of statistical information through the implementation of a national census:** The last national census took place in 2002. The National Institute of Statistics (INE) should be strengthened in its guidance role in order to improve standardization, scope, and formalization of national information systems and statistics in the country, which is essential for the generation, monitoring and evaluation of policy. A national census should be prioritized in order to provide a recent source of uniform, comprehensive, and impartial data for the entire country.

POLICY ELEMENT 5: POLICY IMPLEMENTATION

Despite a strong policy framework, implementation of effective interventions at a national scale has proven difficult due to weaknesses in human and organizational capacities, the lack of sustained buy-in from the necessary actors for carrying out policies, and gaps in communication and coordination which hinder the implementation and sustainability of national policies and programs.

OVERVIEW

Policy implementation for agriculture and food security in Guatemala is heavily under-funded and depends largely on external financial and technical resources support. Budget appropriation is higher than actual government spending during most of the year, creating a disconnect between the prioritization of food security and rural development at the national and sector level, and the actions taken to address these key priority areas in practice.

Overall, the GDR is responsible for coordinating and monitoring the policy implementation efforts of donors, CSOs, and the private sector under PNDRI. CONASAN is similarly responsible for PESAN. SEGEPLAN is responsible for programming and planning across ministries and should play a coordinating role to ensure that the line ministries implement their national strategies and policies in line with the K'atun, although this role is limited in practice. For the implementation of the PH0, SESAN is the primary coordination agency but does not have any mandate for implementation. Authority for implementation lies with the relevant line ministries. Within MAGA, the responsibility for implementing agricultural projects lies with the technical line departments under VISAN and VIDER as well as by regional MAGA staff (departments, municipalities, and communities), with management and coordination oversight provided by CONADEA.

The Nutritional Surveillance Network implements the nutritional surveillance process, which starts at the community level and uses indigenous languages in implementing monitoring action. The Network is comprised of 150 organizations, across 30 out of the 166 municipalities prioritized by the PH0. The MSPAS and MIDES, Tigo Foundation, UNICEF and the WFP also participate in this process (SUN, 2014).

CAPACITY FOR POLICY CHANGE INDICATORS

a. Implementation Plans Developed

Status: Green

The overall food security strategy has been broken down into programs and projects that have a sufficient level of detail to permit implementation and have been “packaged” into priority projects that can be managed by ministerial units. Each line ministry develops an annual work plan that is tied to activity budgets, under a program called “Budget for Results”. Once all ministries are tracked under this program the government will more closely tie funding to activities. Implementation is paid for by government funds approved by MINFIN, debt, and DPs. The PNDRI assigns responsibilities to each ministry but not at a sufficient level of detail to create clear implementation guidelines. MAGA is managing and implementing PAFFEC, whose priorities can be translated into funding proposals to gain support for projects and programs from DPs to address financing gaps, which will be important given that MAGA has suffered a 35 percent reduction in its 2015 budget. Other programs under PNDRI are less precise.

b. System in Place to Analyze Implementation Capacity Constraints

Status: Red

There is a system in place to analyze financial constraints to implementation (SICOIN), but there is no system in place to undertake an analysis of institutional or workforce constraints. There is a common perception about the persistence of weak institutions. Civil service, for instance, is characterized by high turnover in general and especially in the leadership positions. Coordination bodies like SESAN and the GDR lack the capacity to act on implementation constraints beyond suggestions and advice. In practice, most line ministries rely on self-reporting of implementation constraints from the technical departments.

