

REPUBLIC OF KENYA



Ministry of Agriculture Livestock and Fisheries

# Institutional Architecture Assessment (IAA) For Food Security Policy Reform in Kenya

November 2017



**USAID**  
FROM THE AMERICAN PEOPLE

**AfricaLead**   
Scaling up for food security in Africa

*The IAA commissioned by the Ministry of Agriculture, Livestock and Fisheries (MOALF) and funded by USAID- Africa Lead*



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# FOREWORD

The agriculture sector plays a very important role in the Kenyan economy. Achievement of agricultural transformation and growth in Kenya will depend on joint evidence based planning and investment, review of existing capacities in the sector and accountability. Agriculture Joint Sector Reviews (JSRs) and Institutional Architectural Assessments (IAAs) are an integral part of evidence-based policy planning and implementation including enhancing mutual accountability in the agricultural sector. In particular, they provide a platform to collectively review the effectiveness of policies and institutions as well as assess the extent to which intended results and outcomes in the sector are being realized. They allow state and non-state stakeholders including development partners to hold each other accountable with respect to fulfilling pledges and commitments stipulated in the national Comprehensive Africa Agricultural Development Programme (CAADP) compacts, National Agriculture Investment Plans (NAIPs) and other related cooperation agreements.

The Ministry of Agriculture Livestock and Fisheries (MOALF) will continue to initiate and coordinate development interventions, not only for our own goals as envisaged in vision 2030 but also for the regional and global targets as stipulated in the CAADP/ Malabo commitments for Accelerated Agriculture Growth and Transformation among others. For the sector to achieve its goals it requires a collective responsibility of the national and county governments, civil society, private sector and other actors.

The Country has undergone overall socio-economic transformation following implementation of the Constitution of Kenya 2010 which instituted key reforms in the agricultural sector. A major reform is the devolution of most agricultural functions to the county governments. Devolution provides an opportunity for domestication of national processes to the grassroots level. It also secures inclusion of actors at grass root levels in the planning and monitoring of national processes and outcomes of sector investments.

In October 2015, the MoALF commissioned an assessment of the Kenya JSR process, as outlined in CAADP framework and Malabo Declaration. As part of the JSR assessment, an in-depth IAA study of the agricultural policy landscape was undertaken. The IAA provides an analytical review of the

national and county level agricultural and food security institutional and policy landscape. The review focused on the following six policy aspects: guiding policy framework, policy development and coordination, inclusivity and stakeholder coordination, evidence-based analysis, policy implementation and mutual accountability.

This report will serve as a key guiding framework for various agricultural policy processes in Kenya which include the ongoing development of a new sector strategy. I therefore call upon all stakeholders in the sector to collaborate and implement the recommendations of this Institutional Architecture Assessment.

A handwritten signature in black ink, appearing to read 'Willy Bett', is written over a horizontal line. The signature is stylized and somewhat cursive.

**Willy Bett, EGH**

Cabinet Secretary

Ministry of Agriculture, Livestock and Fisheries.

# ACKNOWLEDGEMENT

The journey towards production of this report involved many stakeholders under the coordination of the Ministerial CAADP Team. My profound gratitude goes to all who participated in our efforts to sensitize stakeholders on the use of Institutional Architectural Assessment/Joint Sector Review (IAA/JSR) as a tool for policy landscape analysis. This includes their role in policy reforms and domestication; the establishment of the basis for future IAA/JSR at the national and county levels. The findings will support the design of mechanisms for broader application of IAA/ JSR findings and recommendations in the review of the Agriculture Sector Development Strategy (ASDS). Policy reforms under the leadership of the ministry have consistently ensured inclusive consultation among stakeholders in line with joint sector commitments.

I wish to give special recognition to the Cabinet Secretary Mr Willy Bett, EGH, and my fellow Principal Secretaries Dr Andrew Tuimur, CBS, and Prof. Micheni Ntiba, CBS, for their leadership, support and guidance in the development of this document.

While it is not feasible to list all by name, it is our considered view that every institution whose perspectives, expertise and time went into the just concluded exercise and ultimate development of this report deserves a special mention.

I thank all National Government institutions including other Ministries, parastatals, commissions and universities as well as research institutions for demonstrating commitment to the policy reform agenda for a successful agricultural sector in Kenya. I appreciate the special role played by the County Governments and the affiliate institutions for working hand in hand to ensure that the implementation potential is safeguarded.

Am sincerely grateful to development partners especially USAID Feed the Future for the support through Africa Lead who supported the process financially and partnered to keep the IAA process on track. Development partners have been a reservoir of global best practices for domestication, sharing of lessons learnt not to mention the financial support extended to our activities. Private sector institutions whose interests spread across various

value chains processes and support areas such as research and whose operations contribute to successful implementation of policies have also been a part of this process.

I also acknowledge the support of Non-State Actors (NSAs) including private sector, farmer organizations, civil society organizations under the Agricultural Council of Kenya (AgCK) and the media for their invaluable contributions.

Finally, I acknowledge and commend the Ministry's CAADP Coordinating team and staff from Agricultural Policy Research and Regulations Directorate for the coordination and ultimately ensuring final validation of the report. I trust that all stakeholders will find the report useful and endeavour to implement its recommendations.

A handwritten signature in black ink, appearing to read 'Richard L. Lesiyampe', written over a horizontal line.

**Dr. Richard L. Lesiyampe (PhD), CBS**  
Principal Secretary, State Department of Agriculture  
Ministry of Agriculture, Livestock and Fisheries

# ACRONYMS

AAK	Agrochemical Association of Kenya
AAK	Aqua-cultural Association of Kenya
AEG	Aid Effectiveness Group
AES	Aid Effectiveness Secretariat
AFA	Agri-Business Farmers Association
AFA	Agriculture and Food Authority
AgCK	Agriculture Council of Kenya
AGRA	Alliance for a Green Revolution in Africa
ALRMP	Arid Lands Resource Management Program
ASCU	Agricultural Sector Coordination Unit
ASDP	Agricultural Sector Development Program
ASDS	Agricultural Sector Development Strategy
ASDSP	Agricultural Sector Development Support Program
CAADP	Comprehensive Africa Agricultural Development Program
CACA	County Assembly Committee on Agriculture
CAF	County Assembly Forum
CECAF	Chief Executive Council on Agriculture Forum
CECM	County Executive Committee Members
CGA	Cereal Growers Association
CGAC	Council of Governors Agricultural Committee
COMESA	Common Market for Eastern and Southern Africa
CIP	International Potato Research Centre
CPF	Common Program Framework
CIMMYT	International Maize Research Centre
COG	Council of Governors
CSO	Civil Society Organization
DCG	Donor Coordination Group
DGAK	Dairy Goat Association of Kenya
DP	Development Partner
DPA	Dairy Processors Association
DPCG	Development Partners Coordinating Group

DPIRP	Drought Preparedness, Intervention and Recovery Project
DTA	Dairy Traders Association
EAC	East African Community
EAC-ARDP	East African Community Agriculture and Rural Development Policy
EAC-FSAP	East African Community Food Security Action Plan
ED-CPP	Drought Emergencies Country Programming Paper
FAK	Fertilizer Association of Kenya
FAO	Food and Agriculture Organization of the United Nations
FPEAK	Fresh Produce Exporters Association of Kenya
FNSP	Food and Nutrition Security Policy
GCG	Government Coordinating Group
GOK	Government of Kenya
ICCFN	Inter-ministerial Coordinating Committee on Food and Nutrition
ICS	Intergovernmental Consultative Secretariat
IDDRSI	Drought Disaster Resilience Strategic Initiative
IEA	Institute for Economic Affairs
IGAD	Inter-Governmental Authority on Development
IGS	Inter-Governmental Secretariat
IFDC	International Fertilizer Development Centre
ILRI	International Livestock Research Institute
IMCC	Inter-ministerial Coordination Committee
IPAR	Institute for Policy Analysis and Research
ITWG	Intergovernmental Thematic Working Groups
I T W G - FSCBE	Intergovernmental Thematic Working Group-Food Security, Capacity Building and Extension
ITWG-PSL	Intergovernmental Thematic Working Group- Policy, Standards and Legislation
ITWG-P&I	Intergovernmental Thematic Working Group- Projects and Inputs
ITWG-MEC	Intergovernmental Thematic Working Group- Monitoring, Evaluation and Communication
KALRO	Kenya Agricultural & Livestock Research Organization

KAPAP	Kenya Agriculture Productivity and Agribusiness Program
KBA	Kenya Bankers Association
KCPA	Kenya Coffee Producers Association
KIHBS	Kenya Integrated Household Budget Survey
KDHS	Kenya Demographic and Health Survey
KENAFF	Kenya National Farmers Federation
KEPOFA	Kenya National Poultry Farmers Association
KEPSA	Kenya Private Sector Alliance
KEPHIS	Kenya Plant Health Inspectorate Service
KFA	Kenya Farmers Association
KFBA	Kenya Farmers and Breeders Association
KFSM	Kenya Food Security Meeting
KFSSG	Kenya Food Security Steering Group
KIPPR	Kenya Institute for Public Policy Research and Analysis
KJAS	Kenya Joint Assistance Strategy
KLPA	Kenya Livestock Producers Association
KMT	Kenya Markets Trust
KNFPA	Kenya National Fresh Produce Association
KNPFA	Kenya National Pig Farmers Association
KNPFA	Kenya National Potato Farmers Association
KOOFA	Kenya Organic Oil Farmers' Association
KRDP	Kenya Rural Development Program
LMO	Livestock Marketing Organization
KPA	Kenya Ports Authority
MoALF	Ministry of Agriculture, Livestock and Fisheries
M&E	Monitoring and Evaluation
MTEF	Medium Term Expenditure Framework
NAAIAP	National Accelerated Agricultural Inputs Access Program
NASEP	Agricultural Sector Extension Policy
NCPB	National Cereals and Produce Board
NDMA	National Drought Management Authority
NFSCC	National Food Security Coordinating Committee
NFNP	National Food and Nutrition Policy

NGO	Non-Governmental Organization
RABAK	Rabbit Breeders Association of Kenya
SCA	Senate Committee on Agriculture
SRA	Strategy to Revitalize Agriculture
STAK	Seed Traders Association of Kenya
SPIU	Single Project Coordination Unit
SWAp	Sector Wide Approach
SWG	Sector Working Group
TI	Transformation Initiative
TIAPAD	Tegemeo Institute of Agricultural Policy Analysis and Development
UN	United Nations
WB	World Bank
WHO	World Health Organization
WFP	World Food Program

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# EXECUTIVE SUMMARY

The IAA examines the key systems and processes that influence policy development and implementation by examining the country's multi-sector capacity to drive and participate in policy reforms. This is done by analyzing six policy aspects: 1) guiding policy framework; 2) policy development and coordination; 3) inclusivity and stakeholder consultation; 4) evidence-based analysis; 5) policy implementation' and 6) mutual accountability. The IAA commissioned by the Ministry of Agriculture, Livestock and Fisheries (MOALF) and funded by USAID found the following in relation to the six policy aspects:

Kenya has multiple guiding policy frameworks that influence the direction of food and nutrition security interventions. While the hierarchy of the policy and strategy frameworks is well defined (Vision 2030, ASDS, Draft Agriculture Policy), the horizontal elements (FNSP, ASAL Policy, EDE-CPP) need to be better defined. The link to global, continental and regional initiatives is captured under the Agricultural Sector Development Strategy (ASDS). However, the ASDS is under and will be alignment to the Malabo declaration. The revision of the strategy has been necessitated by devolution, regional, continental and global initiatives. There exists a challenge in the domestication of national policies at the county level. There is therefore need for more involvement of counties in the policy development process.

