



FEED THE FUTURE

The U.S. Government's Global Hunger & Food Security Initiative



POLICY TO ADVANCE FOOD SECURITY AND INCLUSIVE AGRICULTURAL GROWTH

Participant Manual



USAID
FROM THE AMERICAN PEOPLE

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December 3, 2018

Dear Participant:

Welcome to this new course, *Policy Advancing Food Security and Inclusive Agriculture Growth*. We appreciate your interest in and time commitment to this important topic.

Getting food security and agriculture policy right is fundamental for the development of USAID partner countries and particularly for the Feed the Future focus countries. Good policies will help achieve increased incomes, improved nutrition, resilience, water security, and contribute to reductions in hunger. The importance of policy and systems change has been elevated under the new Global Food Security Strategy in recognition of the power of policy to support targeted service delivery and contribute to agricultural transformation. Food security policy is also relevant to the Agency's self reliance agenda, a top priority of Administrator Green and mirrored in the Bureau's transition strategy. And the emphasis of the Global Food Security Strategy on systems wide impact for catalytic development makes policy central to our work.

The goal of this course is two-fold. You should leave this course with a renewed commitment and a deeper understanding of the power of policy to achieve Feed the Future objectives and support countries toward self-reliance. And this course has been designed deliberately to build a policy community for USAID technical staff who can draw upon each others' experiences across various and diverse policy issues, able to communicate with a common language and support each other toward a common objective of inclusive, transparent, evidence-based policy systems. We expect you to reach out to one another following this course to continue to advance this work.

Most of all we hope that you will find this course stimulating, fun, and creative. We can assist countries to establish inclusive, transparent and evidence-based policy systems, and you will have incentive and skills from this course to contribute to that goal.

Sincerely,

Gregory Collins
Deputy Assistant to the Administrator (Acting)
USAID/Bureau for Food Security

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OVERVIEW OF COURSE

A. Purpose

The aim of this course is to equip USAID Mission colleagues with a renewed commitment to deeper understanding of the power of policy to achieve Feed the Future (FtF) objectives and support countries toward self-reliance and commitment to intentional policy community building.

B. Learning Objectives

By the end of this course, participants will be able to:

1. Articulate the importance of policy for achieving the objectives of the U.S. Government's Global Food Security Strategy (GFSS) and supporting countries on the journey to self-reliance.
2. Describe a policy system, its changing context, and its components: policy agenda, institutional architecture and mutual accountability.
3. Improve ability to recognize where there is an opportunity for policy and when policy is a solution to a constraint.
 - a. Describe the entry points to improving the system to move the policy agenda forward.
 - b. Determine if and when there is sufficient evidence that supports policy best practices.
4. Understand the diversity of policy stakeholders, how to assess capacities and support their roles.
5. Apply tools to frame and structure policy support programs within your area.
6. Develop a plan to implement 'best fit' practices for addressing your own country/region policy needs and opportunities.

C. Agenda

POLICY TO ADVANCE FOOD SECURITY AND INCLUSIVE AGRICULTURAL GROWTH					
Time	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
8:30 AM	Introduction & Why Policy is Important	Agri-food Systems Transformation & Food Security	Policy Agenda in Practice	Trip Debrief	Programming for Policy Change
	Articulating the Importance of Policy			Mutual Accountability	
10:15 AM	Break				
10:30 AM	Components of a Policy System	Policy System Change	Developing a Policy Agenda	Mutual Accountability	Effecting System Change Through Policy
12:00 PM	Lunch				
1:00 PM	Policy System	Institutional Architecture Practice	Field Trip	Moving the Policy Agenda Forward: What is the Role of the USG	Policy Communities
2:30 PM	Break				
2:45 PM	Policy System	Institutional Architecture Review	Field Trip	Policy Agenda	Articulating the Importance of Policy and Closing
			Post -Trip Networking	Policy in Dynamic Environments	
4:45 PM	Daily reflection, evaluations				
5:00 PM	Closing				

DAY 1

WHY POLICY IS IMPORTANT TO ME

Objectives:

1. Articulate the importance of policy for achieving the objectives of GFSS and supporting countries on the journey to self-reliance.
2. Have evidence and proof of why policy is important.

Policy matters, and it matters to you.

In the Pre-Needs Assessment you shared with us why policy is important to you. We have captured your responses and posted them around the room in the policy issue areas that you indicated.

Please take the next 15 minutes to meet your colleagues in the other policy issue groups. When the bell rings, join your policy issue group and introduce yourselves.

Table Group Names	Country Where They Work

When we talk about policy this week, we mean the “laws, treaties, regulations, statements, administrative actions, and funding priorities. Policy also includes the approaches, implementation processes, activities, and accountability mechanisms that guide government actions and enforcement at all levels.”

Resource

Policy Technical guidance
https://drive.google.com/file/d/1mTe_GS5UIJkpTdKabQeCoQChScaY7GwP/view

ARTICULATING THE IMPORTANCE OF POLICY

Objectives:

1. Practice convincing office director (others) of a policy issue and why policy is important to success of GFSS.
2. Present an elevator speech that articulates why policy issue is important and important to them.



Elevator Speech

Be concise: 30-60 seconds, in our case we will use 2 minutes.

Be clear: Use key terms, examples for understanding. Using jargon that doesn't add meaning and you lose your opportunity.

Be bold: Use direct and strong words that have meaning.

Be visual: Paint a picture in their mind with your choice of words. Imagine the issue.

Tell a Story, a short, short story: A good story is essentially this: someone with a problem either finds a solution or faces tragedy. Either type of story can be used to give a clear picture.

Be targeted: who is your target audience, what is the unique target message and question to them.

Be outcome oriented: Know your objective, what your desired outcome is and what evidence supports your objective, and how this will contribute to the priorities of your audience.

Have a Hook: What can you say that grabs their attention and connects to the listener that they ask you for more.

(adapted from <http://www.salisbury.edu/careerservices/students/Interviews/60secondElevator.html>)

Writing your elevator speech

1. Begin with your name, country where you work.
2. Identify your goal.
3. Know your audience (what is central for them to know).
 - a. Your audience today is your colleagues.
4. What is the problem that you wish to solve (what do you want your audience to remember about the issue).
5. Why is policy an important to this issue, what is the gain or return on investment?
6. Ask a question or ending that engages the listener to extend the conversation.
 - a. Your outcome is to get input into possible solutions for your issue.

EXERCISE

Write down everything you could say.

Go back through your list above and highlight the key points. Re-write below the key points in order or write them on post-it notes.

Practice, time yourself, test how it flows before giving it to others.

COMPONENTS OF A POLICY SYSTEM

Objectives:

1. Describe a policy system, its changing context, and its components: policy agenda, institutional architecture and mutual accountability.
2. Build a Policy 3-part stool, reflecting their understanding of the three parts of policy, key terms and definitions.
3. Increase confidence in describing policy components.

Question Poll

What do you think of when you hear “food security policy”?
Review the responses on the slide and select your response card to participate in the poll.

As defined by Feed the Future policy includes:



Write your definitions below

Prioritized Agenda is
Institutional Architecture is
Mutual Accountability is

EXERCISE

Building a Policy stool

At the tables, you have materials to construct a stool that represents the policy system. You will construct the policy system, reflecting your understanding of its three components, key terms, or images that remind you of meaning and definitions.

Begin with writing “Policy Impact at Scale” on the seat of the stool.

Be sure to include on the stool leg:

- Name of policy component
- Key terms for that component
- Images and phrases that could be associated with the element



Prioritized Agenda



Prioritized agenda defines target/priority policy results and actions to be implemented by national/local stakeholders with U.S. Government support.

Prioritized Agenda questions to ask ourselves and consider in our country teams:

- What policy opportunities can advance Feed the Future and country/regional programming objectives?
- What are the policy priorities for different local stakeholders across the government, private sector, civil society, and producer households that are most likely to sustainably reduce hunger, malnutrition, and poverty?
- What policies would face significant political obstacles and which would have political benefits?
- Do we know the history behind these policy priorities - why they have not been achieved before this? Who would have this history?
- Where are these priorities articulated? What policy priorities and constraints do other policy-related documents identify, such as the Comprehensive Africa Agriculture Development Programme (CAADP) policy priorities, the World Bank Enabling the Business of Agriculture (EBA) report, Regional Policy Frameworks (e.g. ECOWAS) or policy papers developed by country agencies, universities, think tanks, and other development actors?
- Are policies or proposed policies in conflict with multilateral obligations, such as trade agreements?
- What factors can raise the interest in a policy area, bring it onto the policy agenda?
- Does the policy agenda account for gender, risk reduction, and other cross-cutting objectives?
- Which policy areas are country priorities: 1) Institutional Architecture; 2) Resilience and Agricultural Risk Management; 3) Agricultural Inputs; 4) Enabling Environment for Private Sector Investment; 5) Nutrition; 6) Land and Natural Resources Tenure Rights and Governance; 7) Agricultural Trade; 8) Other? Also consider cross-cutting issues that shape opportunities for women and youth in the sector, public sector investments, food and water safety, and science and technology.
- Have countries approved priority policies, but not implemented them?

Notes

Mutual Accountability



Mutual accountability is a process that aims to ensure actors follow through on commitments and use resources effectively.

Mutual Accountability questions to ask ourselves and consider in our country teams:

- Is there a national food security plan that includes financial and policy commitments and allows for aligned commitments from civil society and the private sector? (National Agriculture Investment Plan appraisal toolkit)
- What accountability processes exist? Are they effective? Why, or why not?
- Is there a review process - biennial and/or Joint Sector Review (JSR) or equivalent process? (IAA, JSR assessment tool)
- Are the review processes sufficiently inclusive, transparent, and evidence-based?
- Does the mutual accountability process include reporting out on all commitments to the national plan, including joint impact on sector progress?
- What is the extent and source of political and public will to strengthen mutual accountability processes?

Principles of Mutual Accountability

- Transparency - addresses development's need for clear and open dialogue, policies and processes and leads to greater trust and collaboration, increased commitment to shared goals, and reduced stakeholder frustration
- Evidence-based - Research gives stakeholders the proof and verification they need to understand the factors that influence agriculture in order for progress
- Inclusive - prerequisite because will help generate a comprehensive portfolio of collective work, coordinated and vetted across all stakeholders, to help assure combined initiatives are necessary and sufficient (Source: Feed the Future Policy Brief Mutual Accountability)

Notes

Institutional Architecture



Institutional architecture refers to the entities and processes for policy formulation and implementation.

Institutional Architecture questions to ask ourselves and consider in our country teams:

- Who are the stakeholders, what are their capacities and roles in policy system; what are the processes that enable inclusive participation in the system?
- What gaps and deficiencies exist in the current architecture that will impede the country's ability to advance high-impact policy priorities?
- What human and institutional capacity constraints hinder performance of the country's policy system?
- How can gender, disadvantaged groups, and other cross-cutting issues be addressed through approaches to institutional architecture?
- What is the extent and source of political and public will to strengthen the institutional architecture?