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

Status: Yellow

Work plans should be aligned with food security policy priorities, as the strategy was developed through an inclusive process. The main implementing agencies for FSN have clear program responsibilities to address chronic and severe malnutrition, emergency food assistance, and the 1,000 day window (child and maternal health) due to the fact that PHO has been systemized and put in order of priorities and interventions. Priority setting for PAFSEC is done by VIDER. There are no formalized technical working groups within the GDR.

d. Policy Implementation Budget Committed by Host Country

Status: Red

Resources are committed by the host country to implement the identified policy agenda. In practice, there are two limitations: liquidity and failure by Congress to pass a national budget since 2012. The timing of actual funding from MINFIN to line ministries impairs the timing of scheduled operations. Congress has not been able to come to consensus on the national budget which has resulted in an unadjusted budget for the past 3 years and inadequate financing activities required to implement policy priorities. Compounding this problem, the purchasing law of the state (*Ley de Compras y Contrataciones de Estado*), a complex, general, and inflexible law, causes delays in purchasing. Some report that it takes four months from purchase to execution, which slows operations considerably. POAs are created between January and April of the year prior. From April to June, ministries work with SESAN and MINFIN to finalize the POAs. In July and August the MINFIN and the President's Office review and approve the budgets. In September, the President of Guatemala delivers the national budget to Congress. Congress has October and November to change and approve the national budget for the following year. The national budget is effective once the Budget Law is promulgated by Congress. At that point (typically in November), the budget is available to the public. Budget documents, including budget proposal documents, are released fully and in a timely manner. Guatemala is reportedly implementing a policy for multi-year budgets which will allow better planning and better management of policy implementation.

e. Supplemental Implementation Funds Secured

Status: Green

Proposals can be submitted, and funds secured, to address financing gaps. Due to the national budget problem mentioned above (that funds given in budgets are not received in cash), line ministries and secretaries try to secure funds from multilateral funds, regional organizations, and bilateral donors. The benefit of getting funds from outside the government is that they have a higher likelihood of being received.

f. Administrative and Technical Capacity of Staff to Implement Policy Change

Status: Red

Insufficient management skills are frequently cited as a key constraint to policy implementation. Administrative and technical capacity within the government is a major constraint to effective management of the implementation process. Weak human resources, high levels of politicization of food security interventions, the inefficacy of the interventions (i.e. corruption and poor timing of investments due to the lack of multi-annual budgets and purchasing requirements that delay receipt of foods and services), and weak systems of feedback all constrain the system. High specialization is needed for extension, health, and food security activities yet staff are not sufficiently skilled and the lack of adequate training puts the consistency and quality of the system at risk. There is no work plan developed to address the constraints listed above, and thus no actions to improve implementation and move the system forward are taken. Low government salaries and poor decentralization of authority across government create challenges in attracting and retaining qualified staff.

g. Monitoring and Evaluation (M&E)

Status: Green

The public sector has great interest in and ability to monitor policy effectiveness and impacts. They have invested in a strong information system for FSN, SIINSAN, and they have the technical capacity and analysis skills to carry out evaluations. Reports are regular and financial sustainability is promising, with SIINSAN being 100 percent government-funded. The public sector does not however issue complete evaluation reports on PH0. Rather, they focus on sub-programs or priority areas. They also do not have a system in place to incorporate feedback into their M&E system. The GoG has contracted IFPRI to do the M&E of impact for PH0 with resources from government and donors. This contract is for three years during which IFPRI issues an annual monitoring report and one final evaluation for 2012-2014. CSOs, particularly universities and think tanks such as ICAFI, IARNA and ASIES, have the capacity to undertake M&E as well. They have access along with the rest of the public to SIINSAN's data. Reports and evaluations by CSOs are done by request or when funds are issued from donors or other organizations to offer an independent perspective on government activities.

A government plan for a system of information for PNDRI was not identified during the assessment. For PAFFEC there are indicators but not a continuous system for gathering information. SICOIN, a system focused on expenditures for indicators rather than qualitative and contextual information, is used for PNDRI. Outside of the accounting system there is a system to share, store, and access the data. Findings and reviews are yet to take place since the PAFFEC started in 2013. No M&E report has yet come out.

CONCLUSIONS

There is a strong policy framework to support agriculture and food security, and a growing sense of ownership of the process within the government, private sector, and CSOs as a result of enhanced inclusivity during policy formulation and development. However, there remains a persistent gap between policy development and policy implementation. Due to limited government funding and poor management skills, implementation is limited. However, in addition to the resource gap, there are a number of other factors limiting the effectiveness of implementation. These include inadequate policy implementation skills, poor human resource capacity, and weak monitoring and evaluation systems for agriculture and rural development policy.