The Kenya Constitution 2010 assigns policy functions and formulation to the national government. This functions include the development of policy implementation frameworks that will guide the counties in developing their respective implementation plans. The prioritization of public participation in the constitution ensures county government input into policies cannot be overlooked. In response to devolution, the study indicated that the country is in the process of establishing a Joint Agriculture Sector Consultation and Cooperation Mechanism (JASCCM) in line with the Inter-Governmental Relations Act. This is composed of an Intergovernmental Forum (IGF), a Joint Agriculture Sector Steering Committee (JASSCOM), Technical Working Groups (TWGs) and a joint secretariat.

Inclusive stakeholder consultation is enshrined in the constitution. It promotes

openness in policy dialogue. There are multiple consultation forums within the sector for farmers, the private sector and civil society. Civil societies have been effective in engaging in the policy dialogue, although concerns remain about the capacity of the NGO Council to serve as the primary representative group on agriculture and food security issues. In addition, the overall capacity of the private sector to constructively engage in the policy process remains limited. The capacity of sector associations to engage in evidence-based policy advocacy is low as they lack the financial and human resources to do so. The newly formed Agriculture Council of Kenya (AgCK) is aiming to fill this gap.

The Kenya National Bureau of Statistics (KNBS) is the official government data agency and conducts various surveys to produce statistical reports. The MOALF also generates data that relate to food production and marketing, while the Ministry of Health generates most of the information relating to nutrition. Policy research institutes, agricultural research organizations and universities also generate information that provides reliable evidence toward assessing the progress of FNSP. The study concluded that many institutions exist for evidence-based policy development. However, they are not adequately utilized and there is little emphasis on the use of economic and financial analysis to inform policy processes.

There is also a general lack of expertise in policy analysis and interpretation at the county level. The report therefore recommends capacity building of national and county governments in data collection, analysis and management for policy development, implementation and review.

Policy implementation will be guided by ASTGS. At the county level, the guiding implementation document is the County Integrated Development Plans (CIDPs). The sector has well-developed strategies and implementation plans. However, there is insufficient budgetary provision, weak analytical systems, poor alignment of expenditure to priorities, and weak monitoring and evaluation systems. The current set of County Integrated Development Plans (CIDPs) may require further improvement. The study recommended support to the new structure (JASCCM) and capacity building for effective policy implementation at all levels. Sector funding is relatively low as compared the CAADP target of 10%. More funds should be allocated to the sector to achieve the CAADP target of 10% of the national budget.

The study indicated that the concept of mutual accountability is not well understood by actors within the sector. After devolution in 2013, there has been little or no efforts in managing this process. Donor coordination and the application of an agreed code of conduct have suffered. Currently, there is no agreed framework that enables all stakeholders to collaborate for common sector goals, and establish clearly defined roles and functions. The study recommends the revitalization and strengthening of aid effectiveness structures at both government levels. The study also recommends the strengthening of M&E systems at all levels and revitalization of Development Partners (DPs) and government accountability structures. The new system should include mechanisms for private sector and civil society engagement and accountability.



# INTRODUCTION

There have been significant developments in the agricultural sector over the last several years. Globally, the Millennium Development Goals (MDGs) have been replaced by the Sustainable Development Goals (SDGs) 2015-2030. CAADP is Africa's policy framework for agricultural transformation, wealth creation, food security and nutrition, economic growth and prosperity for all. The framework was endorsed by the African Union (AU) in June 2003 in Maputo, Mozambique and consolidated as the AU Maputo declaration. The 23rd Ordinary Session of the African Union Assembly held in June 2014 in Malabo, Equatorial Guinea recommitted to the CAADP principles and goals and defined a set of targets and goals referred to as the Accelerated Agriculture Growth and Transformation Goals 2025. Specifically, the Declaration outlines seven commitments that are geared towards hastening agricultural transformation. At East African Community level, the Food Security Action Plan and the IGAD food security strategy outlines measures that will ensure the regions are food secure. In Kenya, the major decision to change the nature of governance from centralized to a devolved-type of government was implemented in March 2013. These changes have resulted in the need to re-examine government policies and corresponding institutions. The constitution of Kenya 2010 established a devolved system of government that resulted in significant changes. Two separate levels of government were created, the national and county levels of government. Agriculture was one of the key sectors whose functions were devolved to the county government level. Due to the significant changes that have occurred, a better understanding of policy and implementation will inform Kenyan policy makers and their partners on how best to utilize the new institutional frameworks to establish a sustainable policy formulation and implementation process.

In October 2015, the Ministry of Agriculture, Livestock and Fisheries (MOALF) commissioned a study titled the Institutional Architecture Assessment for Food Security Policy Reform (IAA) with support from USAID's Africa Lead project. The objective was to assess and examine the readiness of Kenya to institute the necessary Food and nutritional security policy and institutional reforms in the agriculture sector. The study was conducted as an aspect of the AUC-CAADP Joint Sector Review of the agriculture sector.

The IAA is a tool that provides a framework for analyzing a country's capacity to undertake policy reform in the area of food security. The tool has been applied in several developing countries with the goal to provide policymakers, development partners and other key stakeholders with information on possible constraints that could hinder effective policy development and implementation. It highlights areas that require improvement in policy development and implementation.

IAA examines six components of the policy-making process: 1) the guiding policy framework; 2) policy development and coordination; 3) inclusivity and stakeholder consultation; 4) evidence-based analysis; 5) policy implementation and 6) mutual accountability. A set of indicators determine the capacity and effectiveness of the overall policy reform process and thus informs the analysis of each policy component.

To highlight the level of attention required to improve the effectiveness of a component, a color-coded rating is assigned to each indicator. A green (*strong*) rating indicates that the component is operating effectively, and additional attention is not required. A yellow (*average*) rating signal that the component has partially achieved its conditions, and additional attention is required. A red (*weak*) rating indicates that significant attention is needed to ensure the component is achieved.

## METHODOLOGY

The Kenya IAA was conducted through a consultative process involving key decision makers from both levels of government, private sector and civil society. The assessment utilized the IAA analytical system as described above. The study was completed in June 2016 and updated in March 2017 by the Kenyan country CAADP team. The assessment is conducted in two stages:

**Stage 1:** Mapping the institutional architecture for policy reform:

The first step in this process maps out the key systems, processes and relationships that influence the food security policy development process.

**Stage 2:** Assessing multi-sector capacity to drive and participate in policy reform:

The second part of this assessment involves an analysis of a country's capacity to undertake transparent, inclusive, predictable, and evidence-based policy reform. The following six elements outlined above are used to determine its 'readiness for policy change'.

The report is presented in three parts arranged in nine chapters. Part I is an analysis of the institutional architecture map for policy change. The diagrams depicting the policy environment appear in the Annex. Part II analyses the capacity for food security policy change and presents six components of the policy change process. This includes the conclusions and recommendations for each element. Part III presents a summary of recommendations.



## PART 1:

# OVERVIEW OF THE INSTITUTIONAL FRAMEWORK FOR FOOD AND NUTRITIONAL SECURITY IN KENYA

The devolved system of government resulted in significant changes to government structure and organization. As a result, most of the agricultural functions were devolved to county governments. This has significantly impacted the policy formulation and implementation process.

The Ministry of Agriculture, Livestock and Fisheries (MOALF) at the national level is responsible for agriculture, livestock and sustainable fisheries policies, while the county governments are responsible for implementation of the agriculture and veterinary policies. MoALF has three departments:

- Department of Livestock: Responsible for livestock and veterinary policy.
- Department of Fisheries: Responsible for fisheries policy.
- Department of Agriculture: Responsible for crop policy and food security policy.
- Ministry of Water and Irrigation responsible for irrigation policies and strategies and their implementation
- State Department Cooperatives is responsible for policies and regulations on all small and large farmer cooperative movements
- Ministry of health is responsible for matters of nutrition
- Kenya Agriculture and Livestock Research Organization is responsible agricultural research
- Agriculture and Food Authority is responsible for commodity regulations

To facilitate and improve coordination in the agricultural sector, the cabinet secretary for the MoALF in consultation with the Council of Governors created an Intergovernmental Secretariat (IGS) under the Intergovernmental Relations Act 2012 (IRA) in order to promote intergovernmental relations.

This mechanism was effective and facilitated many technical discussions between the two levels of government. During the second Intergovernmental Forum (IGF) for Agriculture in November 2016, stakeholders agreed to establish a new and inclusive mechanism for consultation and cooperation in the sector. Thus, stakeholders established the Joint Agriculture Sector Consultation and Cooperation Mechanism (JASCCM).

To improve coordination among the county governments and the national government, multiple structures have been established, including the following:

**The Summit:** This is a consultative body that brings together the COG and the national government to deliberate on issues that arise during the planning period. The role of the summit is to support strategies that result from sector-related consultative forums, and strengthen coordination between the two levels of government. For the sector issues to feature in the Summit, the lower level sector structures at both levels will require capacity for internal processes and for relationships with other actors to influence the agenda of the Summit to support agriculture policy reform process.