Institutional Architecture Assessment Methodology

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

Notes

Resources

Policy Technical guidance

https://drive.google.com/file/d/1mTe_GS5UJkpTdKabQeCoQChScaY7GwP/view

The Institutional Architecture Assessment methodology <https://www.africleadftf.org/2018/02/28/institutional-architecture-assessment-workshop-resource-documents/>

EAT Cross Country Study

http://eatproject.org/docs/EAT_CrossCountry_Study_031815_web.pdf

Feed the Future Policy Overview Brief

https://www.feedthefuture.gov/wp-content/uploads/2018/03/Feed_the_Future_Policy_Overview_Brief.pdf

POLICY SYSTEMS

Objectives:

1. Identify and discuss their own policy issue within the policy agenda.
2. Discuss the concept of different levels of policy making and implementation within their own policy issue area.
3. Describe several aspects at national and local levels for their policy issue area.

EXERCISE

Debate - two positions

Position 1: Sustainable agriculture and food security impacts only happen when there is policy change at the national level.

Position 2: Sustainable agriculture and food security impact only happen when there is change in individual behavior at a local level.

- Each team will have 15 minutes to prepare your argument.
- Chart your team's position and supporting evidence as reference for the others.
- For the debate each team will have 7 minutes to present your position.
- Following all three presentations you will have an additional 3 minutes for a rebuttal.

Position:

Argument Notes:

Policy areas

Area	Objective
<i>Institutional Architecture and Mutual Accountability</i>	Develop predictable, transparent, inclusive, evidence-based policy for accelerated policy improvement and implementation in support of poverty reduction and improved nutrition.
<i>Enabling Environment for Private Sector Investment</i>	Increase competitiveness and reduce barriers to stimulate private investment in agriculture, which increases incomes for smallholders and firms, and generates employment.
<i>Agricultural Trade Policy</i>	Increase efficiency, stability, and transparency in domestic and cross-border trade consistent with international agreements to spur inclusive economic growth and foster increased private sector investment in agriculture.
<i>Agricultural Inputs Policy</i>	Enable the private sector to develop, commercialize and broadly disseminate improved inputs to smallholders in order to increase smallholder productivity and incomes.
<i>Land and Natural Resources Tenure, Rights and Policy</i>	Establish effective institutional arrangements, rules, and mechanisms that recognize the legitimate land and resource rights of all users, including women, pastoralists and vulnerable populations, in order to stimulate transformative and sustainable investments in both land-based and non-agricultural income-generating assets.
<i>Risk and Resilience Policy</i>	Enable smallholders, communities, and countries to mitigate and recover from risks, shocks, and stresses to agriculture, in a manner that reduces chronic vulnerability and facilitates inclusive growth.
<i>Nutrition Policy</i>	Reduce undernutrition with a focus on women and children- in particular the 1000-day period from pregnancy to a child's second birthday.

EXERCISE

In your table group:

- Identify two national level policies and two local level policies examples relevant to your issue area.
- Record them on the large post-it notes.
- Select one person to share these out with the larger group.
- Post your list by the appropriate policy issue poster in the room.

Policy Issue Community

Community Members	Issue

EXERCISE

The Policy Area Description (See Annex tabs)

Together record the following on the large-post-its on the table.

1. Share your specific policy issue you are dealing with in their country or work. What is the specific result you are trying to achieve?
2. List the major constraints to achieving FTF results in this area. Which of these constraints can be addressed through a POLICY change? Or in other words, why is this a policy issue?
3. Are these policy changes at the national or local level? What is the individual behavior change being sought?

Expert will guide the dialogue around:

- Policy area description
 - National level
 - Sub-national level
- Individual behavior change
- Key concepts

Use the large post-it notes provided to add their understanding of the Policy Area to the respective Policy Poster. Select 1 person in the small group to present your poster to the larger group.

EXERCISE

Task 2- Building context for individual Policy issue

In your policy area groups, review the key points of your elevator speech and discuss together:

1. Why is this a policy issue?
2. Why do you think this is a priority issue? (Explain the causal relationship between this policy and FTF-GFSS objectives)
3. What is an aspirational, but achievable result the government and other stakeholders can achieve?

Homework for Tuesday: Bring a copy of the country, Ministry of Agriculture vision statement tomorrow.

REFLECTION DAY 1

Reflect on today's learning and respond to the following:

What are you trying to achieve with the policy(s) you have identified as important to establish and/or strengthen?

What policy success in your country can you highlight and build on?

What is one thing you want to learn more about this week? (Write this on a post-it note and add it to the Parking Lot chart)

DAY 2

AGRI-FOOD SYSTEMS TRANSFORMATION & FOOD SECURITY

Objectives:

1. Identify evidence and proof of why policy is important.
2. Understand differing visions for agriculture transformation.
3. Recognize how Policy is important for agriculture and food security pathways.

Vision Statement

1. Using an index card, write your country and the vision statement for agriculture for your country.
2. Below the vision, list the type of agriculture transformation reflected in this vision.
3. Add your card to the map.

Challenges

1. Move and stand by the cards that you believe is the greatest challenge we face in agri-food systems transformation.
2. Or use a notecard on your desk to write one of your own and post it on the wall.

I choose the greatest challenge as:

Drivers

1. Move and stand by the cards that you believe is the driver that is priority in your context.
2. Or use a notecard on your desk to write one of your own and post it on the wall.

I choose the greatest issue as:

EXERCISE

Individually identify, write and discuss in your table team 2-3 critical facets of agricultural transformation that are priorities for a country you reside in or backstop.

Trends

EXERCISE

1. What particular trends generate or impede opportunities for us to further promote agricultural transformation in your country or region?
2. Which of these trends most affect your programming? How do different stakeholders view this trend?
3. What are the challenges and drivers influencing this trend?
4. How is the issue you are working on linking to the vision: how can your assistance best support the countries vision of transformation?

Capture your group's ideas on chart paper.
Select one person to present for your table group.

Takeaways

- Transformation takes complex forms
 - Affects many systems
- There are multiple drivers and measures of transformation
 - Including policy levers as driver
 - Different drivers affect different systems differently
- We can't get there the old fashioned way, but we can get there
 - Better on-farm/off-farm balance
 - Increased emphasis on market systems
- No easy answers, but inclusive, evidence-based dialog is a big step forward

Resource

Video: <https://agrilinks.org/training/food-security-and-agriculture-core-course>

POLICY SYSTEM CHANGE

Objectives:

1. Practice using toolkits to understand policy system and policy process in their country.
2. Review models of policy system change.
3. Identify elements of how a prioritized AFS agenda is formulated in their country context.

The stages of policy change are:

1. **Agenda Setting** (Strategy)
2. **Design** (e.g. National Agricultural Investment Plan drafted; Seeds Sector Policy drafting)
3. **Adoption** (e.g. Gazetting, enactment, adoption of policy;
4. **Implementation** (e.g. includes financing (NAIP finance review) as well as establishing the systems to implement the policy such as strengthening seed testing facilities, etc.)
5. **Monitoring, Evaluation & Reform** (Mutual Accountability - Joint Sector Reviews)

Getting started

Policy is a continuous process, constantly redesigning. It is circular and not linear. On the floor is a circle with the five segments of Kaleidoscope identified.

Please get up and stand in the segment where you believe your country is (or has reached at some point) in relation to the issue you have brought to the course.

Some of the questions we will answer this morning include:

- Why is policy change a complex process?
- What are models for understanding and explaining how policy changes?
- How can we improve our understanding of policy change within our own contexts?

Political and Public Will (PPW)

The PPW approach calls for systematic assessment of both political will and public will and maps directly to specific tools. Parallel definitional structures for the two concepts facilitate examination of the interactions between political will and public will.

The PPW approach offers the following innovations:

1. The recognition that all these tasks must be carried out in a coordinated way;
2. The willingness to integrate ideas and tools from a variety of social and behavioral sciences, including political science, communication, psychology, sociology, business, and economics
3. The recognition of strong context dependence (i.e., places, issues, understandings)
4. An overriding focus on the alignment of problem and solution definitions among stakeholders
5. An argument that mutual accountability is more durable if produced through this approach

Resources

Political and Public Will <http://blogs.worldbank.org/publicsphere/generating-political-will-and-public-will-positive-social-change>

PPW Toolkit http://blogs.worldbank.org/publicsphere/files/ppw_toolkit_0.pdf

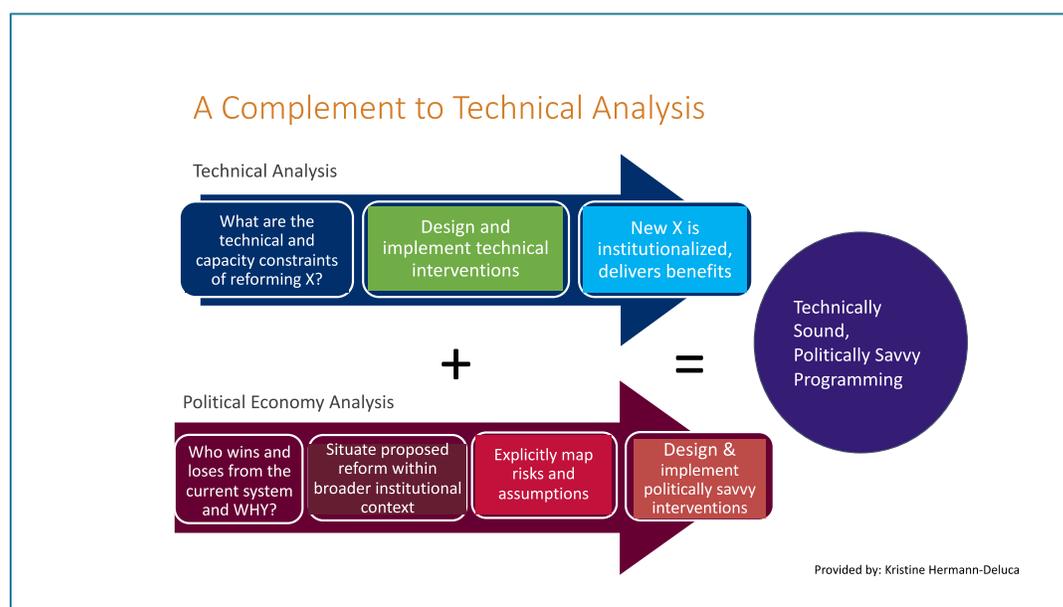
Notes

Political and Economic Analysis

Political Economy Analysis (PEA) is a field-research methodology used to explore not simply how things happen in an aid-recipient country, but why things happen.

PEA seeks to understand how:

- Social, political, economic and cultural factors interact at local, national and international levels
- Power is distributed among different groups
- Institutional dynamics and power relations shape prospects for change/reform



Steps of an Applied PEA

1. Hold initial discussions to brainstorm Applied PEA questions
2. Recruit the team members based on Applied PEA focus
3. Conduct a desk study
4. Agree on a preliminary agenda
5. Hold an Applied PEA workshop in country
6. Finalize the agenda/site visit plan
7. Conduct the field work
8. Meet nightly to review interview results
9. Conduct additional interviews to triangulate and confirm findings
10. Brief sector and Mission leadership on preliminary findings
11. Draft a baseline Applied PEA report
12. Finalize based on feedback from Mission staff and other USAID stakeholders
13. Repeat field work as necessary to refine and update results, and learn as you go

PEA is a process-oriented approach that entails ongoing analysis and updating to continue to inform decision-making. Significant Mission involvement and ownership are necessary to ensure that PEA is not limited solely to a one-off field assessment, but the findings are reviewed and updated as the political economy evolves.