Guatemala has developed a logical framework for implementation of food security policy; however project implementation by line ministries is largely uncoordinated, leading to overlapping and weak complementarity among programs. In addition, to implement PHO, implementing ministries and secretariats create annual work plan and budget proposals but face uncertainty over the timing of receipt and the total amount of funds that will be approved with some estimating that approved budgets are 30 percent less than the amount requested.

RECOMMENDATIONS

1. **Support the implementation of the law on civil service:** The lack of a career civil service in Guatemala leads to problems of skill, technical development, consistency, and high turnover. Local implementation is a major issue due to representatives of ministries and departments lacking adequate levels of specialization and professionalism. The GoG should allocate more resources and invest in recruitment to get higher quality and technical staff, especially those with better public management skills. Building up the civil service as a profession would help ensure specialization and sustainability of human resources responsible for the implementation of policies.
2. **Conduct revision and simplification of purchasing law that does not compromise the transparency of purchases:** Given that Guatemala utilizes annual budgets, as opposed to multi-year budgets, coupled with the amount of time required to make purchases through the existing system, the timing of interventions of the state to implement programs and plans is significantly impaired. Considering changes to the purchasing law that does not compromise the transparency of purchases could lead to a simplified and more efficient system that allows ministries to begin operations earlier in the fiscal year.
3. **Develop working groups as part of the GDR:** There is a void of technical working groups within the GDR indicating a need to separate key topics, such as agriculture, land, and water in different technical working groups. One potential solution would be to create technical sub-groups within the Cabinet to provide for greater technical discussion on these issues in improved M&E systems.

POLICY ELEMENT 6: MUTUAL ACCOUNTABILITY

Guatemala has a strong mutual accountability framework for agriculture and food security. However, the lack of coordination within existing working groups for food security issues and the absence of working groups within rural development topics, demonstrate an opportunity for improved interaction to better ensure the effective operation of the system.

OVERVIEW

Guatemala participates in initiatives to increase the harmonization and efficiency of aid efforts including adoption of the principles agreed to in the 2005 Paris Declaration on Aid Effectiveness and the 2008 Accra Agenda for Action. GIA and the Donor Group on Food Security and Rural Development are active coordination mechanisms among DPs. As a result, coordination between the government and DPs has been increasing, particularly in the formulation and implementation of agriculture and food security projects.

SESAN is the lead agency for resource mobilization and development coordination for food security and nutrition. SESAN is responsible for working with DPs, managing resource mobilization and management, and monitoring performance indicators. CONASAN provides an opportunity for high-level dialogue between the government, private sector, and civil society. Under CONASAN, SESAN meets directly with GIA to discuss food security issues and priorities and reports this information to CONASAN. GIA and SESAN have monthly meetings, and the Donor Group typically maintains monthly meetings as well where they invite government and non-government actors to attend. The Donor Group has an annual work plan that focuses on permanence, awareness, and information exchange, but the Donor Group does not coordinate their interventions amongst one another. Permanent members are reported to be: USAID, EU, SIDA, Spain, JICA, FAO, PMI, UNICEF, IICA, CIDA, and occasionally IDB, OAS and WB.

The GDR provides national policy dialogue and coordinates the activity of the PNDRI. The Cabinet meets monthly with all stakeholders. At the technical level, government-DP working groups are not present, pointing to an area for improvement to better align DP support with national development priorities, policies, and strategies, and to enhance the effectiveness of government and DP resources. The GDR is led by the President, and comprises eleven representative ministries and secretariats from government, as well as representatives from DPs, private sector, and civil society. The Secretary of the Cabinet is responsible for coordinating policies related to agriculture, irrigation, land, rural infrastructure, and natural resource management.