**Council of Governors (COG):** The Council of Governors is the apex body of the 47 county governors. The council identifies priority issues and collectively addresses issues of public policy and governance at the county and national levels. The vision of the council is *to have prosperous and democratic counties delivering services to every Kenyan*. The mission of the council is *to benchmark excellence in devolution that is non-partisan; providing a supporting pillar for county governments as a platform for consultation, information sharing, capacity building, performance management and dispute resolution*<sup>1</sup>. The council has 10 technical committees that are mainly sectoral-based to effectively achieve desired results.

**Agriculture Committee (AC) of the Council of Governors:** The council addresses all matters related to agriculture and food security including the following: i) sustainable agricultural practices; ii) poverty eradication iii) value addition for farmers; iv) food security and drought management; v) production and marketing; vi) fisheries development; and vii) adoption of technological advancements in agriculture. The committee also addresses matters related to land survey and mapping, and seek out sustainable and

1 Council of Governors Website

accountable solutions for subdividing and transferring land.

**Parliamentary Committee on Agriculture and Rural Development (PCA):**

The National Assembly has formed sector committees to enhance efficiency and effectiveness. The role of NACA is to advise the parliament on all issues related to agriculture. This committee is involved actively in the agriculture policy process.

**Senate Committee on Agriculture (SCA):** The Senate has formed a committee on agriculture to address all matters related to policy and regulations at the county level. Currently, the committee is involved in policy formulation processes as demonstrated by their participation in the recently drafted agriculture policy. The SCA and NACA have a structured working relationship and often hold discussions on policy-related issues in agriculture sector. Their discussions have enhanced citizens' engagement in the policy process. They also provide an oversight role in the implementation of other sector policies.

**Caucus for CEC members for Agriculture** This group is composed of all 47 CEC members for agriculture and consists of an executive arm and four technical thematic groups. The CEC Agriculture Forum is part of the IGS at the national level and addresses county policy issues. Five members of the forum represent the counties at the IGS. The committee has not been able to fulfill their role effectively due to constraints related to internal processes at the national level, and the commitment of the two levels of government to engage in dialogue and consultations regarding the policy process.

**The County Assemblies Forum (CAF):** This forum is the coordinating body of the 47 county assemblies. The forum seeks to strengthen capacity and institutionalize law-making for the county assemblies. It also seeks to form linkages with other arms of government. Insert the role of CAF in food security

**County Assembly Committee on Agriculture (CACA):** The county assemblies (CAs) are responsible for drafting laws within their respective counties. In order to achieve its objective, CAs often have committees that deliberate on sectoral matters and guide the assemblies. The County Assembly Committee on Agriculture is a committee that assists CAs on all matters related to agriculture and food security policy. Their participation in

the national policy reform process is very important for the integration of national policies into county government processes. Although this committee significantly participates in policy processes, the county government still exhibits capacity challenges.

**County Executive Committee for Agriculture:** This committee coordinates agricultural policy implementation at each county. It is headed by the CEC for agriculture and composed of technical directors of multiple departments. Its major role is to implement sector policies at the county level. The composition of this committee varies from county to county depending on what constitutes the agricultural sector.

**Agriculture and Rural Development (ARD):** A donor working group formed to engage development partners in the overall policy process. The group supports the government by providing information on international best practices and supporting policy reforms. Moreover, they provide substantive finances and technical assistance to implement the policies through projects and programs. Challenges that hinder the effectiveness of the working groups include inadequate coordination within groups and among different actors.

**Research Institutions.** Agriculture research is guided by the National Agriculture Research Systems Policy (NARSP). The main objective of NARSP is to provide direction for national research and sustainable development. This involves the formulation of research agendas to focus on impact-driven national priorities consistent with sectoral policies and strategies. In addition, Kenya is home to several international, regional research institutions among them CYMMIT, ICRISAT, ICRAF, In addition to the local research institutions there are international institutions that collaborate with National research institutes.

**Universities.** Universities build the capacity of the agriculture work force and participate in the collection of data to inform policy dialogue. They also do research in support of food and nutrition security. In the formulation process, they provide staff for analysis both at field level and at the policy consultancy and advisory level.

**Joint Agriculture Sector Consultation and Cooperation Mechanism (JASCCM)** was established under the Intergovernmental Relations Act 2012 and aims to enhance consultation and cooperation between the two

levels of government. It has three layers of functional responsibilities: i) The Intergovernmental Forum for Agriculture (IGF); 2) Joint Agriculture Steering Committee (JASSCOM); and 3) sectoral working groups. The mechanism is served by the Joint Agriculture Secretariat (JAS). The mechanism facilitates sector consultations and communication. JAS has consequently developed a joint sector work plan and a code of conduct for partners during the implementation of sector programs and projects.

**The Agriculture Council of Kenya (AgCK):** This is the apex body for all agriculture sector private stakeholders. The private sector includes all value chain actors whose interest are commercial gains and includes producers, input suppliers, agro-traders (retailers and wholesalers) and agro-processors. Due to the diversity of agricultural commodities, organizing private sector actors to participate effectively in policy formulation has remained a significant challenge to coordinators. However, with regard to implementation, they are effectively engaged. Recently, the private sector has established a mechanism to actively engage in the policy processes,

**Civil Society Organizations (CSO)** have focused more on service delivery within the sector. A limited amount of CSOs in the sector participate in policy formulation, including KENAFF and LMO. A major challenge to their effective participation in the policy process is a lack of capacity in policy advocacy.

### **Community Based Organizations (CBO) and Faith Based Organizations (FBOs)**

CBOs are nonprofit groups that work at a local level to improve life for residents. They covers a series of aimed at bringing about desired improvement in the social well being of individuals, groups and neighborhoods.

A Faith-based organization is an organization whose values are based on faith and/or beliefs, which has a mission based on social values of the particular faith, and which most often draws its activists from a particular faith group

## **Figure 1: Institutional Map for Food and nutrition Security Policy Change in Kenya- see Annex 1**

## PART II:

# CAPACITY FOR FOOD SECURITY POLICY CHANGE

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This part examines the capacity required to effectively bring changes in food nutrition policy. The examination includes six policy change elements. Under each element, the particular change indicators are also examined. The policy elements are as follows:

## POLICY ELEMENT I: THE GUIDING POLICY FRAMEWORK

*Status: Yellow*

### Overview

Policy is defined as a document outlining a set of government actions or principles oriented towards a long-term economic or social purpose. Overarching policy and strategy documents, and legislations are therefore all viewed and considered as policy. Food and nutrition security is influenced by policies at the global, continental, regional, national and county level.

### Diagram

At the continental level, Agriculture development is guided by the AUC-CAADP framework. The CAADP Framework commits member states to invest at least 10% of their annual budgetary allocations into agriculture (Maputo Declaration 2003). The CAADP Framework is implemented in the continent under the guidance of AUC-NEPAD. This framework is implemented at the regional level by the Regional Economic Communities (RECs) who prioritize interventions towards food security. The RECs assists member states in developing viable national agriculture and food security investment plans, and implements policies and structures within the CAADP framework. Countries start by forming multi-stakeholder country CAADP teams and signing the CAADP compact as a commitment to evidence-based joint planning and implementation of agriculture sector programs. During a meeting held in June 2014, governments within the African Union once again recommitted themselves to CAADP principles, goals and targets.

In November 2014, Kenya and other COMESA Member States signed a regional CAADP compact, committing states and regional agriculture stakeholders to collaborate in planning and implementing regional agriculture programs. The regional compact identified the following four priority areas for regional investments:

1. Agricultural production and productivity with a focus on staple foods, livestock produce, fisheries and forest produce.
2. Removing barriers to agricultural trade and linking farmers to markets with a focus on corridors (corridor development).
3. Reducing social and economic vulnerability, and enhancing resilience and food and nutrition security.
4. Crosscutting issues including gender and age mainstreaming; human and institutional capacity development and strengthening; information and knowledge management; climate change; and improved coordination.

In East Africa, the EAC Agriculture and Rural Development Policy (EAC-ARDP 2006) and EAC Food Security Action Plan (EAC-FSAP 2010 -2015) and EAC CAADP compact serve as guiding documents. When FSAP ended in 2015, the EAC secretariat commenced a review process and developed a new plan. Some of the programs implemented using the EAC-FSAP include the development of a regional food balance sheet frame that enables the EAC partner states to share information on staple foods production and trade, development of EAC SPS protocol, and development of a regional strategy on aflatoxin.

Recent food security concerns in the IGAD region have prompted the adoption of a regional approach to address drought and climate change. This is reflected in the Ending Drought Emergencies Country Programming Paper (EDE-CPP 2012) under the IGAD Drought Disaster Resilience Strategic Initiative (IDDRSI). The EDE-CPP identifies the following six strategic response areas in addressing food security challenges:

- Peace and human security.
- Humanitarian preparedness.
- Climate-proofed infrastructure.

- Building human capital and providing basic social services.
- Sustainable livelihoods adoptive to climate change.
- Multi-sector and multi-stakeholder coordination.

The EDE-CPP lacks the ability to address country-wide issues given that the initiative is confined to selected arid and semi-arid lands in northern Kenya.

Kenya signed the CAADP Compact in July 2010 and soon followed it with the ASDS - Mid Term Investment Plan in October 2010. This was aligned to the CAADP Pillars.

At the national level, persistent food insecurity and drought episodes have made food security a major priority within government policy frameworks. The government developed Vision 2030, a blueprint for the country's development agenda that captures the preferred economic growth trajectory. Vision 2030 forms the basis of many policies, strategies and legislations. Vision 2030 was developed in 2008 at the expiry of the Economic Recovery Strategy for Employment and Wealth Creation (ERS 2003 -2007).

At the county level, the CIDPs guide policy implementation. The CIDP are five year implementation plans whose formulation is guided by the national development agenda

In Vision 2030, food security is a prominent component of agriculture. The Medium-Term Plans (MTP) that operationalize Vision 2030 have also continued to capture food security (MTP I and MTP II). MTP II (2013 -2017) aims to increase the scale and pace of diversification and commercialization of agriculture and food security.