Resources

Political and Economic Analysis

<https://www.usaid.gov/sites/default/files/documents/2496/Applied%20PEA%20Field%20Guide%20and%20Framework%20Working%20Document%20041516.pdf>

Lessons Learned Applied Political Economy Analysis https://pdf.usaid.gov/pdf_docs/PA00MBFT.pdf

Thinking and Working Politically (TWP) through Applied Political Economy Analysis (PEA) -- Guide and Supporting Materials <https://usaidearninglab.org/library/thinking-and-working-politically-twp-through-applied-political-economy-analysis-pea-guide>

Using Political Economy Analysis to Understand the Enabling Environment

<https://www.agrilinks.org/post/using-political-economy-analysis-better-tackle-enabling-environment>

How Policy Change Happens

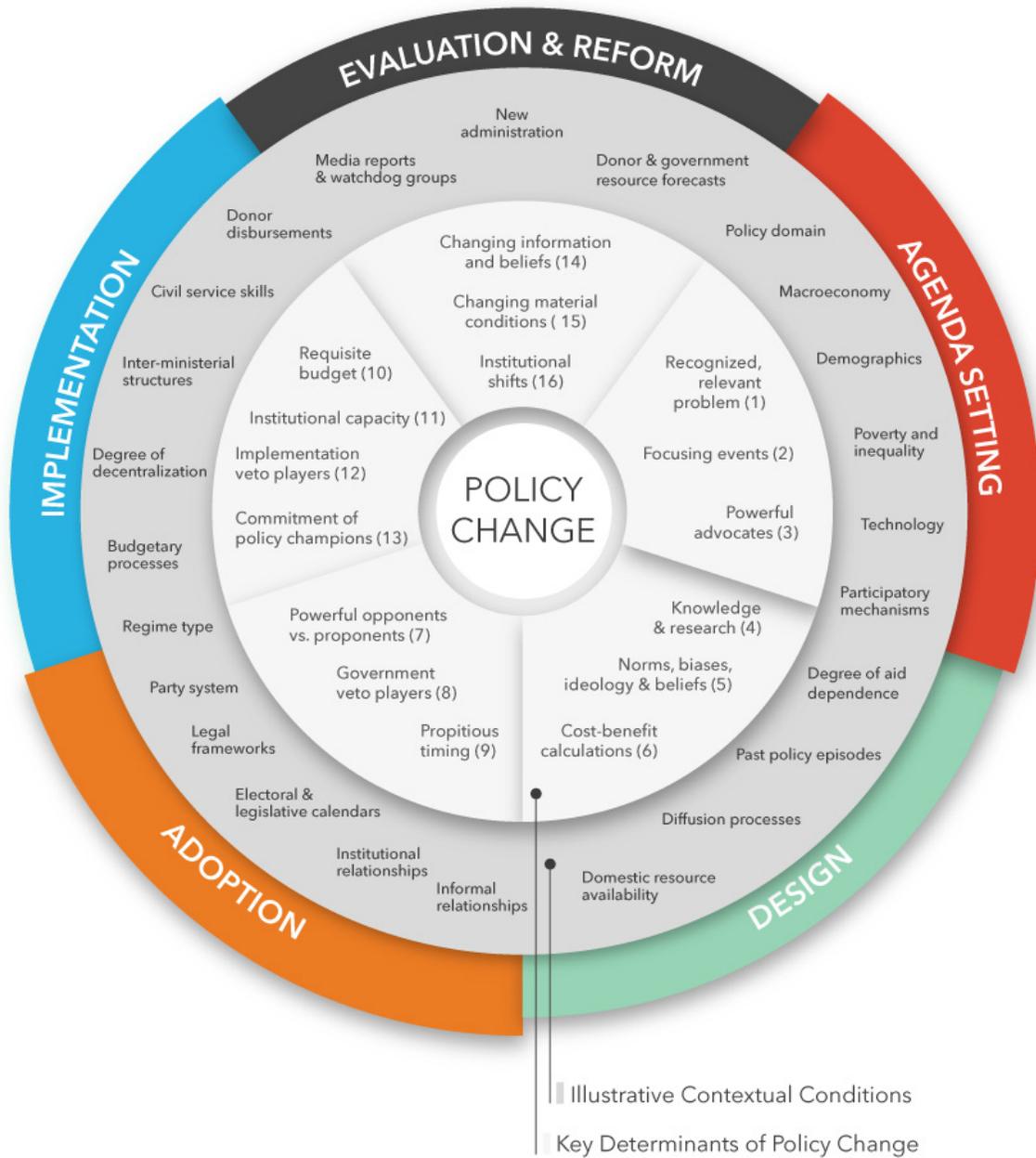
<https://www.agrilinks.org/post/how-policy-change-happens>

Context-Driven Adaptation Collection:

<https://usaidearninglab.org/context-driven-adaptation-overview>

<https://programnetusaid.gov/collections/context-driven-adaptation> (Internal only)

Kaleidoscope Model



The key determinants of policy change as developed through an analysis of theory and case studies by researchers for the Food Security Policy Innovation Lab. Although this 'policy' kaleidoscope can be spun around as many factors are relevant to other areas, these represent the primary determinants for each stage.

Agenda setting

- A focusing event forces the government to address an issue
- There are powerful advocates pushing for this issue
- The issue needs to be relevant for the county (even when gone underappreciated, such as the scale of malnutrition in some cases)

Design

- "Chosen" problems (vs pressing ones) allow policymakers more time for analysis
- Ideas and beliefs about the given issue
- How advocates weigh related costs and benefits

Adoption

- The fewer veto players, the quicker the policy change
- More powerful advocates than opponents
- The nature of the policy, including its relationship to broader country strategies and required level of judicial engagement

Implementation

- The institutional capacity, including technical and administrative capacities, of the institutions responsible for the policy
- The availability of needed budgets
- The stability of institutional leaders supportive of the policy change
- The commitment of policy champions to keeping momentum

Evaluation and reform

- How veto players and champions react to evidence on outcomes and impacts
- Changes in available financial resources

Kaleidoscope Model has a Suite of Tools

- Measurement table
- Policy chronologies
- Policy domain mapping
- Circle of influence graphics
- Hypothesis testing

You can use these tools to be retrospective and can also use them to be predictive.

EXERCISE

Working in your policy issue groups, consider how these segments relates to the desired policy change in your country.

Using the tool, and the other analyses you have been presented with, discuss together and record your thoughts on the following questions in your context.

Questions:

1. What stage the country is in related to this issue?
2. What has already been accomplished and are there any gaps that need to be addressed?
3. What has been the most significant determinant to change or hindrance?
4. What might be steps to address this constraint, or if surmounted what might be an upcoming constraint?
5. Is there anything the USG can do to contribute to positive change?

In Closing

Think about all the segments of the Kaleidoscope model and decide if your country/policy issue is indeed in the segment you originally selected. Would you stand in the same space or move and why?

With the additional information you have on policy change, consider these questions:

- Why do you think this is the right position for this issue?
- Are there explanations from these models that help to explain this status?
- Do these approaches help you to understand constraints to change in this policy area?
- Do these approaches help you to think about what might need to change in order for this policy to move along the continuum?

Resources

Kaleidoscope <http://ebrary.ifpri.org/cdm/ref/collection/p15738coll2/id/128953>

Video presentations <https://www.youtube.com/playlist?list=PLeqdWbb3KnJ8jEfp0AAvOpPpYoZRkqbLT>

Kaleidoscope Model of Policy Change: Applications to Food Security Policy in Zambia

<https://www.sciencedirect.com/science/article/pii/S0305750X18301232>

IFPRI policy seminar

<http://www.ifpri.org/event/what-drives-policy-change-insights-kaleidoscope-model-food-security-policy>

Brief

<https://www.canr.msu.edu/resources/conceptualizing-key-drivers-of-policy-change-an-introduction-to-the-kaleidoscope-model>

INSTITUTIONAL ARCHITECTURE PRACTICE

Objectives:

1. Identify who policy stakeholders are and understand their diversity and their interests.
2. Describe the roles and positions of stakeholders in AFS and how to do an analysis of stakeholders.
3. Recognize multiple viewpoints as important in getting to a policy solution.
4. Practice evidence-based dialogue to help reconcile different viewpoints.
5. Use dialogue to reach a policy compromise.

In your own life, you play various roles.

1. In the 2nd column list the various roles you play in your personal and business life
2. In the 3rd column, add some of the responsibilities you have in that role
3. Lastly, rank the roles/responsibility in order of decision making power with the role/responsibility you believe you have the highest decision making power as #1

Rank	What are the various roles you play in your personal and business life?	What responsibilities do you have in that role

Institutional Architecture refers to the structure of policy making and implementation processes.

- Formal processes include parliamentary legislation and actions, administration directives and actions, and judicial rulings and actions
- Informal processes may include public comment periods, arbitration, hearings, etc.
- Implementation is often influenced both by administrative and judicial enforcement actions, as well as social mores and institutions

Role Play

Roles - 10 minutes to prepare

- Read the role description
- Discuss together the key perspectives and issues for the role in the dialogue
- Identify the intended outcome important to you and your constituents

Role Play - 40 minutes

Be prepared to introduce yourselves and share an opportunity or concern that you have that you would like to discuss today.

EXERCISE

Debrief questions to consider following the role play segment:

1. In playing this role, what was important to you and how did it influence your dialogue choices to reach a solution?
2. Was your persona comfortable or uncomfortable in the dialogue process? What could have increased your comfort level?
3. How did the data influence your dialogue choices? How did different stakeholders respond to the evidence presented? Was there trust in the evidence?
4. Is there additional evidence or information that you would have found beneficial to your role? What was important to you?
5. Where did you feel most comfortable compromising? Where was compromise not an acceptable option?
6. Whose interests and incentives aligned with yours?
7. What did you think others could most afford to lose/compromise, more than they were willing to concede?
8. Consider the capacity of each of the stakeholders represented? Did your persona have the information and resources they needed to successfully participate in this policy-making process? What else might they (you) have needed?
9. What did you learn through the role play process?

Large group discussion:

1. Did you (in your role as Cooperative Leaders, Private sector businesses) feel included in the process? What would have better positioned you to advocate for your constituency/position? In your country context, what promotes inclusiveness in the policy dialogue?
2. How important was the evidence to this process? Did the source and presentation of the evidence make a difference? In your country context, how do you think evidence can be most effectively used?
3. How important was trust in the dialogue? Was transparency important? In your country context are trust and transparency issues? In real life dialogue, are there ways to improve trust and transparency in your policy context?
4. What else did you learn?

INSTITUTIONAL ARCHITECTURE REVIEW

Objectives:

1. Demystify institutional architecture.
2. Assess stakeholder capacities and evaluate best practices to support their roles.
3. Identify steps that could be taken to strengthen the relative role of different stakeholders and lead to a more inclusive policy making process.
4. Increase effectiveness in policy engagement with local actors and governments.

Reflect

Take a moment and reflect about a recent accomplishment

- What steps did you take or put in place to reach this accomplishment?
- What role did Institutional Architecture play in your success?
- What were the systems you relied on to accomplish this?
- What challenges did you have and how did you approach and address the challenges?

Institutional Architecture Assessment

Step I: Mapping of Institutional Architecture for Policy Change

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

Step II: Capacity of Food Security Policy Change

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

- **Policy Element 1: Guiding Policy Framework**
 The capacity and effectiveness of the legislative process and the extent to which the relevant laws, regulations, and policies governing the policy development process are transparent and predictable.