CAPACITY FOR POLICY CHANGE INDICATORS

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

Status: Green

There are formal and informal spaces for dialogue between the government and DPs. By law SESAN does not have to follow any meeting schedule, but typically meets with GIA on a bi-monthly basis. Meetings among donors in the Donor Group on Food Security and Rural Development are a space for additional donor-government communication as donors invite government entities and other non-government groups to participate in monthly meetings. The same Donor Group focuses on PNDRI topics as well. The Donor Group has a coordinator with an annual term who is responsible for communicating with the Secretary of GDR on a monthly basis, which is presently held by USAID.

b. Joint Policy Priorities Developed

Status: Yellow

The Donor Group has an annual work plan that focuses on permanence, awareness, and information exchange. However, there is no policy document articulating shared policy objectives between government and DPs that supports the objective of promoting development effectiveness and the implementation of the national food security strategy.

c. Monitoring System Exists

Status: Green

SIINSAN, the information system of SESAN, includes data entered directly by government ministries and donors. SIMON-GIA includes financial investments by donors in food security and nutrition as well as physical efforts, such as technical assistance and capacity building, toward government indicators for PH0 and to a lesser extent PAFFEC. Information provided by donors is not inclusive of their work in food security and agriculture outside of government indicators and priorities, demonstrating partial alignment of DP assistance and opportunity to implement joint monitoring indicators. Most but not all donors and international organizations working in food security and agriculture have created a profile and enter information regularly, especially those providing financial assistance directly to the government for certain activities. There is a system for M&E developed for PNDRI that the GDR maintains, however it is relatively less developed and has more general indicators to monitor and evaluate.

d. Donor Coordination – Alignment and Harmonization

Status: Green

Since the creation and approval of POLSAN and SINASAN, the process for government-DP coordination has become more formal and functional. However, there is no signed cooperation framework document that indicates a joint commitment to specific policy change goals. There are, however, bilateral cooperation agreements that lay out in more general terms that donor efforts should contribute directly to host country strategies, plans, and objectives. In practice, not all donor work is aligned with government priorities. For example, the family agriculture program (PAFFEC) for subsistence and below subsistence level is the priority of government while some donors focus on value chains and market-oriented production (a component of PNDRI but not a government priority). Donors are less in accordance with one another in the area of rural development and agriculture policy than for food security. There is a void of technical working groups within the Cabinet for Rural Development indicating a need to separate key topics, such as agriculture, land, and water in different technical working groups.

e. Private Sector Accountability

Status: Green

Dialogue between the government and private sector is provided through the monthly CONASAN and GDR meetings. Private sector participation in CONASAN is focused on information sharing and corporate social responsibility (CSR). The private sector is active in the Alliance for Nutrition in Guatemala, a group of businesses that have programs addressing structural malnutrition through their national centers of recovery. They are politically active through CdA, CACIF, and AgExport and actively prepare and promote their views, such as through policy proposals and law proposals. For instance, CdA is working with IICA to create the terms for discussion of a new law for PNDRI, as an alternative to the law for PNDRI proposed by indigenous and farmer organizations such as *Comite de*

Unidad Campesina (CUC) and Plataforma Agraria. The purpose of working with IICA is to ensure openness and include evidence and technical data for proposal writing, something stakeholders said is lacking in the present law proposal and policy for rural development (See Policy Element 3 – Inclusivity and Stakeholder Engagement).

f. CSO Sector Accountability

Status: Yellow

Dialogue between the government and civil society is primarily provided through INCOPAS and the GDR. INCOPAS has meetings with SESAN every month or two. However, INCOPAS has limited space for high quality participation, and effective dialogue. Follow up by SESAN on recommendations from INCOPAS is also limited. INCOPAS has a strategy for advocacy in FSN that includes monitoring of PH0 and proposed reforms to SINASAN and POLSAN.