Subsequent government policy documents in the agriculture sector have been defined and shaped by Vision 2030. These documents include the Agricultural Sector Development Strategy (ASDS) 2010-2020, and the Strategy for Revitalizing Agriculture (SRA - 2004-2014). The ASDS is further informed by the CAADP in its approach and programming including aspects that touch on food security that are covered under CAADP Pillar 3. ASDS is operationalized through the Medium-Term Investment Plan (MTIP 2013-2017) that is synchronized with the Vision 2030. MTIP relates agriculture sector growth, food security and poverty reduction through measured investments and set targets.

Further, there are many sub-sector and commodity policy documents that address food security. In particular, an overarching agriculture policy document has been developed and is awaiting the necessary approvals. The document will bring singularity and convergence in the sub-sector in addressing core functions including food and nutrition security.

The FNSP defines food and nutrition security to be “a situation where all people, at all times, have physical and economic access to sufficient, safe and nutritious food to meet their dietary needs and food preferences for an active and healthy life”. In addition, nutrition security is said to exist when food security is combined with education, a sanitary environment, adequate health services and proper care and feeding practices to ensure a healthy life for all household members (UNSCN 6th Report on the World Nutrition Situation). The FNSP further states that the role of government is to ensure that all Kenyans enjoy safe food in sufficient quantity and quality to satisfy their nutritional needs for optimal health.

Kenya’s food and nutrition security framework therefore covers all the four dimensions of food security (availability, accessibility, stability, and meeting nutritional requirements) and combines long-term action to enhance productivity and incomes, and respond to immediate needs of the poor and food insecure. The broad objectives of the FNSP are:

- To achieve good nutrition for all Kenyans.
- To increase the quantity and quality of food available, and ensure food is accessible and affordable to all Kenyans.
- To protect vulnerable populations using innovative and cost-effective safety nets linked to long-term development.

## **CAPACITY FOR POLICY CHANGE INDICATORS**

### **Indicator 1; Clearly Defined and Consistent Policy Framework**

*Status: Yellow*

Food and nutrition security is a country-wide issue and is recognized as transcending several ministries and entities. Therefore, the issue requires not just a sector-wide approach but also multi-sector and multi-stakeholder involvement including the private sector, civil society organizations and

development partners. The draft agriculture policy addresses household and national food and nutrition security through innovative and sustainable interventions linked to the country's long-term development targets.

## **Indicator 2; Predictability and Transparency of the Policy Making Process**

*Status: Yellow*

Policy making process has changed due to the provisions of the constitution 2010 particularly with the mandatory requirement for public participation so that any policy that are developed is predicatable and transparency. This is why planning and budgeting through are subject to public scrutiny.

The constitution of Kenya 2010 provides mandatory public participation for any policy process, otherwise the entire process is subject to litigation. This applies to both levels of government. planning and budgeting through the Medium-Term Expenditure Framework (MTEF) and the associated Public Expenditure Review (PER) hearings that subject government budgeting to public scrutiny.

## **Indicator 3; Clear and Functional Legislative System**

*Status: Yellow*

The Kenyan governance system consists of the three arms of government: the executive, parliament and judiciary. Policy development and related national legislations is a shared function of the executive branch and the legislature at the national government. Each ministry is responsible for policy issues under its docket and consults with the attorney general's office and treasury on legal or financial matters. A policy document is presented to the relevant parliamentary committee and subsequently to the cabinet through a memo. It is ultimately presented to the National Assembly for discussion and passed as a sessional paper. Both levels of government develop legislations and regulations where the process is like policy development at the national level. This is replicated at the county level through the county assemblies. Regarding agricultural policies, the national government has developed many accompanying legislations and regulations. Moreover, county governments are developing county-based legislations and regulations that are relevant

to agriculture such as specific crop and livestock regulations. The time taken to legislate is unpredictable.

## **Indicator 4; Appropriate Dispute Resolution Process/ Judicial Framework**

*Status: Yellow*

Over time the judiciary under major reforms to make it progressive and independent. There exists other alternative mechanisms for dispute resolutions outside the court that are used to resolve some land issues. However there are many unresolved land issues. . However, there are increasing agricultural land disputes that remain unresolved and these affect the achievement of food and nutrition security.

## **Indicator 5; Clearly Defined Institutional Responsibilities**

*Status: Red*

Food and nutrition security is a multi-sector and multi-stakeholder concern that requires concerted efforts but the stakeholders have no forum for coordination to ensure seamlessness on this matter. For instance, food production and related aspects are under the Ministry of Agriculture, Livestock and Fisheries, while the human nutrition and corrective measure aspects are covered under the Ministry of Health. Food distribution on the other hand is under the Ministry of Devolution. The agriculture sector is in the process of developing the “Agriculture Sector Growth and Transformation Strategy” to guide the sectoral development agenda for the next 10 years (2018-2028).

## **Conclusion**

Kenya has a multiplicity of guiding policy frameworks that influence the direction of food and nutrition security interventions. While the hierarchy of policy and strategic frameworks is well defined, the horizontal elements need to be better defined. The Ministry is developing the Agricultural Sector Transformation and Growth Strategy (ASTGS) 2018-2022. The ASTGS takes into account the devolved system of government and is aligned to Malabo Goals and Commitments. A significant challenge that exists is transferring CAADP compliance at the national level to the county level. This perspective

requires more involvement of counties in mainstreaming the CAADP framework in the County Integrated Development Plans and strategies.

## **Recommendations**

- Complete the draft agriculture policy.
- Complete the ASTGS, its investment plan and other related documents (Kenya CAADP Compact and Results Framework, Food and Nutrition Security Policy Implementation Framework) and ensure compliance with Malabo declarations and commitments on agriculture, nutrition and climate change.
- Establish the horizontal linkages and coordination mechanisms for policies, strategies, action plans and institutions for effectiveness.
- Develop clear mechanisms for cascading national food and nutritional security initiatives and commitments to the counties.

# POLICY ELEMENT II: POLICY DEVELOPMENT & COORDINATION

Status: *Yellow*

## Overview

According to the Kenya Constitution 2010, the formulation, development and coordination of national policies is a function of the national government. However policy making is a concurrent function of both the national and county governments where the national government formulate and develop national policies with participation of the counties while domestication and implementation is county level function. In addition, the county government's development county specific policies is function of county governments.

Parent ministries under the respective cabinet secretaries are responsible for policy within their departments. However, this arrangement presents challenges when dealing with multi-sectoral issues that cut across several ministries. Policy development follows a written standard procedure documented in ISO 9001:2008 guidelines, and follows international best practices. This standard procedure nonetheless originates from global government practices. The policy development process is influenced by international, continental and regional conventions, protocols, treaties, agreements, resolutions and laws.

The universal policy development process involves identifying policy issues, specifying policy objectives, setting decision criteria, selecting policy options, and evaluating policy options and implementation. These processes are however subject to domestication by governments and specific government agencies.

In the MoALF, the previous practice for the policy development process was to have the directors petition the principal secretary and the cabinet secretary to establish a taskforce to develop a draft document. The draft was then presented to stakeholders and the relevant parliamentary committees for review. Once an acceptable policy document is developed, it is forwarded to the cabinet for approval. This process took time and depended on the complexity and sensitivity of the policy issues. Due to the changes that occurred following devolution, the procedure described above is currently not effective. Although the responsibility of policy formulation remains with

the national government, the counties should take a leading role in policy reform and be fully involved in the entire process.

## **CAPACITY FOR POLICY CHANGE INDICATORS**

### **Approved Food and Nutrition Security Strategy/Investment Plan**

*Status: Yellow*

The Kenya Vision 2030 serves as an overarching policy document that informs sector policy documents and investment plans. It is founded on three pillars: economic, social and political. The agriculture sector and specifically ASDS form a key element of the economic pillar. This is further emphasized in the Medium-Term Plans (MTP I and II).

The guiding policy framework for food security is the overarching agriculture policy and the Agriculture Sector Development Strategy (ASDS 2010-2017). The Food and Nutrition Security Policy further explores the issue of nutrition.

### **The food and nutrition security implementation framework**

The national agenda for food and nutrition security is outlined in the FNSP which is aligned with all overarching policy documents. While FNSP identifies food security as one of its priority areas, the lack of a food security implementation strategy has hindered its implementation. A review of the policy and the development of an implementation framework are ongoing.

### **Predictable Policy Agenda and Priorities Developed**

*Status: Yellow*

There is inadequate/insufficient evidence on which to base our policy agenda and that is why predictability of policy agenda is lacking.

### **Annual Work Plans for Food and Nutrition Security**

*Status: Yellow*

The absence of an operational Food and Nutrition Security implementation strategy for food security hinders the development of annual work plans. Given that implementation functions of both agriculture and health have

been devolved, it is expected that annual work plans would be developed at the county level and that the national government would only provide frameworks for this process while the National Nutrition Action Plans (NNAP) provides a framework for implementation and outlines pertinent activities

## **Functioning Coordination Process**

*Status: Yellow*

The guiding document for sector coordination is the agriculture policy document and the ASDS which is being reviewed to ASTGS with a proper coordination and implementation mechanism. Further, the Ministry has developed the National Food and Nutrition Security Policy with a proposed coordination secretariat. This has however, not been fully operationalized.

## **Secretariat/Administrative Support Function**

*Status: Yellow*

Devolution of agriculture functions presents both challenges and opportunities with regard to effective coordination of agricultural initiatives. During the 2016 intergovernmental forum, an intergovernmental consultation and cooperation mechanism was agreed upon. The ASTGS proposes a strong secretariat with administrative and support functions. In addition, the Ministry of Devolution and Planning through the National Drought Management Authority (NDMA) continues to provide administrative support to food and nutrition security activities in times of emergencies and natural disasters in all the 47 counties. This support is quite evident at the national level through the Kenya Food Security Steering Group and the Kenya Food Security Meeting.

## **Technical Capacity**

*Status: Yellow*

Staff capacity in policy analysis, planning and development has remained a major challenge. MoALF has a Staff capacity for policy development and coordination, however, further training is required. Many of the policy documents including FNSP were developed with limited support from external policy experts like KIPPRA and TEGEMEO among others. The Ministry includes policy and legal experts as part of the taskforces that develop specific policies as need arises. This has become the major practice















resources. Smaller companies and agricultural associations lack sufficient financial and human resources to effectively demonstrate policy stances or provide evidence-based research to propose solutions. Other constraints to private sector participation include weak networks and limited access to ICT.