- **Policy Element 2: Policy Development and Coordination**
 The capacity and effectiveness of the institutions and entities which initiate and develop food security and agriculture policy and the relationships between them.

- **Policy Element 3: Inclusivity and Stakeholder Consultation**
 The capacity and effectiveness of the process of consultation with key groups critical to the food security sector and the extent to which the different groups are engaged, including across government, the private sector and among non-governmental organizations.

- **Policy Element 4: Evidence-based Analysis**
 The capacity and effectiveness of the institutions, processes, and forums responsible for collecting data and the extent to which evidence is used to inform or revise policy change.

- **Policy Element 5: Policy Implementation**
 The capacity and effectiveness of the organizations and institutions that have direct responsibility for policy implementation. It also includes the extent to which the mechanisms for coordination and management are functional and used.

- **Policy Element 6: Mutual Accountability**
 The effectiveness of the process by which multiple partners (such as government, donors, private sector and civil society organizations) agree to be held responsible for the commitments that they have voluntarily made to each other. It relies on trust and partnership around shared agendas. Mutual accountability is supported by evidence that is collected and shared among all partners. The principle of mutual accountability is expected to stimulate and broaden the practice of benchmarking, mutual learning and harmonization of national development efforts, while encouraging a greater level of trans-boundary cooperation and regional integration.

Step III: Summary Conclusions and Recommendations

The third part of the methodology produces conclusions based on findings from Parts I and II, and develops recommendations for future action.

More than fourteen (14) Institutional Architecture Assessments were conducted across the Feed the Future countries between 2014-2015. These are good sources of information on the stakeholders in a country and some of the strengths and weaknesses of AFS decision-making. However, these studies have not always been used.

Under the GFSS a self-assessment approach has been developed where country stakeholders are brought together to assess the status themselves and develop their own plan of action to improve the country's AFS Institutional Architecture (IA). The idea is that they will be more committed to these changes and steps if they understand the ideas and commit to each other to make change. It is important to ensure the right people are included in this process – those who are important to AFS policy and can influence change.

EXERCISE

Working at your tables, you have been assigned two of the elements.

Together as a group:

- Discuss the key information for your respective elements
- Decide whether you think you have an adequate Institutional Architecture in this element or whether there are improvements that could be made
- Record your key information on the chart paper

Select someone from the group that has not presented yet, to share your discussion, including your recommendations for improvement in this Institutional Architecture element, with the larger group.

You will have 30 minutes for this exercise.

IA Self-Assessment Methodology

Using the recorded experience from Africa Lead II activities in Kenya, we want to consider:

- What was the objective of this meeting?
- Who was involved in the process?
- Did you see any connection to the IA methodology discussed in the group work?
- Did the participants see it would benefit their work?

Video link: <https://www.agrilinks.org/post/strengthening-foundation-food-security-kenya>

Questions/Points we need to consider as you work through IAA.	
<p>Engage</p> <p>Who is the appropriate person to engage? When is the appropriate time to engage? Who should be the person interfacing? (Political Economy) Who do we need to consult with and when?</p>	<p>Interest and Capacity</p> <p>What tools for the context and what are the milestones? What is an appropriate level of ambition, what can we really accomplish, in the life of the project? Long-term? Short-term? Where do you invest your time and money?</p>
<p>What's next</p> <p>What do I need to do now? What are the various stakeholders' capacities? What skills do they need, capacity building? What skills do you need to invest in the different policy groups?</p>	<p>Appreciate Diversity</p> <p>Identify ways of moving into a state of action Appreciate various roles to move action forward How can gender, disadvantaged groups, and other cross-cutting issues be addressed through approach in IA? Develop strategies of working with others to create a solution DRG office Civil Society</p>

Milestones

This performance indicator measures the number of milestones in improved institutional architecture for food security policy reform. This indicator builds on investment in an understanding of food security policy Institutional Architecture (IA) based on assessments conducted in multiple countries. (1) Fintrac

https://agrilinks.org/sites/default/files/resource/files/EAT_CrossCountry_Study_031815_web.pdf

In this indicator, Institutional Architecture refers to ‘the country’s capacity to undertake transparent, inclusive, predictable and evidence-based policy change’. (2) GFSS Implementation Guidance for Policy Programming

https://feedthefuture.gov/sites/default/files/resource/files/GFSS_TechnicalGuidance_Policy.pdf

Further discussion of IA in relation to the systems, organizations, processes, and relationships that influence the food security policy development process is available. (3) Africa Lead.

Institutional Architecture Assessment for Food Security Policy Change: Background Information

A milestone is a ‘positive change’ in a country’s agricultural and food security policy Institutional Architecture. A change will be considered positive when it fits within a theory of change that describes how the change will lead to improved policy outcomes within the country’s or region’s GFSS plan.

EXERCISE

Working at your tables, discuss a common challenge in your policy area and identify according to the Institutional Architecture Assessment methodology what might have been missing and what were weaknesses and strengths of the different stakeholders.

Reflect on what has been discussed. For your issue:

1. Have you overlooked or missed that could hinder reaching an outcome/commitment?
2. Do you think you know their capacities, knowledge, bandwidth, financial and institutional viability? What should you know that you do not already know?
3. What is your role as donor in Institutional Architecture? For your issue, provide a set of options as to how you could deal with the Institutional Architecture challenges? For example, are there capacities of organizations that you can build? Can you support greater inclusivity in the policy dialogue?

Share your results within your group. Gather the recommendations for donor support to Institutional Architecture to share with the larger group. Chart your responses.

Select someone from the group that has not presented yet, to share your assessment with the larger group.

Resources

William & Mary Research, USAID Listening to Leaders

http://docs.aiddata.org/ad4/pdfs/Listening_To_Leaders_2018.pdf

Kenya Africa Lead <https://www.agrilinks.org/post/strengthening-foundation-food-security-kenya>

IAA for Food Security Policy Change: Background Information <https://www.africleadff.org/wp-content/uploads/2018/04/IAA-Background-Note1.pdf>

REFLECTION DAY 2

Reflect on the following:

What was your key takeaway from the role play that you want to apply in future dialogues?

Which stakeholders do you want to increase your relationships and networking?

Who are you going to share your learning on Institutional Architecture with?

How can the Policy team support your efforts in inclusive dialogue with multiple stakeholders?

What successes in stakeholder development can you build upon?

DAY 3

POLICY AGENDA IN PRACTICE

Objectives:

1. Observe the role of policy research evidence in articulating policy approaches.
2. Be exposed across the policy Areas to entry points for policy change.
3. Articulate why evidence can lead to improved policy results of GFSS objective and how it supports potential solutions and best practices.
4. Assess the resources and evaluate the evidence that would support a policy (the Science behind the Policy).



Sharing the Evidence on Social Media

Think about the policy issue you are working on and the role of evidence.

- What is some strong evidence to support the policy change?
- What was the source of the evidence?
- What does the evidence say will be the positive results of the policy change?
- Why does that matter to me?

A few tips for writing a social media post:

- Talk to people not at them - write in real time response
- Keep the language conversational
- Incorporate newsworthy content that people want to share
- Use imperative words (do something)
- Use visual language (create an image)
- You - bring audience in
- How-to phrases
- More verbs, less nouns
- For Twitter, 280 characters

Write a post and include, #USAIDAgPolicyCourse, #PolicyChange, #DevelopmentImpact

Categories of research

There is a need for all three categories of policy analysis noted above. Each play an important and synergistic role in generating policy impact.

Reactive

Addressing Known Barriers

Discovery

Some conclusions:

1. There is an important role for both demand-led and researcher-led policy research.
2. Good agricultural and economic databases in countries are fundamental to good policy analysis — the ability to provide evidence-based policy guidance in response to government priorities requires long-term efforts to collect and analyze data — that's where evidence-based policies come from.
3. The source of the evidence may be important; local sources may sometimes be weighted more heavily and policy makers may want evidence that is specific to their context.
4. You will only know the evidence if you talk to researchers, read the papers, and listen to the experts.

Sector Specific Policy Expert

Select 2-3 policy areas you would like to learn more about. These cases outline policy changes across the different policy areas. As you explore these cases with experts, consider the role of evidence as one of the possible determinants of how that policy area became part of the policy agenda and how change occurred.

You will have 20 minutes at each of the cases you select to visit. The following questions are provided on policy area cards on your table. Take the cards with you as you visit the various areas.

Questions

1. How did this policy issues become part of an actionable policy agenda?
2. What was the relevant problem this policy results was addressing?
3. What was the role of evidence in change in this policy area?
 - a. Why was the evidence perceived as reliable?
 - b. Why was the evidence convincing to the stakeholders and the decision-makers?
 - c. Did the source and form of the evidence make a difference for the decision-makers?
4. If evidence did not play an important role, what was the major determining factor for policy change?

Reflect

Consider your own policy issues that you are working on this week and answer the following:

1. Do you know any research on this issue?
2. Is there evidence specific to your country/area?
3. Is the evidence reliable and how do you know?
4. Do the stakeholders in your country trust this evidence?
5. Brainstorm how you might get better evidence.

DEVELOPING A POLICY AGENDA

Objectives:

1. Describe a prioritized policy agenda and how to get there.
2. Describe entry points to get an issue as a priority on the policy agenda.

EXERCISE

On the table are board games with player pieces and directions. While a game is not a perfect representation of the process, it does provide a method to explore the various opportunities, challenges and realities in developing a National Agricultural Investment Strategy. On the pathway towards a National Agricultural Investment Strategy (NAIP), everyone starts out on the process at the same point on the board. The end goal is to have an inclusive, budgeted, transparent NAIP.

At your table is the board game to play the game together.

1. Select a playing piece.
2. Each person will roll the die and move the corresponding number of spaces on the board, beginning with 1.
3. If you land on a card space you must answer the question on the card with your team.
4. The person whose birthday is closest to today goes first.

Debrief together:

1. How did the cards impact your movement?
2. Consider some of the situations on the cards you drew, what could you do to prepare to offset the potential for challenges and setbacks?

Setting priority policy agendas

The initial questions we want to be asking ourselves, our teams, our stakeholders are:

1. What is the current policy context? Does the government, local and national branches, have priority policies related to your objectives? Where do you find this?
2. Do those priorities match with what you understand to be the policy changes to address the major policy constraints/barriers?
3. If not, does the evidence exist as to why this policy change rather than another should lead to your objectives?
4. Is the evidence sufficient to build confidence amongst your stakeholders?
5. Who in the government or what other stakeholders might support the policy critical to reach FTF-GFSS objectives?
6. How can you have both (win/win) or more? What are the trade-offs to accomplish both?

Kaleidoscope Model - Setting the Agenda

Three Variables in Setting the Agenda

- **Relevant problem for key segments of population**
Certain issues are more relevant in certain areas than others. Having evidence doesn't always get it on the agenda, you need the push of public will.
- **Focusing Events**
These focusing events create the opportunity that some type of critical juncture, or punctuated equilibria could occur. In the literature on historical institutionalism, "critical junctures" are periods when major reforms are possible in the midst of long periods of inertia and biases for the status quo, and they are typically linked to exogenous factors that trigger a particular development trajectory.
- **Powerful Advocacy Coalitions**
These actors advocate and are powerful in the sense of political power, financial power, and civil society organizations. You need advocates pushing something onto the agenda and taking advantage of the window of opportunity on this focusing event to push the agenda forward.

National Agriculture and Food Security Investment Plans (NAIP)

EXERCISE

Discuss together in your policy issue group.