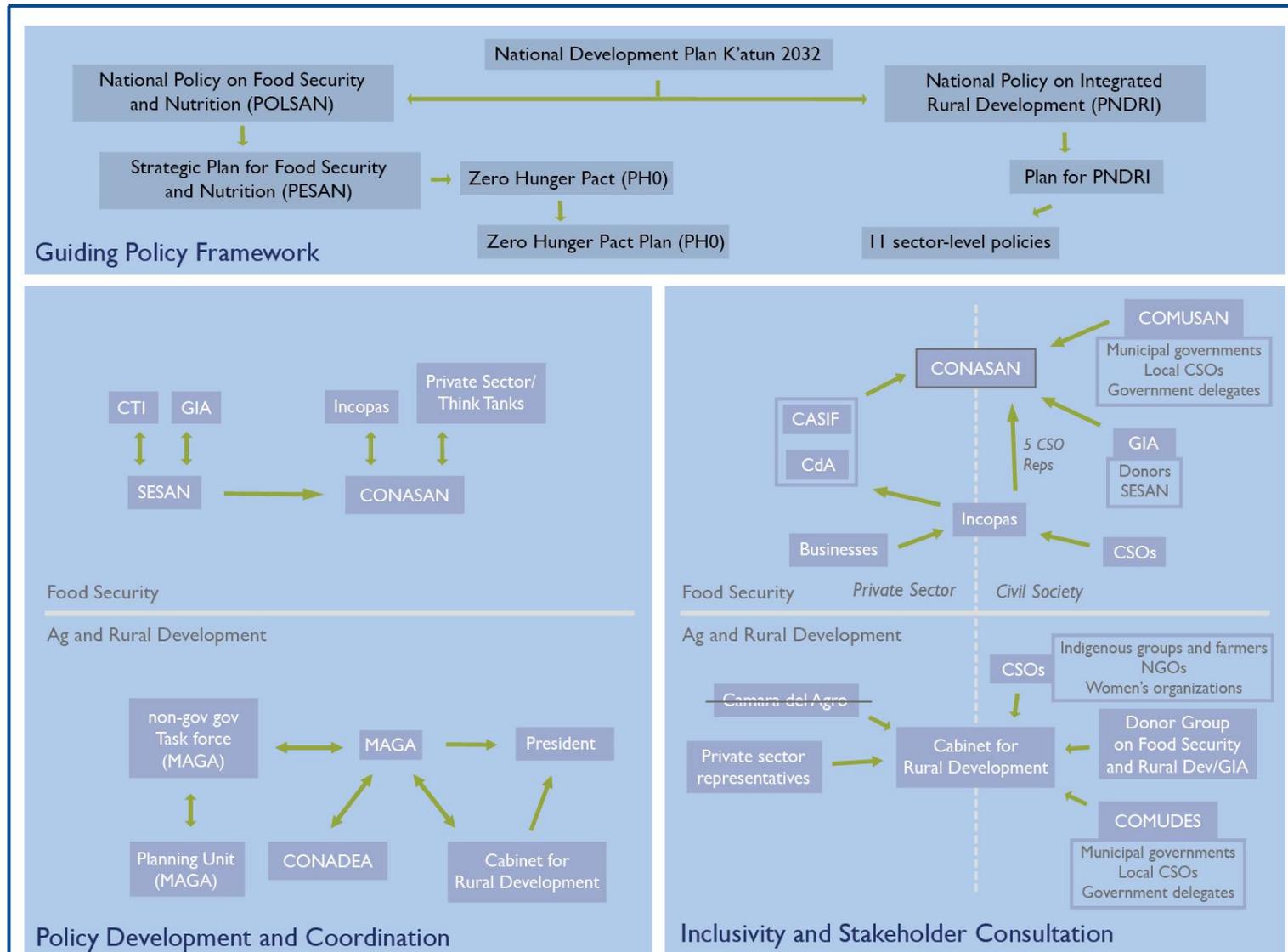
CONCLUSIONS

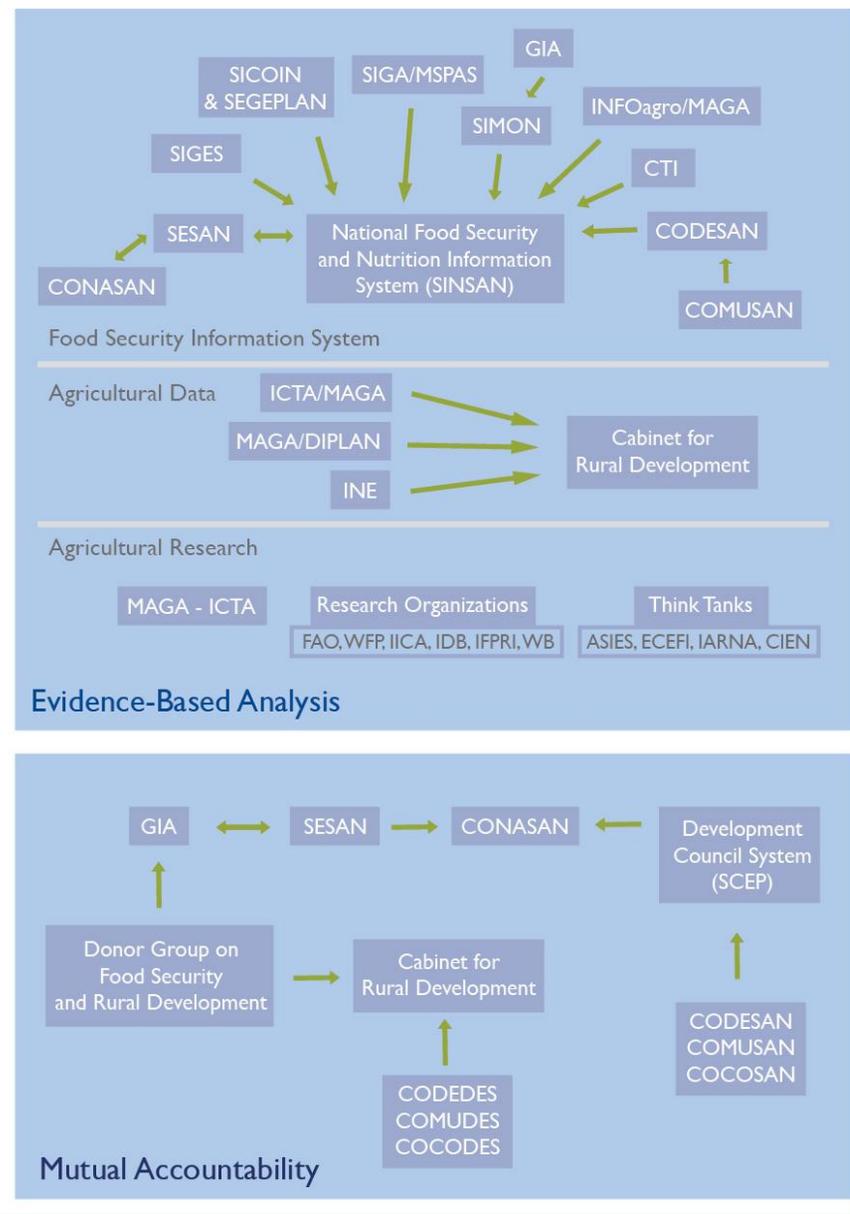
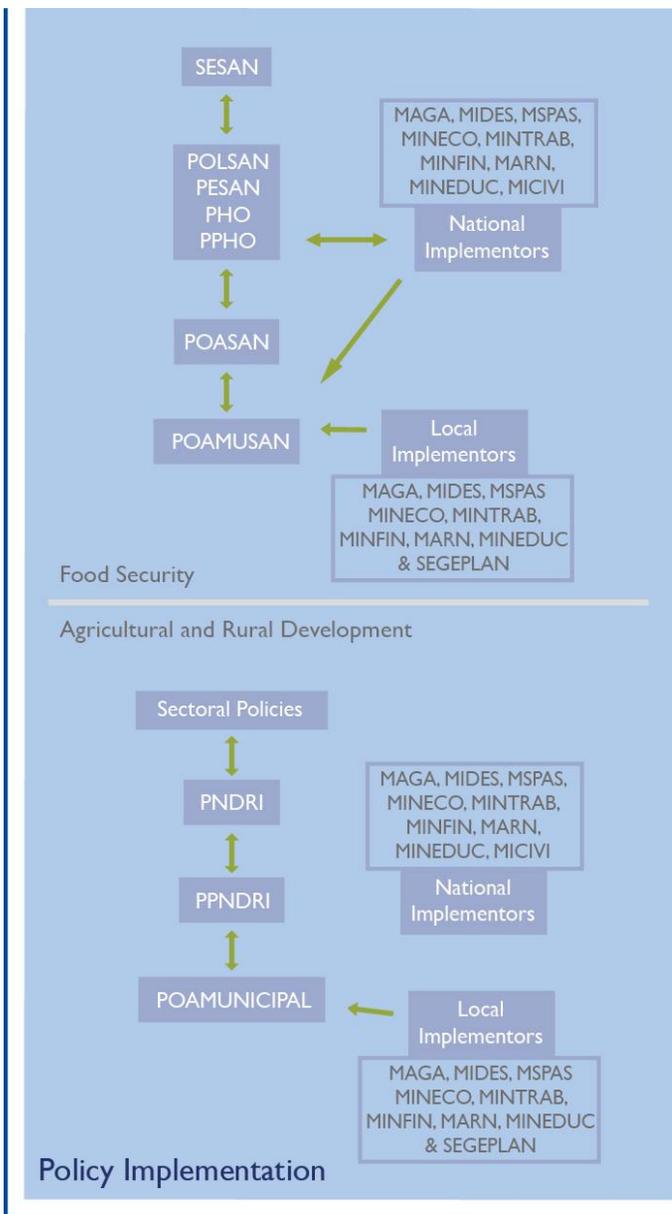
There is a positive working relationship between the government and the DPs, and the mutual accountability framework in Guatemala is strong yet with clear areas for improvement. The GIA and GDR serve as the primary government-DP forum for policy development and coordination. Performance measures exist in SIMON-GIA and in the information system of the GDR with which the donor community is partially aligned – more so with food security than rural development. Signed cooperative agreements or other document(s) that articulate shared policy objectives between donors and government are not present. There are, however, bilateral cooperation agreements that lay out in more general terms that donor efforts should contribute directly to host country strategies, plans, and objectives.