The systematic inclusion of the private sector in the policy process will mobilize their capacity to contribute.

## **Participation of CSOs – Opportunity/Space**

*Status: Yellow*

The involvement of civil society in policy dialogue is a constitutional requirement. CSOs are however not adequately organized to effectively participate. The NGO Council serves as the primary CSO representative body for policy discussions with the government. The NGO Council enhances the self-regulation of its members by providing overall leadership to the NGO sector. It champions the key values of probity, transparency, accountability, justice and good governance. Recently, the Agriculture Council of Kenya (AgCK) has been formed to include CSOs and the private sector in policy dialogue on food security. This will improve the representation of the poorer members of the society into the policy formulation process.

## **Participation of CSOs – Capacity to Participate**

*Status: Yellow*

Most CSOs who participate in policy processes are often not able to make useful contributions as they lack expertise in policy formulation and advocacy. They are also in need of institutional strengthening to establish fair representation.

## **Conclusions**

The Kenyan government is committed to promoting openness in policy dialogue and supporting the emergence and development of stakeholder associations and forums. There are many consultation forums with farmers, the private sector and civil society. Civil society organizations have effectively engaged in policy dialogue, although concerns remain about the capacity of the NGO Council to serve as the primary representative group on agriculture



# POLICY ELEMENT IV: EVIDENCE BASED POLICY ANALYSIS

*Status: Red*

## Overview

A policy is often the result of a felt need expressed by different economic actors. Policy needs to be understood and taken up by policy makers based on supporting evidence. Evidence-based analysis is therefore critical for any policy development and formulation process including food and nutrition security policies. Evidence-based analysis is required at various levels of the policy development process. The stages where data, information and analysis are critical for policy processes include:

### **i) Initiation or Review of a Policy**

During this stage, evidence is required to inform whether it is necessary to review an existing policy, initiate the development of a new policy, or whether a policy is required altogether. The development of a new policy is a costly venture and sufficient information to base a sound decision is essential.

### **ii) Policy Development and Formulation**

The national government is responsible for policy formulation in consultation with the counties. The counties domesticate the policy by developing sectoral strategies and county investment plans. This situation is however wanting since the current county investment plans are based on the County Development Plans (CIDPs), some of which are not aligned to the national agriculture policy.

### **iii) Monitoring, Evaluation and Impact Assessment**

The monitoring, evaluation and impact assessment aspects of the FNSP are dependent on the type and quality of information collected, and how it is used to make inferences on the accomplishments of the policy. The results framework and specified targets require credible data sources.

There are several agencies involved in the collection, collation, analysis and dissemination of information related to food and nutrition security. The Kenya National Bureau of Statistics (KNBS) is the official government data agency













# POLICY ELEMENT V: POLICY IMPLEMENTATION

*Status: Red*

## Overview

The Agriculture Sector Development Strategy (ASDS) defined the strategic vision and implementation framework for agriculture development. Until the devolution in 2013, the Inter-ministerial Coordinating Committee (ICC) provided the leadership for agriculture policy and strategy development, implementation and monitoring.

After devolution, the implementation of ASDS and sector policies faced challenges of coordination at both levels of government. However, at the national level, the Ministerial Coordinating Committee (MCC) under the leadership of Cabinet Secretary (CS) and three Principle Secretaries (PSs) established a Joint Agriculture Sector Consultation and Cooperation Mechanism (JASCCM) to improve coordination between the national and county governments. JASCCM was established with equal representation from national and county governments in accordance with the Intergovernmental Relations Act. Technical working groups were also formed to analyze pertinent issues and assist both levels of government.

Each of the 47 county governments has coordination mechanisms for implementation of ASDS and agriculture policies. It is also observed that some counties have more than one ministry responsible for agriculture. The counties with such formations may require different arrangements for coordination structures. Implementation also takes place at the sub-county and ward levels, and each county has its structures in place to undertake implementation. However, County Executive Committees (CECs) for agriculture have the responsibility for coordinating implementation of ASDS and sector regulations at the county government level. The CECs from the 47 counties have established a CEC Caucus for Agriculture to coordinate county issues in agriculture.

The planning units-need to introduce these both at national and county level-are involved in appraisal of all capital projects. Once approved for funding by the treasury, the respective ministries, departments and DPs at the national or county government monitor progress and report to stakeholders.



Some counties also implement agricultural policies through donor-funded programs that address policy issues. Whereas some of the project formulation has involved the participation of county governments, others are primarily developed at the national level. County governments request that the national projects be devolved to counties. This demand is considered overdue but there it is important to develop capacity building plans and mechanisms for information sharing and reporting.

Private sector actors and CSOs do implement agricultural policies and strategies at the county level. The activities of private sector actors are increasingly informed by profit orientation rather than by policies or strategies. They only interface with policies which are supportive of their activities or when they have to conform to a regulatory requirement. For the CSOs, implementation linked to policy and strategy. It is important to establish coordinating platforms for the private sector and CSOs in each of the counties with an aim to promote their agenda in the counties and collaborate with county government players in sector policy implementation.

## **System in Place to Analyze Implementation Capacity Constraints**

*Status: Yellow*

A recognized system analyzes implementation capacity constraints of ASDS and agricultural policies. The organizational structure of MOALF reflects a pyramid shape with highest number of staff at the lower end of implementation and fewer numbers at the top. Even after devolution, this structure was maintained especially in counties classified as ASALs. The higher up you go in the pyramid, the greater the capacity for analyzing implementation constraints. On the other hand, the lower down the pyramid, the higher the number of staff who interact with beneficiaries. This is a bottom-up arrangement and is effective in getting feedback on policy implementation from a high proportion of beneficiaries at the lower end. Capacity constraints continue to be addressed progressively at the top of the pyramid so that only the more complex constraints reach the top of the pyramid where more competent and experienced individuals can address them. Constraints that cannot be addressed by the top managers are then shared with specific stakeholders with competencies in that area. Other systems in place to analyze implementation capacity constraints include

JSR, IGF, Intergovernmental Budget and Economic Council, Devolution Summit and Devolution Conference.

Regarding food security and nutrition policy, there is a clear bottom-up process at both county (counties classified as ASALs) and national level. The current and past projects in arid and semi-arid counties have strengthened the capacity among the multiple players in food security and nutrition policy implementation. There is need to domesticate this capacity in counties that lack this structured process, including counties that are not classified under ASALs.

## **Food Security Policy Priorities Aligned with Work Plans of Line Ministries**

*Status: Yellow*

In order to analyze whether sector policy priorities are aligned with work plans of line ministries, the process for work plan development, priority actions, inputs and outputs of the work plans have been assessed.

At the national level, work plans and programs of line ministries are aligned to the ASDS through Medium Term Budgets (MTBs) guidelines. The process of MTP development takes into account the priority interests of each department. Program Performance Reviews (PPR) project documents and public participation are key in the budget process. Appropriation of the budget is on Program Based Budgeting (PBB) in accordance with the PFM 2012.

At the county level, the County Executive Committee Member for Finance (CECM-F) takes lead in the county budgeting process. Development plans are prepared and presented to county assemblies (CAs).

Although planning units in ministries coordinate the development of MTP and MTEF, there is no platform that appraises annual work plans to ensure ASDS and FSNP implementation planned priorities are equitably distributed to the departments and line ministries. This is why there is discrepancy in budget distribution within ministry departments and in line ministries within the national and county governments. In some cases, there are departments within the same ministry with disproportionately larger budgets for food security activities.

## Policy Implementation Budget Commitment

*Status: Yellow*

The African Union member states committed to raise their national budget allocation to the agricultural sector to at least 10% through the Maputo and Malabo Declarations. National and county government budgeting processes have been assessed to analyze whether the GOK allocates budget for sector policy implementation.

The Ministry of Devolution and Planning and Treasury coordinate a well-structured budget framework for policy and strategy implementation. Vision 2030 and MTP are the steering documents for policy implementation. At the sector level, the treasury provides budget ceilings for each sector to implement policies and strategies. Criteria for the budget ceilings are influenced by the priority needs and respective sector strategies and policies. If emerging national priorities arise, they also influence the sector ceilings. Studies by public policy institutions also influence the ceilings that are allocated to different sectors. The treasury has not publically presented the criteria for sharing budgets within sectors. The criteria for sharing the national revenue with county governments are clear and transparent.

Sector ceilings inform the MTEF process, and are the basis for the development of workplans that identify priority actions for policy implementation. Stakeholder involvement in the budget-making process has been strengthened by the constitutional requirement of citizen participation in budget processes. Although forums are held for citizen participation in the budget process at both government levels, their ability to influence is limited. Sectors align their ceilings to MTP priorities. The budget of MOALF is derived from separate budgets from each unit of the different departments. There is no provision for linkages and harmonization of budget of the units and departments.

In Kenya, budget analysis for the sector varies depending on the source of the analysis. However, if the MOALF is considered as the sector, then the sector in the 2015/16 plan period is allocated a mere 3% of the national budget. This is a dismal performance compared with other regional states with smaller economies.<sup>1</sup> If Kenya was to adopt the CAADP-AUC definition

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1 Since 2003, 13 countries have surpassed the 10% target in any single year. Burkina Faso, Burundi, Ethiopia, Ghana, Guinea, Madagascar, Malawi, Mali, Niger,

of the agriculture sector, the country's contribution to the sector would appear much higher. This would include capital-intensive activities like rural feeder roads, irrigation infrastructure that currently are not included.

Expenditures at the end of the plan period are also linked to budget allocation for policy implementation. Expenditure is affected by the unpredictability of the budget and the systems in place that utilize dispersed funds. Delays in the disbursement from the treasury to spending ministries and counties is common. The delays are associated with public financial regulations including disbursement and accounting procedures, procurement and poor financial management. These challenges affect implementation.

GOK budget is categorized into two groups: the recurrent and development budget. The agriculture sector's development budget is higher than its recurrent budget. Table 5.1 presents the proportion of recurrent and development budget over a period of seven years.