1. Is this policy issue already on the government's policy agenda? Government is not a monolithic stakeholder; there are different Ministries, Departments, etc. as well as personnel with different motivations and decision-making power. Know your country policy environment and the decision-makers.
2. If this issue is not on the agenda, why not? Was this at one time in the past on the government's agenda? What happened?
3. What might be a strategy to get this issue on the policy agenda (or back on the agenda) based on the information that was provided in this session?
4. Is there a tradeoff across policies? Our priorities may not be the government's priorities? Is there another policy step that might be of higher importance to the government that we can add to the agenda to raise importance to the issue we think is a priority?

FIELD TRIP

Objectives:

1. Take learning outside the classroom.
2. Apply understanding of policy in a different context.
3. Meet policy stakeholders and be exposed to their policy agendas, institutional architecture and mutual accountability.

Consider what we have been discussing this week and questions you have in making the theory practical. What do you want to learn from this conversations? What can this policy maker provide you in examples that align with your own policy issues you are addressing?

Questions to consider asking in your interviews.

- What interest do you represent for the stakeholder?
- What is your role in the Policy making environment?
- What tools do you use to influence?
- What is your primary audience?
- How do you try and ensure you are reaching your primary audience?
- How do you influence dialogue and actions in the policy area?
- What are some means used to ensure that different voices in your constituency is heard as equally as possible?
- What evidence do you rely on and what is the source of the evidence?
- Do you feel evidence, trust, transparency, inclusiveness important to the dialogue process?
- This policy will benefit my X because of this?
- How do you create or foster trust among stakeholders?
- How do you think evidence is best communicated?
- How do you ensure there is follow through; what are the mechanisms of accountability you use?

REFLECTION DAY 3

Following your visit:

How do these organizations fit into a policy system in terms of the three-legged stool?

What did they see as the policy agenda developed across these organizations?

What do they draw their influence from?

How do they influence towards the policy agenda they want?

What did you observe about their ability to communicate?

How did they articulate their constituency?

What was the environment they created for dialogue?

DAY 4

FIELD TRIP DEBRIEF

Questions

- What were some of your observations of how they aligned Policy Agenda, Institutional Architecture and accountability?
- Power dynamics - what is their influence? What do they draw their influence from?
- How do the policy stakeholders use influence as they represented groups of constituents?
- Do they use evidence and how have they found it beneficial?
- What is something you can apply in your own context?
- What is something you learned or observed that you want to share with someone else that could benefit one of their issues?

MUTUAL ACCOUNTABILITY

Objectives:

1. Be exposed to accountability mechanisms of JRS and NAIP.
2. Experience mutual accountability and institutional architecture as a solution for complex policy problems.
3. Recognize multiple viewpoints as important in getting to a policy solution.
4. Practice writing and evaluating smart agreements that include commitments and build accountability for all stakeholders.
5. Use dialogue to reach a policy compromise.

EXERCISE

What do you believe is the most important priority necessary for mutual accountability to be successful and why? Write it on an index card.

When I say “go”, you will stand up and shout out your top aspect. There are two goals:

1. Find the others in the room with the same opinion and group yourselves together around a common aspect.
2. Convince others to join your group.

You have 3 minutes.

Mutual Accountability

A process whereby two or more partners hold each other responsible for commitments that they have voluntarily made to each other. Our experience shows that a partnership, including between governments, is far more likely to deliver successful outcomes when there is an expectation of mutual accountability between partners.

When agreements are reached, it is important that we have clarity around:

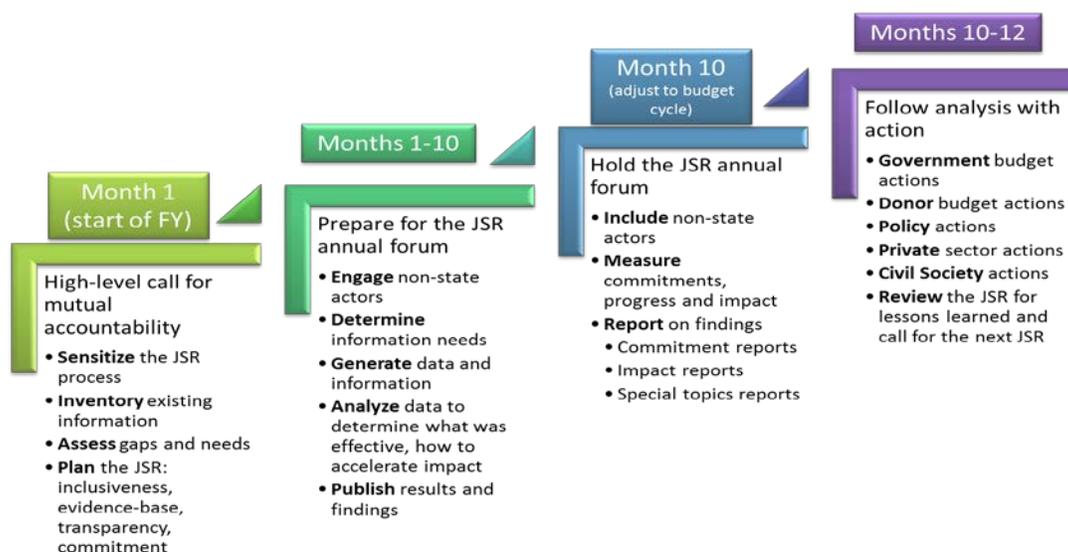
- What are smart commitments that implement that solution
- What are the various commitments by donors, governments, and private sector
- Open discussion about level of clarity and specificity

Four Components of Mutual Accountability

- Agreed-upon plan
- Voluntary and public stakeholder commitments
- Stakeholder accountability
- Joint accountability for sector progress

Joint Sector Review

JSR meetings bring together participants from government and non-state actor groups, such as farmers' organizations, civil society, the private sector and development partners, to review agriculture sector plans and performance and assist in setting sector policy and priorities.



National Agriculture and Food Security Investment Plans

- Outlines country's key target areas for agricultural investment and
- Outlines requirements for private sector investment
- Build from the broader goals of a country's national strategies
 - Identifies key investment areas
 - Translate these areas into specific policies, national programs, and subprograms
 - Contains clear targets and resources required

Drafting **SMART** Commitments

Specific

Measurable

Achievable

Relevant

Time-bound

EXERCISE

Using the example agreement samples provided, identifying these key components of SMART agreements:

1. What does an agreement include?
2. What SMART components are evident?
3. What might be needed for the agreement to be effective for policy change?
4. Does agreement show progression of actions?
5. Are commitments clear and milestones articulated?
6. With this agreement, in what ways/areas can you facilitate accountability?

Debrief in plenary group.

In your role play roles

- Discuss what is most important to your role to include in a SMART commitment
- Draft a SMART commitment to take back to second role play group
- You have 15 minutes

Draft:

Role Play

Agreed commitment and joint statement

Debrief

1. What did you observe in the process of reaching an agreement that was different from the first round of role play?
2. In this segment, what was important to you and how did it influence your dialogue choices to reach an agreement?
3. Who influenced you in your decision and how?
4. What would have better positioned you in this role to represent the needs of your constituency?
5. Based on what you heard, how did dialogue and actions influence you to work towards mutual benefit?
6. How do you see yourself using the dialogue process to achieve or make significant progress towards a solution?
7. How can you mitigate potential stalemate?

MOVING THE POLICY AGENDA FORWARD: WHAT IS THE ROLE OF THE USG?

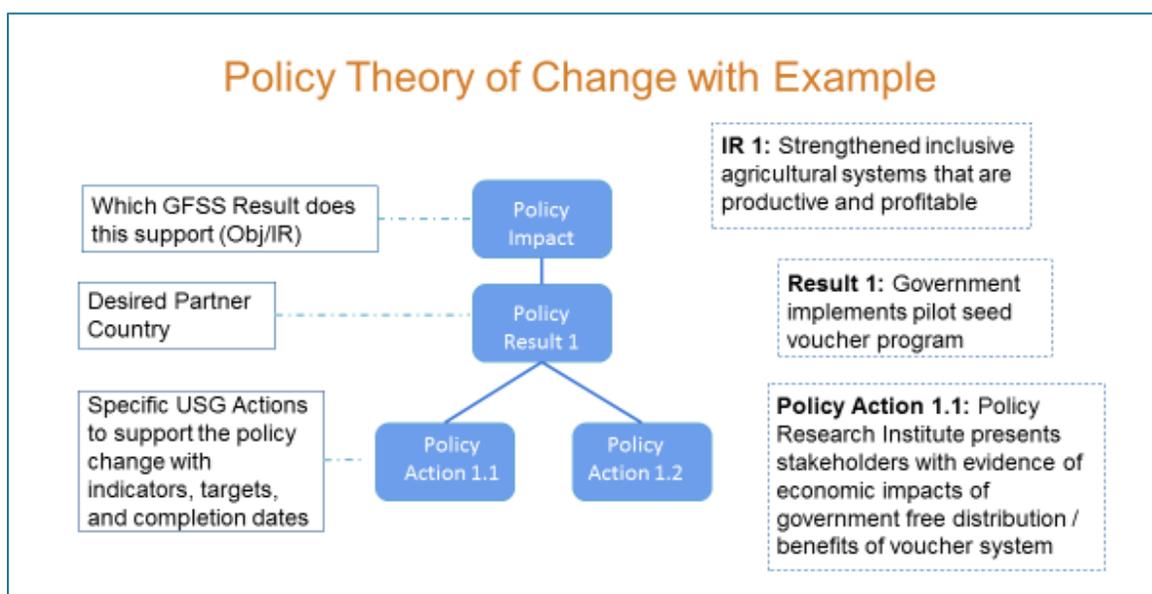
Objectives:

1. Succinctly summarize the policy result and actions and describe theory of change.
2. Understand how to facilitate and support policy change and what entry points are for USG.
3. Understand integrating policy support and considerations across the FTF portfolio and other offices (DRG, education, WASH, etc.).
4. Outline a plan through the Policy Matrix, including key components and stakeholders.

Defining Policy Results

- Empirical evidence and understanding of policy environment (e.g. Landscape analysis) reveals policy constraints to achieving your agriculture / food security objectives
 - Example: Ag productivity hindered by lack of access to hybrid seeds. Government distribution of seeds disincentives private seed company investment
- Define the Policy Result carefully - achievable, support / commitment by stakeholders involved in the policy process within the time frame of the strategy
 - Example: Government gets out of seed business
 - Example (more specific): Government implements voucher system for farmers to source seeds from private sector
 - Example (even more specific): Government pilots voucher seed system

Why is theory of change relevant for Policy?



Policy Matrix Outlines Theory of Change

- Theory of Change focuses more on understanding the system and its participants, and on learning rather than controlling.
- Policy Matrix is a graphic depiction of the priority policy agenda results that are necessary to achieve agriculture and food security objectives.

Questions to ask yourself:

- How to determine what the USG will do?
- What steps can the USG take to incentivize?
- How do facilitate but not substitute?

EXERCISE

In your table groups, brainstorm approaches you can take in your USG role to facilitate and support policy change based on your learning previous experience.