RECOMMENDATIONS

- I. **Increase harmonization among DPs around PNDRI:** In practice, not all donor work is aligned with government priorities and DPs are less in accordance with one another in rural development and agriculture issues than for food security. Harmonizing among DPs and in accordance with the Paris Declaration and Accra Accord could improve alignment of DPs with government priorities and strengthen the effectiveness of DP support.

ANNEX I: AGRICULTURE & FOOD SECURITY POLICY CHANGE INSTITUTIONAL MAP





ANNEX II: CAPACITY FOR POLICY CHANGE INDICATORS

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

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

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

Capacity of Policy Change Indicators	Status		
			
Private Sector Participation – Capacity to Participate: Some organizations representing the private sector have the capacity to participate in government-led discussions on food security policy. This is to say they are able to represent their members, they are able to articulate and communicate policy positions, and they are able to provide some level of evidence-based analysis to support their viewpoints.			
Participation of CSOs – Opportunity/Space: The CSO sector, including representation from women’s associations and farmers associations, is provided meaningful opportunity to participate in policy formulation and strategy discussions. This could be through participation in the management/steering committee, in technical work groups and/or through other forums. Communications and interactions should be two-way, and access to key information should be readily available.			
Participation of CSOs – Capacity to Participate: Some organizations representing civil society, including representation from women’s associations and farmers associations, have the capacity to participate in government-led discussions on food security policy. This is to say they are able to represent their members, they are able to articulate and communicate policy positions, and they are able to provide some level of evidence-based analysis to support their viewpoints.			
Policy Element 4: Evidence-based Analysis			
Economic and Financial Analysis Completed as a Component of Planning: National food security priority policy initiatives/investment plans are based on economic and financial analysis, including independent policy analysis. The analysis is available for public review.			
Performance Monitoring Measures and Targets Developed: The national food security policies/plans include specific objectives, performance indicators, and targets exist to monitor the accomplishment of the objectives.			
Quality Data Exists for Policy Monitoring: There is a database of quality statistics that is used to routinely report and analyze progress in achieving objectives.			
Quality Data is Available for Policy Making: Data on the performance of the agriculture sector and the food security are publically available and shared in a timely manner. This information is available for others to use and analyze.			
Inclusion of Analysis in the Policy Development Process: Evidence-based analysis is considered and used to develop policy priorities/policy proposals.			
Annual Performance Measurement Report Produced and Reviewed: Evidence-based analysis is produced to review policy effectiveness (for implemented policies). A formal review session is held, and includes key development partners (including principal			