**Table 5.2 Agriculture sector budget allocation and expenditure**

Vote	Approved Estimates (Million KSHs)				Actual Expenditure (Million KSHs)		
	2013/14	2014/15	2015/16	2016/17*	2013/14	2014/15	2015/16
Recurrent	12,560	12,714	9,683	12,130	11,714	12,305	7,562
Development	33,269	34,920	22,222	26,968	26,081	26,148	20,828
Total	45,829	47,634	31,905	39,098	37,795	38,453	28,390

*Source: ARUD Sector Report 2016*

Analyzed from an expenditure angle, there is high absorption capacity of the recurrent budget at 95% for the last 3 years and low for the development budget at 77%. This low absorption is associated with donor conditions, poor reporting and inefficient procurement and financial systems. Although not documented, the delays in disbursements from the treasury are also a major challenge to policy implementation.

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Republic of Congo, Senegal, Zambia and Zimbabwe. Burkina Faso, Ethiopia, Guinea, Malawi, Mali, Niger and Senegal have surpassed the target in most years. (Benin & Yu, 2013)

## Supplemental Implementation Funds Secured

*Status: Yellow*

Development partners' programs, commitments and financial mechanisms have been assessed to analyze whether the sector receives supplementary budget for policy implementation.

The national government funds the recurrent budget from internal revenue. The development budget is heavily supplemented by DPs through programs and projects. Several DPs including the African Development Bank, Denmark, European Union, Food and Agriculture Organization (FAO), Germany, IFAD, UNDP, USA, and World Bank have signed the CAADP Compact for Kenya. The compact is a commitment by the respective DPs to not only finance projects in the sector but to also align their support to sector policies and strategies through a mutual accountability process. In addition, there are other DPs - who have not signed the compact but continue to support the overall sector.

During the financial year of 2015 - 2016, the budget allocation to MOALF was 46.1 billion. Of this, KES, 34.46 billion (74%) was allocated to the development budget with DPs share of about 9 billion. In addition, DPs provide technical assistance and finance programs that are aligned to sector strategies and policies. Major programs in the sector include KAPAP, ASDSP, KRDP, ALMP and KCDP. Table 5.2 shows that ODA to the sector was about 40% of the total development budget, with department of agriculture accounting for 65%, fisheries accounting for 1% and livestock accounting for 34%.

DPs provide financing through grants or loans with most of them channeling their funds through government systems. Additional budget from DPs for policy implementation is channeled through other ministries for activities such as social support, agriculture credit and guarantees. During emergencies associated with climate change, DPs usually provide greater support and assistance.

Although DPs align programs and funds to sector strategies and policies, there are cases where DPs' budget to the sector is not availed through the established Kenyan financial systems. A substantial budget from some DPs is channeled through parallel systems and not reported within the framework of public financial reporting.

Under the CAADP Framework, the Global Agriculture and Food Security Program (GAFSP) provide supplemental funding for the implementation of the National Agriculture and Food Security Investment Plans. Kenya received USD 24 million from the GAFSP in 2015 to increase agricultural productivity and commercialization in four arid and semi-arid counties that suffer from chronic food deficits.<sup>2</sup>

The private sector contributes significantly to the agricultural sector through Public Private Partnerships (PPPs). This include infrastructural developments in form of road network and irrigation infrastructure. Improvements. These developments have opened new markets and reduced time and cost of transporting goods to market. The table 3. presents trends in investments projects in the country.

**Table 3: Trends in investment projects in the agricultural sector**

Year	Country	Signed Lols	Ownership		Estimated value (USD, million)		Jobs created (Achieved)	Smallholder reached (million) (Achieved)
			Domestic	International	Investment commitment	Investment made		
2014	Kenya	9	4	5	32			
	Africa	299	165	134	10 billion	1.8billion	58,000	8.6 (40% female)
2013	Kenya	5	0	5	1.2*	2.7**	77 (37% female) ***	1.064 (84% female) ***
	Africa	178			7.2billion	976	35,000 (40% female)	2.9 (21% female)

Source; Grow Africa, 2013; 2014

2 World Bank: Washington, November 24, 2014—The Global Agriculture and Food Security Program (GAFSP) today announced \$107 million in grants to five countries—Benin, Bhutan, Kenya, Laos PDR, and Timor Leste









tools for collection, analysis and communication. Most of the baseline data is with different stakeholders and there is no system for collecting, storing, synthesizing and communicating the outcomes and impacts. Currently, AFA has been mandated to collect data for specific commodities. However, there is inadequate capacity for data generation, analysis and communication.

There is no system for capacity assurance across all the departments except for some departments who are ISO certified. These are however human resource-based quality assurance indicators and not program-based quality assurance indicators. M&E units have not developed frameworks for quality assurance, and external capacity is not mainstreamed in the M&E framework. This capacity gap is manifested across all the county governments.

## **Conclusion**

The sector has effective strategies and implementation plans. However, there is insufficient budgetary provision, weak analytical systems, poor alignment of expenditure to priorities, and weak monitoring and evaluation systems.

Staff capacity on M&E is limited.

There is absence of an M&E framework.

## **Recommendations**

- Review the public-sector expenditure to align expenditure to priorities. Prepare a detailed budget and procurement plan
- Strengthen and establish evidence-based mechanisms to support budgetary allocations.
- Strengthen technical and administrative capacity for policy implementation at both levels of government. Capacity building plan for all staff. Assess equipment needs at all levels
- There is need to develop a comprehensive M&E framework for the sector.
- Strengthen M&E capacity at the both levels of government for evidence planning and reporting. Capacity needs assessment for all staff involved with M&E. Assess their potential and deploy ICT solutions.
- Redefine the sector following the AUC guidelines.

## POLICY ELEMENT VI: MUTUAL ACCOUNTABILITY

*Status: Red*

### Overview

Mutual accountability refers to a process by which two or more parties hold one another accountable for the commitments they have voluntarily made to one another. It is a core principle of CAADP and one of the five principles of Paris Agenda on aid effectiveness. Mutual accountability under the CAADP is predicated on three main conditions:

1. A shared agenda and objective that bring together all the partners as a basis of cooperation and action.
2. Use of performance measures based on mutually agreed upon criteria.
3. Genuine dialogue and debate process based on mutual consent, common values and trust.

To ensure successful implementation of the ASDS investment plan, the sector needs coordination mechanisms at both national and county levels. This should include coordinating organs that ensure effective dialogue among stakeholders. The coordinating organ's role would be to promote dialogue between different stakeholders as they monitor the implementation of the ASDS. This is in line with the CAADP principles of fostering inclusive policy dialogue, partnerships, peer review and mutual accountability.

Six indicators have been assessed to determine the capacity and effectiveness of the overall policy change process, including: i) donor-government forum; ii) joint country action plan; iii) monitoring system; iv) donor coordination; v) private sector accountability; and vi) civil society accountability.

## CAPACITY FOR POLICY CHANGE INDICATORS

### Government - Development PartnersForum

*Status: Yellow*

The Kenya Joint Assistance Strategy (KJAS) 2007-2012 served as the main steering document for development cooperation. Since its end in 2012, there have been no efforts to develop a new guiding framework. The second MTP was jointly agreed by GOK and DPs as the steering document for the

implementation of Vision 2030 and Paris Agenda. The External Resources Department (ERD) of the treasury is the lead government department responsible for managing external resources. ERD conducts the following tasks: i) assesses external needs as requested by the respective sectors and development partners; ii) facilitates negotiations and signing of specific program agreements between development partners and GOK; and iii) monitors and reports on the external aid. The signatories to Kenya Joint Assistance Strategy (KJAS) have established structures at the national level for effective coordination. However, the existence and effectiveness of these coordination structures vary within the two levels of governments. The coordinating structures include:

**Development Partners Forum (DPF):** This is the highest structure for engagement between the government and development partners. It is chaired by the Deputy President and is composed of cabinet secretaries, ambassadors and high commissioners. Members meet twice a year and provide policy guidance on overall development assistance as well as receive and approve all reports regarding aid effectiveness. Although in previous years it spent most of its time dealing with political issues, it slowly became more focused on sector issues.

**Crisis Management Committee (CMC):** This committee is composed of representatives from the government and development partners. It is responsible for advising parties on any emerging challenges to external aid. Members arrange meetings through the Aid Effectiveness Group (AEG). Previously, the committee spent a lot of resources on post-election related issues. Now, members meet to discuss how to address issues concerning natural disasters and other effects of climate change. This consultative forum has helped build trust and improve relationships between GOK and DPs. It also succeeded in resolving issues and risks that would have serious consequence on food security and overall national development.

**Aid Effectiveness Group (AEG):** This is composed of DPs and GOK, and acts as the technical arm of the DPF in all matters related to aid effectiveness. It is co-chaired by an elected DP representative and PS treasury. It implements the resolutions of DPF. It meets frequently to track the progress of each of the principles, and to address any issues that require attention of the DPF and CMC. In addition to ensuring implementation of the

aid effectiveness principles, it organizes capacity development forums that enhance the capacity of various players in the field of development.

**Aid Effectiveness Secretariat (AES):** This is the secretariat for the AEG attached to ERD and ensures all the plans for AEG are implemented.

**Government Coordinating Group (GCG):** This is composed of Principal Secretaries and their technical experts whose sectors benefit from treasury external funding. The role of GCG is to coordinate among all government agencies to ensure implementation of the aid effectiveness principles. Representation from respective ministries within the group is not consistent, affecting the quality of GOK coordination among different sectors. This leads to delayed implementation of the aid principles. The lack of external aid policy and leadership weakens the effectiveness of GCG. Sectors that benefit from non KJAS DPS find no incentives to effectively participate in coordination forums as they already have resources to fulfill their performance contracts.

**Sector Working Groups (SWGs):** This is composed of the DPs and GOK at different sectors. This group reports and tracks the implementation of the aid effectiveness principles within the respective sectors to AEG. In each sector working group, there is a DP sector working group and a government sector working group. Each sector working group coordinates development assistance among DPs and GOK. The agriculture sector working group is composed of development partners, department directors, representatives of private sector and civil society. Six thematic working groups were established to further improve members' knowledge of the six pillars of the ASDS sector strategy. Since 2013, this group has not been functional due to the devolution of agriculture. However, new structures are being put in place to take over the coordination role at both the national and county level. The Intergovernmental Secretariat and TI are already working towards establishing mechanisms to improve coordination in the sector.