Policy Matrix

Policy Matrix Reporting									
	A	B	C	D	E	F	G	H	I
3	Country	Policy Area	Policy Sub-Area	Desired Partner Country Result	Rationale	Which GFSS result does this support (Obj/IR)	Specific USG actions to support the policy change with indicators, targets and completion dates	Significance/ level of policy action	Targets Timelines Indicators
4	Bangladesh	<i>Use the areas provided in the list or mark as "other" and provide an explanation in the space provided</i>		<i>Desired policy, legislation or regulatory change in the Policy Area</i>	<i>Reason a given policy is targeted - should be drawn from the policy problem analysis and include issues, obstacles & constraints</i>	<i>GFSS Objective or Intermediate Result</i>	<i>Planned actions/ measures to achieve results, including specific verifiable indicators for completion of actions with target dates</i>	<i>Minor milestone, major milestone, highest level achievement</i>	<i>When will action be completed? What is the indicator (evidence) of completion?</i>
5		Policy Area 1. Resilience and Risk Management Policy				Objective 2. Strengthened resilience among people and systems			
6		Policy Area 2. Agricultural Inputs				Objective 1. Inclusive and sustainable agricultural-led economic growth			
7		Policy Area 6. Agricultural Trade				Objective 3. A well-nourished population, especially among women and children			
						Objective 3. A well-			

See Handout for details

The Policy Matrix is a graphic depiction of the priority policy agenda results that are necessary to achieve agriculture and food security objectives.

What does the Policy Matrix achieve for you?

- Organizes and articulates USG/post food security policy program (Theory of Change)
- Helps you to prioritize policy actions
- Reports on achievements not captured in the FTF/GFSS MS
- Captures policy objectives across the broader portfolio, e.g. nutrition policy platforms; social protection systems
- Helpful tool in coordinating actions with other donors and stakeholders

Policy Matrix Reporting

- Articulates the desired Policy Results and the Actions required to obtain those Results (ranked by an estimation of magnitude of importance)
- Sets measurable policy actions and indicators/benchmarks
- Outlines who is integral to change
- Identifies when change should occur

Tips to Remember

- From Stocktaking analysis, identify priority issues to formulate priority Policy Results
- Specify clear and achievable Policy Results
- Set timelines carefully for Policy Results and Policy Actions - these will be used to measure country performance for the Policy Matrix Indicator
- Anticipate 'evidence' of performance/completion of policy action (build into policy mechanisms, identify verifiable indicators)

Policy matrices provide statistically valid:

- Progress categories
- Policy readiness index that is
 - Comparable across countries and over time
 - Predictive of policy progress
- Policy difficulty index that is
 - Consistent across countries and time
 - Predictive of policy progress
 - On same scale as policy readiness
- The index scale is “unique” as a fundamental measure

Additional statistics provide additional information

Progress = f (Readiness - Difficulty)

EXERCISE

Policy Issues Communities group

Work together, articulate your issue, results, and actions through the Policy Matrix focusing on specifying a precise Results and USG Actions using the information that you have learned to date.

Give attention to:

- Be able to articulate why the Policy Results is achievable
- Be clear about what the USG roles will be
- Outline the causal pathways
- Consider whether there are important Institutional Architecture changes that are necessary for this policy result to be successfully achieved

POLICY IN DYNAMIC ENVIRONMENTS

Objectives:

1. Recognize changing policy environment (i.e. diversity, fragility, instability, dynamism) and ways to account for risk.
2. Understand how 'soft skill' or 'soft system' policy investments can help counter corruption, bolster resilience, and enhance governance in troubled/fragile environments. (*links w/ policy programming, stakeholder engagement, and Peacekeeping & Rule of Law*).
3. Know how agriculture can be an entry point to policy change in fragile environments.

Reflect

How does the environment around you affect your focus?

What environments increases your productivity? What decreases?

Fragile Environments

1. External changes/events in more stable environments: stressors can affect policy outcomes even when somewhat predictable (e.g. droughts, pest events, floods, elections) - these can create opportunities for policy change or set back other policies.
 - a. Can these events be foreseen?
 - b. Are there ways to take advantage of these events to leverage improved policies?
 - c. How can negative impacts be prevented or mitigated?
 - d. How do we adjust our expectations of policy change in face of these events?
2. What can we do in countries often deemed "fragile" facing complex emergency conditions where institutions are often altogether missing? How do we need to work differently compared to how we work in more stable environments?
3. Also need to recognize that policy change can be stressful in itself, even if everyone agrees on the need for it. Changing any policy creates **winners and losers**, relative and absolute. This in itself can lead to policy reversals or formation of new coalitions toward policies.
 - a. We need to account for the impact of policy implementation (e.g. compensation, social safety nets)

Investments in local systems can potentially mitigate disruption at the local level and as a result of national change. In fragile environments, investments in local systems may be the only option when there is no government capacity.

Resource

Jeff Hill – Fragile Environments Facing Complex Emergency Conditions
<https://www.agrilinks.org/event/ask-expert-ga-jeff-hill-supporting-food-security-policies-fragile-states>

Notes

Ending Drought Emergencies in Kenya

Kenya provides us an example of working to end recurrent drought emergencies.

Policy Challenges and Opportunities for Ending Drought Emergencies

- Leverage the moment – EDE as a distinct policy shift toward northern arid lands...that has already influenced other countries (Malawi)
- Devolution the great accelerator – but devolved policy and investment decision-making also presents challenges!
- Frontier Counties Development Council – provides an emerging solution and means of rationalizing policy/investment
 - Lamu, Tana River, Garissa, Wajir, Mandera, Marsabit, Isiolo, Turkana, West Pokot
 - Key entry point for USAID alongside county governments and governors
 - Investments in capacity building for policy and investment decision-making critical
- Ministry for Devolution and Arid and Semi-Arid Lands (2018)
 - New ministry, includes two state departments (Dev and ASALs) and key institutions (National Drought Management Authority and Counsel of Governors)
- Regional Trade and Other Policy – now being explored by USAID KEA
 - Impact of trade policy on food prices in ASALs, including during droughts
 - Analytics needed to validate and potential to link to cash (vs food aid)

Notes

Somalia Case Study

Entry Points for Policy Change

- Aid Coordination Architecture
 - New Deal Framework → National Development Plan → Resilience and Recovery Framework
- Private Sector Engagement / Dialogue
- Federalism / Economic Management
- IFI Re-Engagement
- Bilateral Engagement

Lessons Learned for Practitioners

- Statelessness ≠ lack of governance
- Approach policy change through a “political economy” lens
- Private sector engagement is crucial
- Whenever possible, link policy advancement to domestic priorities
- Leverage diaspora skills, influence, and resources
- Maintain a “Coalition of the Willing”: donors, multilaterals, private sector, NGOs

Notes

EXERCISE

In your table group, you will be assigned one of the following scenarios:

1. The country where you work experienced instability over the past decade; more recently the new government increased its agriculture budget and began a strategy planning process. However, unrest is increasing in some areas near the capital city.
2. Following the elections, the new Minister of Agriculture is tossing out the last Agriculture Strategy and Investment Plan and starting over.
3. The World Bank has issued a report that the country where you work has the worst corruption measurement, particularly the Ministry of Agriculture. It recommends that cooperating partners/donors do not work with government institutions until changes are made.

Based on your scenario, develop a plan for how to change your policy portfolio.

- You have a short policy matrix (consistent across the 3 groups)
- How can you mitigate impact?
- What are some mitigating actions you can take?
- What are some potential risks?
- How would you change the Objectives/Results and Actions in light of this current disruption?

Gallery Walk

- Hang your chart on the wall.
- Identify one person from your team to remain beside your group's chart.
- The remaining team members will rotate to the other two groups' stations.

REFLECTION DAY 4

Reflect on the following:

What relationships do you want to develop to increase opportunities for facilitating policy change?

What is your key takeaway from Mutual Accountability and who are you going to share your learning with?

What stories of success in policy change can you share that you can build upon?

What dynamic environment are you currently facing and what have you learned that you will be applying in that context?

DAY 5

PROGRAMMING FOR POLICY CHANGE

Objectives:

1. Articulate what a GFSS policy portfolio might look like.
2. Practice developing local solutions in the policy system.

Discussion

Experiences in programming and policy

Theory of Action

A Theory of Action is the delivery model for your Theory of Change. It describes how an activity, project or a program is designed and set up, articulating the mechanism through which the activities are being delivered and following the processes, in order to get, in the case of policy, to the policy actions and policy result(s) you seek.

A practitioner asks:

- Is the activity working through partnerships? Why will the partners succeed in sparking policy change?
- Is the activity offering technical assistance? To whom? Why will this theory of action lead to change?
- Is the activity supporting evidence gathering or advocacy? Is its evidence credible, practical and available to stakeholders and decision-makers?
- Is the activity's approach to policy change contributing to locally-led development and self-reliance? Is it enhancing agency of less powerful actors to lead in the future?
- How will you and partners, if applicable, know if you're making progress?

Programming for Policy Change

What is the role of the U.S. government to support local policy evidence development, discussion/debate and implementation? How do you best support efforts to integrate policy into the GFSS portfolio?

Depending on the policy system, some considerations that may apply include:

- Resource levels
- Configuration of stakeholders supporting or opposing change
- To what extent can you use existing activities to support IA development within your portfolio
- Opportunities to build linkages through joint training or evaluation that include local actors
- Programmatic options to work locally (government-to-government, local awards/subawards)
- Co-creation to form awards/subawards

EXERCISE

Working at your policy issue group, each person will develop a theory of action and turn that into a program approach for their policy area/result for the policy issue you have focused on this week.

- Use the chart paper to chart your theory of action
- You will have 20 minutes for this exercise

Report out at issue group table

Each person, take two minutes to report out on key aspects (NOT the whole thing) of your Theory of Action and programming plan.

Respond to the following questions in your report out:

- How did you program to support the desired partner country policy? Who were local partners?
- Where do you see your programs supporting IA and MA to sustain and expand those partner government policy results?
- Did you face programming tradeoffs between short and long term outcomes and how did you manage them?

EFFECTING SYSTEM CHANGE THROUGH POLICY

Objectives:

1. Recognize that many interventions will not be effective until there is a conducive policy environment.
2. Understand how policy change can bring about more sustainable change at the national level.
3. Discuss the tradeoffs in investing in national and local policy change versus service delivery and project approaches.
4. Be exposed to the role of policy decentralization as a component of implementation.

What is a system?

“A system is a configuration of interacting, interdependent parts that are connected through a web of relationships, forming a whole that is greater than the sum of its parts” (Holland 1998 in Hargreaves 2010).

- Unorganized (random) - generally characterized by extreme turbulence and volatility, in which there are no clear patterns of interaction between system parts or actors.
 - Organized (simple or complicated)
 - Simple organized - characterized by fixed, static, and mechanistic patterns of behavior, as well as linear, direct cause-and-effect relationships between system parts.
 - Complicated organized - leaders plan and coordinate activities of multiple teams or parts.
- Self-organizing (complex or adaptive) - characterized by massively entangled webs of relationships, from which unpredicted outcomes emerge through the self-organizing interactions of many parts or actors within and across system levels.

What is system change/systemic change?

- Systems interventions seek to change system-wide patterns of behavior among actors by changing underlying system dynamics, structures, and conditions.

Why is systems change a desirable objective?