Capacity of Policy Change Indicators	Status		
			
donors and multilateral partners, such as FAO and IFPRI). Recommendations are developed as a result of the review and incorporated into subsequent plans.			
Independent Analysis Capacity Exists: There exists an independent capacity to analyze food security data and use the analysis to make policy recommendations and engage in policy discussion and advocacy. Such an analysis could be conducted by a research institute, university or similar non-governmental/objective organization. This capacity should be engaged in the government's policy development and review process as, for example, through papers, forums, or participation introduced in official policy review and discussion meetings.			
Policy Element 5: Policy Implementation			
Implementation Plans Developed: The overall food security strategy has been broken down into programs and projects that have: a) a sufficient level of detail to permit implementation; b) have been “packaged” into priority projects that can be managed by ministerial units; and c) “packaged” priorities can be translated into funding proposals to gain support for projects/programs from development partners (to address financing gaps).			
System in Place to Analyze Implementation Capacity Constraints: An analysis of institutional, workforce, system and financial constraints is conducted. Critical implementation constraints are identified; a work plan is developed to address constraints; and implementation actions are moved forward (and periodically reviewed).			
Food Security Policy Priorities Aligned with Work Plans of Line Ministries: The priority policy and associated objectives of the national food security strategy are broken down into specific programs and projects (with a sufficient level of detail) so that line ministries can implement policy actions. The plans of individual ministries, and units within ministries, align with overall national strategy and its policy objectives.			
Policy Implementation Budget Committed by Host Country: Resources are committed by the host country to implement the identified policy agenda. Over time, the country's budget is adjusted to provide adequate financing for the implementation of actions required to implement policy priorities. Budget documents, including budget proposals, are released fully and in a timely manner.			
Supplemental Implementation Funds Secured: Proposals can be submitted, and funds secured, to address financing gaps. Funds may come from multilateral funds (such as GAFSP), regional organizations, bilateral donors and the private sector.			
Administrative and Technical Capacity of Staff to Implement Policy Change: Administrative and technical capacity exists within the government to effectively manage			

Capacity of Policy Change Indicators	Status		
			
the implementation process. There is a system to coordinate implementation across departments.			
Monitoring and Evaluation: Capacity exists within the public sector, private sector, or civil society to review the effectiveness and impact of policy changes. Sector reviews are performed and other research evidence is collected. There is a system to share, store, and access the findings from these reviews.			
Policy Element 6: Mutual Accountability			
A Forum Exists for Regularly Scheduled Donor-Government Meetings: These meetings discuss policy and programs and set priorities. Meetings may include, for example, Joint Sector Reviews, sector working groups, or other similar arrangements.			
Joint Policy Priorities Developed: A document exists that articulates the shared policy objectives between the government and the donor community.			
Monitoring System Exists: Performance measures exist (for the performance commitments of the government and for the performance commitments of the donors). There is a schedule for reviewing and documenting progress – at least on an annual basis.			
Donor Coordination – Alignment and Harmonization: There is a process for donor participation in the food security policy process and for aligning government and donor objectives and priorities. Donor programs should contribute directly to host country strategies, plans, and objectives. This may include the signing of cooperation frameworks that indicate a joint commitment to specific policy change goals.			
Private Sector Accountability: The government provides feedback to the private sector on the performance of the food security program (including the private sector’s role) and provides an opportunity for dialogue on the program and its performance.			
CSO Sector Accountability: The government provides feedback to the CSO sector on the performance of the food security program (including the role of CSOs) and provides an opportunity for dialogue on the program and its performance.			

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