## **Donor Coordination – Alignment and harmonization**

*Status: Yellow*

The alignment principle requires that: i) DPs align their support behind the priorities outlined in countries' policies and national development strategies; ii) DPs effectively coordinate their activities to avoid duplication, eliminate





avoid parallel systems, GOK and DPS have adopted the second MTP to help plan strategies. However, this is not the case with CIDPs in the counties.

## Monitoring System

*Status: Red*

To achieve the objectives of CAADP, the sector requires mechanisms to regularly measure performance against targets and track policies and programs. The review and dialogue processes under the CAADP agenda operate at the following three different levels:

1. Mutual review at the continental level: There are two main mechanisms for review and dialogue at the continental level. The first is the African Partnership Forum (APF) that targets African leaders and their G8 partners, and is supported by a technical secretariat at the Organization for Economic Co-operation and Development (OECD). The second mechanism is the CAADP Partnership Platform that focuses on the CAADP agenda. This platform brings representatives of the leading RECs and other regional organizations together including major bilateral and multilateral development agencies, private sector, and farmers' organizations.
2. Peer review at the regional level: The leading RECs review the CAADP implementation agenda through two distinct processes. The first process regroups country representatives at the level of permanent secretaries and directors of planning. It collectively reviews implementation performance in individual countries and mutual learning to achieve CAADP goals and targets. The second process enables the leadership of the RECs and representatives from the private sector, farmers' organizations, and development agencies to track program progress and performance at the regional level. This process enables participants to align development assistance and country policies and strategies with the CAADP targets and principles.
3. Progress review at the national level: Country level implementation requires an inclusive review process to ensure that policies and programs are aligned with CAADP principles and objectives. The choice of mechanisms to facilitate this process depends on individual countries' institutional and technical realities. However, each country must engage in inclusive dialogue that ensures the effective participation of the agribusiness sector and farmers' organizations. The identification of the appropriate mechanisms takes place during the country roundtable process.

One way of operationalizing the country review is to conduct joint sector reviews (JSR). The JSR process creates a platform to conduct the following: i) assess the performance of the agriculture sector; ii) assist the government to assess the effectiveness of sector policies and strategies; iii) ensure state and non-state actors have implemented pledges and commitments; and iv) guide decisions to continue with or adjust implementation of the agreement.

Therefore, the JSR conducts the following: i) allows diverse stakeholders to gain insight into policies and priorities of the sector; and ii) serves as a management and policy support tool for inclusive stakeholder planning, programming, budget preparation and execution, and monitoring and evaluation.

The above capacities, tools, and instruments can be acquired by strengthening existing institutions and expert networks. To bridge this gap, three Regional Strategic Analysis and Knowledge Support Systems (ReSAKSS) were established in 2006 as facilities of the International Food Policy Research Institute (IFPRI) to support efforts to promote evidence and outcome-based policy planning and implementation as part of the CAADP agenda, specifically to facilitate access to policy-relevant analysis to improve policymaking, track progress, document success and derive lessons that can feed into the review and learning processes associated with the implementation of the CAADP Framework. The three ReSAKSS nodes operate as a network among the major regional economic communities in Africa:

- ReSAKSS East and Central Africa is hosted at the International Livestock Research Institute (ILRI) in Nairobi, Kenya.
- ReSAKSS Southern Africa is hosted at the International Water Management Institute (IWMI) in Pretoria, South Africa
- ReSAKSS West Africa is hosted at the International Institute of Tropical Agriculture (IITA) in Ibadan, Nigeria.

ReSAKSS also works with country CAADP teams to set up or strengthen a country's Strategic Analysis and Knowledge Support Systems (SAKSS) rooted in the existing local capacities and infrastructure. The SAKSS is a critical instrument for supporting the review and dialogue on CAADP implementation at the country level. A country SAKSS acts as a tool for implementing CAADP and is the subject of JSR. The specific objectives of



- vii. Mutual accountability among co-operation actors is strengthened through inclusive reviews.
- viii. Gender equality and women's empowerment.
- ix. Quality of developing country PFM systems and use of country PFM and procurement systems.
- x. Aid is untied.

Although these were adapted at the national level, only a few individuals at the treasury and DP level are involved. At sector level, very few individuals are aware of these indicators. Since 2013, this monitoring system has not been adopted at the national and county government levels.

AU Head of States and Government met in Malabo, Equatorial Guinea in 2014 to set goals for African agricultural development to be achieved by 2025. A mechanism that will track this progress was agreed upon and will involve biennial reporting from the member states.

## Private Sector Accountability

*Status: Red*

Although the private sector is represented at the national level through agriculture sector working groups, their participation is limited and also nonexistent at the county government level. It also had no common platform to coordinate and engage with DPs and GOK until the formation of the Kenya Agriculture Council. However, overall lack of representation and inadequate capacity hinders effective engagement of the private sector.

## Civil Society Accountability

*Status: Red*

During the Busan meeting (2014) in South Korea, on development cooperation, DPs and governments committed to enable CSOs to exercise their roles as independent development actors and contribute to overall development. In Kenya, there are many civil society actors in the agricultural sector but they lack a common platform for collective engagement with government and DPs. **In 2015 they established the Agriculture Council of Kenya that will represent them effectively at all levels of interest.** Although a key role of the CSOs is advocacy, majority of them are service providers and compete for resources with other service providers such as private sector actors and county and national governments.

In addition, CSO's lack recognized structures to monitor their contribution

to the development agenda. The DPs and GOK have neither provided them with sufficient opportunities or adequate resources for mutual accountability. Also, CSO's lack a monitoring system to implement the development cooperation agenda.

## Country Sector Accountability Forum

*Status: Yellow*

In the past, a biennial sector forum existed that brought relevant stakeholders together to share experiences on sector performance, and discuss emerging sector issues and challenges. This important accountability forum has not taken place in the past few years. The review of the ASDS is expected to re-establish the forum. It is proposed that it continues to take place biennially in tandem with the CAADP Joint Sector Review and biennial Sector Review.

## Conclusion

GOK and DPs have a strong working relationship. However, the instruments such as KJAS and AAA that were in place to guide implementation are no longer in practice. Mechanisms for private sector and civil society engagement and accountability have not been developed.

Development partners have two or more projects in the same sub sector which have parallel project implementation units and have no synchronized coordination mechanism. They also organize uncoordinated technical meetings with the government. The 2008 OECD Paris Declaration Monitoring Survey indicators have not been adopted at the national and county government levels. The civil societies lack adequate resources and a monitoring system to implementation of their development cooperation agenda. The country Sector accountability forum is inactive.

## Recommendations

- The revised ASDS should identify roles of all players and provide a mechanism for engagement.
- Develop and execute a code of conduct involving all sector players.
- Improve and embed transparency and accountability mechanisms at all levels such as the country sector accountability forums, JSRs and BRs processes.

# PART III:

## RECOMMENDATIONS

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The following is the summary of recommendations on the six elements:

### Overarching Policy Framework

- Complete the draft agriculture policy to serve as the overarching policy document for the entire sector.
- Revision of the ASDS, its investment plan and other related documents (Kenya CAADP Compact and Results Framework, Food and Nutrition Security Policy Implementation Framework) and ensure compliance with Malabo declarations and commitments on agriculture, nutrition and climate change.
- Establish horizontal linkages and coordination mechanisms for policies, strategies, action plans and institutions.
- Develop clear mechanisms for cascading national food and nutritional security initiatives and commitments to the counties.

### Policy Development and coordination

- Sector to adopt the guidelines developed by the Kenya Law Reform Commission on policy formulation process.
- Establish and operationalize a policy development and coordination organ with a clear mandate.
- Establish and operationalize the FNSP coordination unit.

### Inclusivity of Stakeholder Consultations

- Strengthen the capacity of the new sector consultation and cooperation mechanism (JASCCM).
- Map out capacity constraints of agricultural associations.
- Training to associations in five key areas: setting goals and objectives; identifying target audiences; developing an effective advocacy message; producing an action plan; and monitoring and

evaluation.

- Host issue-based roundtables with non-state actors to identify policy priority areas.
- Enhance capacity of government at both national and country levels to engage non-state actors' participation in agriculture and food security policy formulation processes.
- The FNS strategy and investment plan should be developed. Each department should adhere to their service charters that guide policy development process. This will hasten the process and make policy development and formulation process predictable.
- JASCCM should develop a framework for developing CIDPs, the annual work plans and the implementation strategy and a strong coordination and consultation mechanism for food and nutrition security with participation of the national government.
- The national government should continue providing administrative support to food and nutrition security related activities at the counties. The national government should strengthen their administrative and technical support to the counties.

## **Evidence Based Policy analysis & Development**

- Strengthen the capacity for collection and inclusion of economic and financial analysis in the planning and budgeting for policy development.
- Incorporate requirements for fora and review periodic measurement reports such as Joint Sector Review (JSR), Biennial Review (BR).
- Build the capacity of county governments in policy analysis, development and implementation.
- Mainstream, harmonize and leverage on existing independent data analysis institutions.