- All ‘interventions’ will create changes but scale, dimensions and winners and losers will differ according to the type of intervention.
- Many interventions attempt to change behavior of a specific group of individuals or households (e.g. farmers growing soybean in this area or women with children under the age of 2 in these households)

- Changing policies at national and sub-national levels has the potential to effect change of many individuals and groups
- Not all policies result in desired change
- Not all behaviors can be changed by policies
- But when effective, policies will have the potential for more significant impact across a country.
- Decentralization of policy supports policy implementation
- Decentralization can provide opportunities for policy change at local level

Things to Take Into Account for Systems Change

- The value chain of the policy process
- Institutional Architecture
- Understand the optics of the policy process
- Evidence based
- Simple Message but solid content
- Pass the Litmus Test – let me see to belief
- Sustainability of the policy change
- Provide Spaces for dialogue with content

Resource

Hargreaves, Margaret B. "Evaluating Systems Change: a Planning Guide" Methods Brief. Mathematica Policy Research, Inc. April 2010
 Holland, John H. Emergency: From chaos to Order. New York: Basic Books, 1998
 Maximo Torero

POLICY COMMUNITIES

Objectives:

1. Outline useful components of a policy community - who, what, and how.
2. Outline what is needed, in support and resources to move the policy issue forward.

Mind Mapping the resources, people, and questions you have to address the issue you have been working on this week.

1. In the center of your chart paper, write the issue you have been working on this week in a few words.
2. Drawing lines from the center, add your responses to the following questions:
 - a. What is the progression of policy change needed to get the final resolution?
 - b. Who can help you with this issue and how?
 - c. What tools and resources are available that can help you move the needle on this issue?
 - d. Where can you find additional assistance?
 - e. What questions do you still have and need to answer?
 - f. What might have you need to consider or re-think with colleagues?
3. Use different colors for each questions responses.
4. Share your maps in your Policy Issue community groups.

EXERCISE

Plenary Group Discussion

1. How can we generating and maintaining a learning community together?
2. What is essential for you in a learning community?
3. How do you like to receive information?
4. What are you willing to commit to?

ARTICULATING THE IMPORTANCE OF POLICY AND CLOSING

Objectives:

1. Identify next steps to move the policy agenda forward for their issue; well-articulated policy matrix, 'row' with clear results, theory of change, specific actions, targets and indicators and a programming plan specified by mechanism.
2. Present an Elevator speech that articulates why policy is important and important to them.

EXERCISE

Identifying the next steps to moving the policy agenda forward for your issue:

- Clear SMART Result
- Theory of change backed by evidence
- Specific USG (joint with other stakeholders) actions, targets and indicators
- A programming plan specified by mechanism
- Specific next steps for this policy area

Return to your first elevator speech on Monday, and we will walk through the process again. This time we want to focus on what is key to communicate regarding your issue, the evidence, and what is your ask. Today in your elevator speech:

- Ambassador and BFS Policy team are the audience
- You want to convince the policy team that you have the greatest need and want to win the team's support of your efforts

Today, you will end your speech with:

- One step you will take when you return to your job to move your policy issue agenda forward
- One thing the policy team can do for you to contribute to the Team's Action Plan
- One thing your community of practice team can provide in supporting you over the next 2-6 weeks

Let's gather together to share our learning his week and our plans and next action steps.

Biographies



David Atwood serves as food security policy advisor in USAID's Bureau of Food Security. He retired from the Senior Foreign Service with USAID in 2011, having served in a variety of roles managing expert development teams, including Director of Africa Bureau's Sustainable Development Office (2008-11), short-term Deputy Director in Haiti of the USG Office of Earthquake Response Coordination (2010), acting Deputy Assistant Administrator of the Europe and Eurasia Bureau (E&E) (2007-8), and Director of the E&E Office of Democracy, Governance, and Social Transition. Earlier positions include long-term assignments in Mali, Bangladesh, and Egypt focused on agricultural development, private sector development, and economic policy, as well as earlier AID/Washington assignments in the Africa Bureau and the Global Bureau. Prior to his USAID experience, Atwood served as an employment counselor in Providence, RI and Peace Corps volunteer in the Central African Republic. He holds an MS in National Resource Strategy from the Industrial College of the Armed Forces, an MS in Agricultural Economics from Michigan State University, and a BA in Anthropology from Brown University. He has written and/or published in the areas of land tenure reform, food security, famine, coalition building to reduce hunger and poverty, and engaging Muslim organizations in development.



Patterson Brown is the Trade, Investment and Governance Advisor in USAID's Bureau for Food Security, providing leadership for the Agency's engagement on agricultural trade-related efforts. Patterson has been with USAID since 2005, joining as an International Trade Specialist and subsequently as USAID's Humanitarian Advisor to the European Union based in Brussels, Belgium. Patterson has worked in over 15 countries in Sub-Saharan Africa managing field level programs as well as helping the African Union advance continental level agricultural policy. Prior to USAID, he worked at the Commerce Department where he counselled small and medium sized businesses on international trade agreement compliance and customs clearance. Patterson holds a Master's Degree from George Washington University in International Trade and Investment Policy, is from South Carolina, and currently lives in Virginia with his son and daughter.



Kristy Cook has been working for 18 months with the ARP/Policy Team in the Bureau for Food Security. She has over 15 years of experience in the multidisciplinary field of food security, providing cross-sectoral integration in gender and nutrition to USAID agriculture strategies, programs and monitoring and evaluation. She worked with USAID's Africa Bureau at the inception of Feed the Future, provided support to the development of the Uganda, Tanzania and Malawi FTF strategies, and contributed significantly to the development and implementation of the Zambia Feed the Future Strategy serving as the Zambia inter-agency FTF coordinator from 2010-2013. She worked with the Office of USAID's Foreign Disaster Assistance, USDA's Economic Research Service and many international organizations including the European Union and German Technical Assistance. She has a Ph.D. in Agricultural Economics from Cornell University, a Masters in Economics from the University of Dar es Salaam, and an MA and BA from Stanford University.



James F Oehmke is a Senior Food Security and Nutrition Policy Adviser at the US Agency for International Development, Bureau for Food Security. The Bureau has responsibility for leading the US Government's Feed the Future Initiative to end hunger and extreme poverty. Dr. Oehmke's is point of contact for agricultural and rural transformation, mutual accountability, nutrition policy, and gender policy. Selected documents are available on ResearchGate including outputs from The Rural Economic Transformation and Mutual Accountability ResearchGate projects. Dr. Oehmke previously served as the CEO of the George Morris Centre for

Agricultural Policy in Guelph, Ontario, Canada and he is Professor Emeritus at Michigan State University. He has a B.A. in Mathematics and Economics from Yale University and a Ph.D. in Economics from the University of Chicago.



Christopher Shepherd-Pratt has been with USAID since 2002. He currently leads the policy practice in the Bureau for Food Security and is Chair of the CAADP Development Partners Coordination Group. He brings a strong policy background to his current position, having served as a Director on the staff of the National Security Council under Presidents George W. Bush and Barrack Obama, where he helped develop the Feed the Future Initiative and represented the United States to the G-8 Food Experts Group, supporting the launch of the L'Aquila Food Security Initiative and the Rome

Principles for Global Food Security. His policy background is complemented by his experience as USAID's representative to the Executive Board of the World Bank Group, and the governing bodies of the United Nations Food Agencies in Rome and the Committee on World Food Security. Prior to joining the Bureau for Food Security, Chris served as Senior Policy Advisor the USAID Administrator. Chris is married and holds a Master's degree from the Fletcher School of International Law and Diplomacy.



Emily Weeks is the Natural Resource Management and Land Tenure Specialist for the Policy division in the Bureau for Food Security. Her Ph.D. focused on developing decision making tools for improved land use planning in degraded landscapes. She has led a range of international projects on food security, natural resource and water management, and resilience projects at the local and global scale and has extensive experience working in the Pacific. Prior to her work at USAID she worked as an Assistant Director at Landcare Research in New Zealand. During this time she designed and implemented multidisciplinary research projects in sustainable land and

resource management and climate adaptation.

ANNEX

Policy Areas

Policy Area: Agricultural Inputs Policy



DEFINITIONS

- **Agricultural Inputs:**
 - Anything that increases on-farm output, but could include inputs throughout the value chain
 - Major policy focus on inputs for farm production: fertilizer, seed, mechanization, pesticides, etc.
- **Policy:**
 - laws, treaties, regulations, statements, administrative actions, and funding priorities. Policy includes the approaches, implementation processes, activities, and accountability mechanisms that guide government actions and enforcement at all levels
- **Agricultural Inputs Systems or Markets:**
 - Relationships among farmer purchasers and the other actors (agricultural researchers, foundation seed providers, importers, distributors, wholesalers, retailers/agrodealers, extension providers) in the agricultural input value chain.



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Policy for Agricultural Inputs

Extracted from Feed the Future Interagency Guide for an Enabling Policy Environment, 2013.

Policy Objective

Enable the private sector to develop, commercialize, and broadly disseminate improved inputs to smallholders, to increase smallholder productivity and incomes.

Policy Challenges

Governments have been unable to provide, safe, high-quality, timely, reasonably priced, and reliably available inputs to farmers in most FTF countries; and private firms have been constrained from full participation in the supply market. Specific challenges include:

- Government distrust of both private sector and farmer ability to negotiate a market-based input economy
- Clear delineation of government-provided public services (e.g. R&D, some extension) versus private services (e.g. input delivery, extension related to specific input use)
- Government control of input supply which crowds out private investors while not providing farmers what they need
- Lack of competition in input supply caused by corrupted or flawed government import and/or tender policy

- High input prices that increase the cost of production and reduce the profitability and competitiveness of agriculture
- Failure of country policies to implement regional protocols for more open private seed availability than those countries have already agreed to in regional policy protocols
- Lack of government and business association standard setting and enforcement functions (e.g., regarding adulterated or inappropriate inputs)
- Government attempts to lower costs through high-cost subsidies that crowd out more appropriate government provision of public goods and services
- Low input efficiency (yield response) due to limited smallholder investment in soil management and lack of practices that harvest rainfall and build soil organic matter Women's constraints to greater use of improved inputs being adequately addressed
- Lack of policies and regulations restricts farmer access to modern agricultural innovations and inputs including: safe, less toxic pesticides/biopesticides and fertilizer products; new seed varieties and livestock genetics
- Integration of greater fertilizer availability with security policy and capacity of host countries to control fertilizers that can be used for explosive devices
- Lack of land security and management of smallholder risk when adopting new inputs are addressed in other policy areas in this guide.

Causal Analysis

The rural poor farmers, who are the potential and targeted beneficiaries of the FTF program, do not have access to and are significantly underusing modern inputs, particularly subsistence farmers. Inputs policy is critical to ensuring farmers, particularly small holders, have access to safe and viable inputs such as improved seed varieties, organic/chemical fertilizers and pest management tools, and genetic and veterinary services for smallholder and pastoralist livestock. This area includes soil management systems needed to increase rainfall capture and soil organic matter content. Because agricultural policy affects human health and soil and water quality and availability, inputs policy development must occur alongside food safety and environmental policy.

Policy changes will increase smallholder access to improved inputs and information on the effective use of these inputs and lead to increased smallholder productivity and incomes, and reduced poverty. The shift from government to commercial supply will increase investment and the supply of the improved inputs that farmer's desire, and help provide timely, high-quality, improved inputs.

Improved agricultural input policy enables public-private partnerships and the private sector to accelerate the development, commercialization, and distribution of improved inputs to smallholders. Competition between suppliers ought to supply the most appropriate inputs at the most affordable prices. Improved inputs and land management practices will increase smallholder land and labor productivity, allowing smallholders to derive greater income from farming and to diversify into other income-generating activities, accelerating household income growth and poverty reduction.