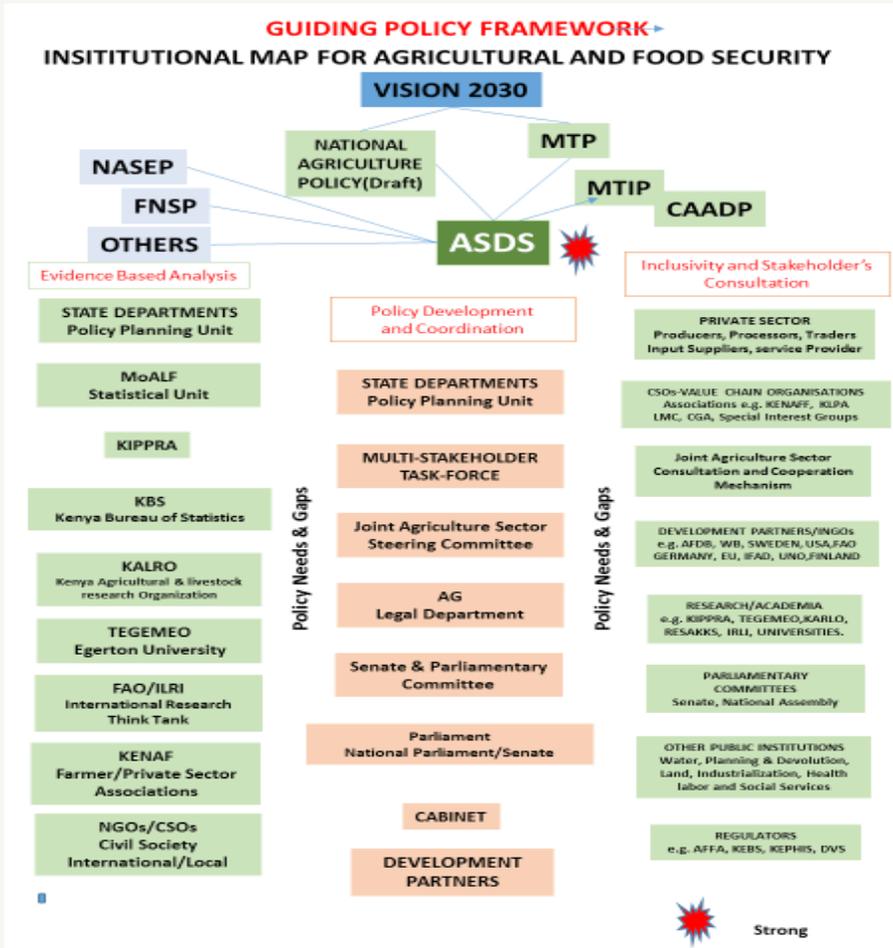
## **Policy Implementation**

- Review the public-sector expenditure to align expenditure to priorities.



# ANNEXES:

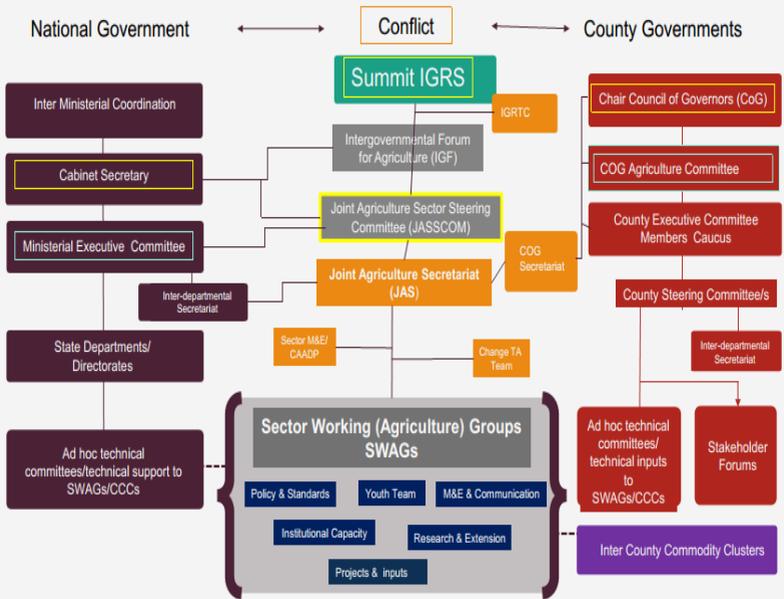
## ANNEX 1: FIGURE 1: INSTITUTIONAL MAP FOR FOOD SECURITY POLICY CHANGE IN KENYA



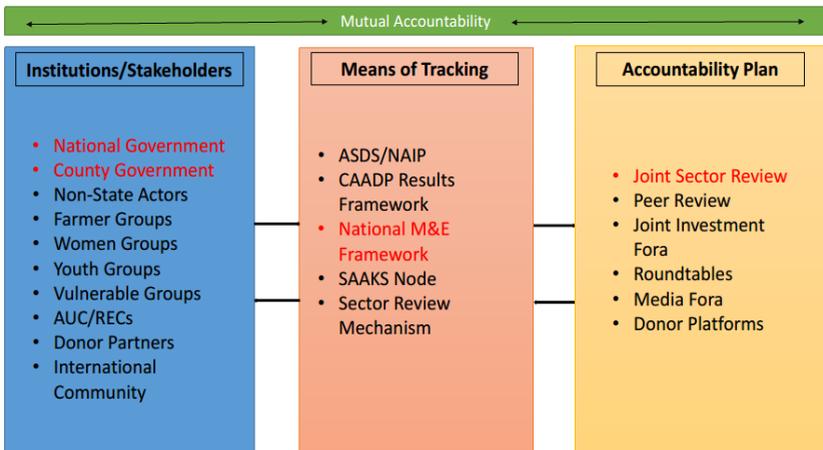
# Kenya Policy Implementation Map

High Power

Medium Power



## KENYA AGRICULTURE SECTOR MUTUAL ACCOUNTABILITY FRAMEWORK



## ANNEX 2: 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 now.

CAPACITY OF POLICY CHANGE INDICATORS	Status		
			
<b>Policy Element 1: Predictability of the Guiding Policy Framework -</b>			
<b>Clearly Defined and Consistent Policy Framework:</b> The policy framework impacting food security policy-making is clearly defined, and consistently applied and enforced from year to year.			
<b>Predictability and Transparency of the Policy-Making Process:</b> The policy development process is transparent in accordance with the rules contained within the country's constitution, law, and legal framework.			
<b>Clear and Functional Legislative System:</b> There is a legislative capacity to deal with food security policy changes, and the legislative requirements are clearly defined and predictable.			
<b>Appropriate Dispute Resolution Process/Judicial Framework:</b> The judicial system is perceived as fair and effective, and there is an appropriate system to dispute resolution where conflicts arise relating to food security policy.			
<b>Clearly Defined Institutional Responsibilities:</b> Institutional responsibilities are clearly defined, consistently applied, and predictable from year to year.			
<b>Policy Element 2: Policy Development &amp; Coordination -</b>			

CAPACITY OF POLICY CHANGE INDICATORS	Status		
			
<b>Approved Food Security Strategy/Investment Plan:</b> 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.			
<b>Predictable Policy Agenda and Priorities Developed:</b> The policy items required to achieve the national food strategy have been identified and documented, i.e., specific policy objectives exist.			
<b>Work Plans:</b> There is an annual work plan that identifies objectives and activities regarding policy development.			
<b>Functioning Coordination Process:</b> 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).			
<b>Secretariat/Administrative Support Function:</b> There is 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.			
<b>Technical Capacity:</b> 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).			
<b>Political Support and Approval:</b> 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 development of new policies, e.g. involvement of Deputy President's (especially for policies that cut across sectors, e.g. trade and agriculture).			

CAPACITY OF POLICY CHANGE INDICATORS	Status		
			
<b>Engagement of Parliament/Legislative Body:</b> 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.			
<b>Policy Element 3: Inclusivity and Stakeholder Consultation-</b>			
<b>Inclusive Participation within the Policy Coordination Management Entity:</b> The main coordination entity has: a) clear goals and participation from key government ministries and; b) some representation from non-government entities, particularly from donors.			
<b>Outreach and Communications:</b> 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.			
<b>Private Sector Participation – Opportunity/Space:</b> 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 process, and access to key information should be readily available.			
<b>Private Sector Participation – Capacity to Participate:</b> Some organizations representing the private sector have the capacity to participate in government-led discussions on food security policy. They are able to represent their members, articulate and communicate policy positions, and provide some level of evidence-based analysis to support their viewpoints.			

CAPACITY OF POLICY CHANGE INDICATORS	Status		
			
<b>Participation of CSOs – Opportunity/Space:</b> 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.			
<b>Participation of CSOs – Capacity to Participate:</b> 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.			
<b>Policy Element 4: Evidence-based Analysis-</b>			
<b>Economic and Financial Analysis Completed as a Component of Planning:</b> 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.			
<b>Performance Monitoring Measures and Targets Developed:</b> The national food security policies/plans include specific objectives, performance indicators, and targets exist to monitor the accomplishment of the objectives.			
<b>Quality Data Exists for Policy Monitoring:</b> There is a database of quality statistics that is used to routinely report and analyze progress in achieving objectives. (Analysis to be conducted by USDA – and not as part of this assessment framework.)			

CAPACITY OF POLICY CHANGE INDICATORS	Status		
			
<b>Quality Data is Available for Policy-Making:</b> 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.			
<b>Inclusion of Analysis in the Policy Development Process:</b> Evidence-based analysis is considered and used to develop policy priorities/policy proposals.			
<b>Annual Performance Measurement Report Produced and Reviewed:</b> 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 donors and multilateral partners, such as FAO and IFPRI). Recommendations are developed as a result of the review and incorporated into subsequent plans.			
<b>Independent Analysis Capacity Exists:</b> There exists an independent capacity to analyze food security data. This is used 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.			
<b>Policy Element 5: Policy Implementation -</b>			
<b>Implementation Plans Developed:</b> 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 3) "packaged" priorities can be translated into funding proposals to gain support for projects/programs from development partners (to address financing gaps).			

CAPACITY OF POLICY CHANGE INDICATORS	Status		
			
<p><b>System in Place to Analyze Implementation Capacity Constraints:</b> 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).</p>			
<p><b>Food Security Policy Priorities Aligned with Work Plans of Line Ministries:</b> 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.</p>			
<p><b>Policy Implementation Budget Committed by Host Country:</b> 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.</p>			
<p><b>Supplemental Implementation Funds Secured:</b> 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.</p>			
<p><b>Administrative and Technical Capacity of Staff to Implement Policy Change:</b> Administrative and technical capacity exists within the government to effectively manage the implementation process. There is a system to coordinate implementation across departments.</p>			
<p><b>Monitoring and Evaluation:</b> 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.</p>			

CAPACITY OF POLICY CHANGE INDICATORS	Status		
			
<b>Policy Element 6: Mutual Accountability-</b>			
<b>A Forum Exists for Regularly Scheduled Donor-Government Meetings:</b> These meetings discuss policy and programs and set priorities. Meetings may include, for example, Joint Sector Reviews, sector working groups, or other similar arrangements.			
<b>Joint Policy Priorities Developed:</b> A document exists that articulates the shared policy objectives between the government and the donor community.			
<b>Monitoring System Exists:</b> 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.			
<b>Donor Coordination – Alignment and Harmonization:</b> 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.			
<b>Private Sector Accountability:</b> 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.			
<b>CSO Sector Accountability:</b> 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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