Illustrative Actions That FTF Will Support

The FTF policy agenda on inputs seeks to bring about a market-based, private sector-led, competitive input-supply sector where competition keeps costs low, and competition combined with appropriate levels of self- or government-regulation guarantee that only appropriate inputs are provided in the market. Actions will need to conform to international agreements, standards, and procedures (such as Codex Alimentarius). In addition to the specific policies included in

FTF country and regional policy matrices, FTF will support general policies to remove constraints to agriculture input policy such as:

- Government actions focused on regulatory, oversight, research, and private sector enabling environments while reducing government action in activities such as the provision of seeds and fertilizers, agrichemicals (including organic products), and livestock production inputs (e.g. genetics, veterinary medicines, etc.)
- Practical lower-cost methods of reducing input costs that do not involve government subsidies and expand farmer access to safer, more effective inputs. Practical and workable measures that lead to increased supplier competition.
- Quicker registration, certification, and approval processes that are in line with regional and international science-based agreements,
- A science-based biosafety regime that ensures widespread access to the effective agricultural production technologies.

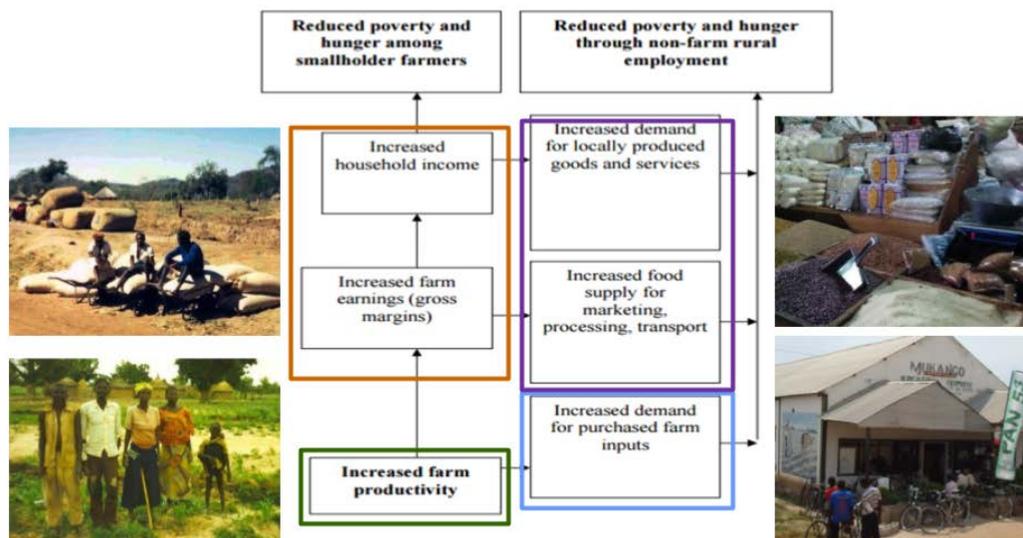
Recommended Country Level Analysis to Engage Effectively in This Policy Area

The FTF Guide promotes improving the capacity of FTF governments to conduct agriculture input analysis. A systematic appraisal of the barriers to agriculture input policy should be undertaken or reviewed if completed by the USG or other development partners or counterparts as input to refining the policy matrices. Analysis should include an assessment of market demand, trade flows, agro-ecological data and maps of agro-dealer locations, fertilizer and improved seed usage and quality data and maps, inputs markets, and input value chain analyses. Farm demand analysis in targeted geographic areas will help inform demand-side considerations and related policy actions. Many host country institutions and personnel have the expertise to conduct this analysis; this is an opportunity to help strengthen country capacity.

Source for this material: Feed the Future Interagency Guide for Policy Enabling Environment, 2013.

Slide excerpts provided by Policy Team

Impacts of inputs/technology occur through systemic change



Source: Pathways diagram from Oehmke et al. 2010; photos from W. A. Masters

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Principal results – examples of poverty impacts

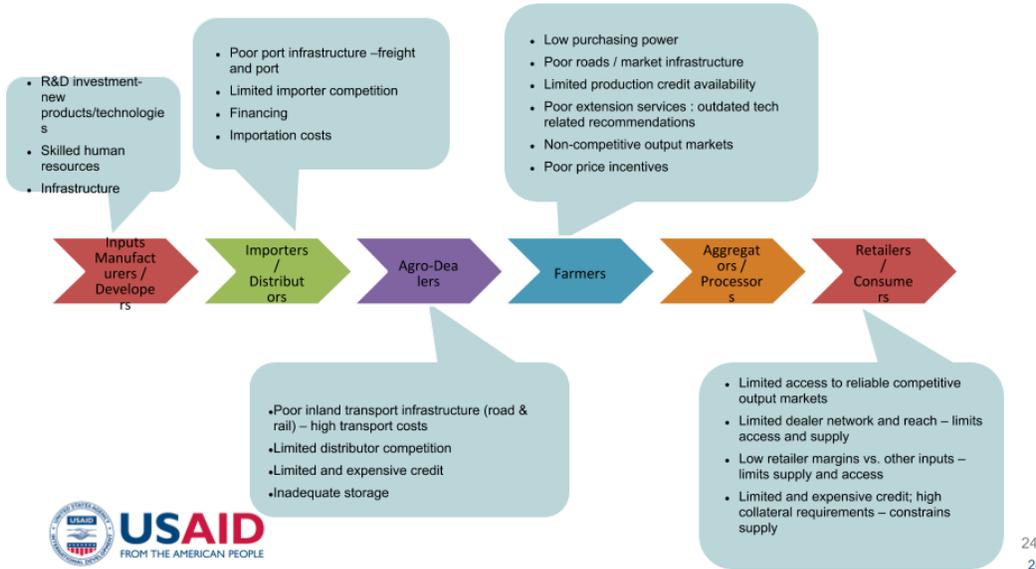
Authors	Location	Subsector	Method	Outcome
Research on production agriculture				
Asfaw, Kassie, Simtowe & Lipper, 2011.	Tanzania	Pigeon pea public	Ex post adoption and poverty reduction	Adoption of improved pigeon pea varieties significantly decreased inequality & severity of poverty, by 4.4–8.1 percentage points
Larochelle, 2015	Uganda/Rwanda: Common beans	Common beans CIAT	Ex post adoption and poverty reduction	Impacts on poverty were 0.4% in Rwanda and 0.1% in Uganda, proportional to small area & small part of diet
Oehmke et al., 2011	Kenya	USAID supported productivity programs for maize, livestock and vegetables	Ex post analysis using Tegemeo panel of HHs	Between 2004 and 2008, net poverty in the direct treatment group decreased by 4.9%. Among indirect beneficiaries of the programs, a net poverty rate reduction of 9.9%. In 2006- 2008, poverty among female-headed households potentially benefitting from the USAID programs declined from 76% to 67%.
Zeng et al., 2015	Ethiopia	Maize varieties from CGIAR	Ex post based on survey data	0.8-1.3% decline in poverty due to adoption but the poor benefitted least because of their small land holdings



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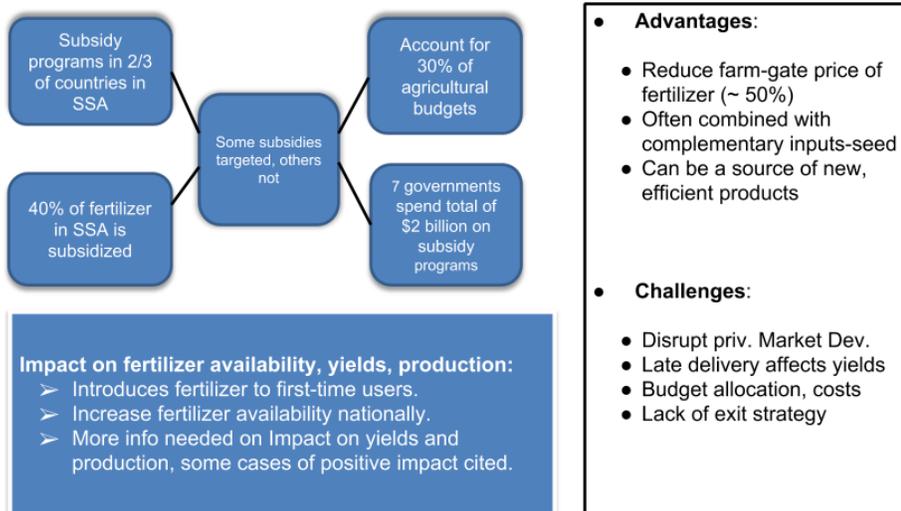
Why (input) policies are important?

Input use is limited by a number of factors



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FERTILIZER SUBSIDIES – CHALLENGES/ADVANTAGES



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IMPACT OF POLICY CHANGES

- Number of private firms (especially domestic) in seed production increased
- Competition increased (market shares by private firms in maize also increased).

Country	2002	2007	2012
Ethiopia	0	8	13
Ghana	-	-	10
Kenya	31	60	104
Malawi	2	5	11
Nigeria	-	-	32
Rwanda	0	1	5
Tanzania	-	-	66
Uganda	-	-	23
Zambia	-	-	>30



Source: AGRA/World Bank, 2013

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FERTILIZER POLICY IMPACT

Kenya : Fertilizer policy reforms

Policy intervention : Liberalization of input and maize markets and public investments (1997-2007)

<ul style="list-style-type: none"> • Price controls on fertilizer abolished • Private fertilizer trade fully legalized • Fertilizer import quotas eliminated • Government auctioning of free donor fertilizer phased out; no competing fertilizer subsidy program (1990 – 2007) 	<ul style="list-style-type: none"> • Rapid expansion in private fertilizer wholesaling and retailing • Reducing the distance farmers travel to nearest fertilizer retailer • Reduction in fertilizer marketing costs observed between off - loading at Mombasa port and farm gate level • Reduction in distance traveled by farmers to point of maize sale to private trader • Increase over time in maize/fertilizer price ratios • Kenyan farmers raise their fertilizer use by 36%
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FERTILIZER POLICY IMPACT

Ethiopia : Towards Balanced Fertilization Policy (2012/13)

Policy intervention : Bulk blending concept is being embraced a means of developing more balanced fertilization practices to improved crop yields

<ul style="list-style-type: none"> • Fertilizer consumption in the country was limited to DAP and Urea • Blanket fertilizer application recommendations regardless of crop/soil/agro-ecology • Yield – fertilizer responses were low though fertilizer use increased 	<ul style="list-style-type: none"> • Developing national soil information database and soil fertility mapping. • Establishment of EthioSIS project for Soil testing: 225 districts • Demonstrations with NPK+ secondary & micro nutrients - > 45,000 sites • Ethiopian government supply (2014/15) farmers with 1.5 million ton of fertilizers of which 2/3rd are bulk blends • Ethiopian Ministry of Agriculture (MoA), Agricultural Transformation Agency (ATA) USAID set up Blending plants : 4 (250,000 t/year)
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MECHANIZATION POLICY IMPACT

Asia:

Reform and liberalization that reduce restrictions on the private sector

Tube wells - e.g., Bangladesh in the 1980s and Myanmar in the recent years

2-wheel tractors - Govt. facilitative role in stimulating the flow of imports

- Removal of restrictions on Chinese imports
- 40% decrease in the cost of imported machinery ;
- Land preparation is now heavily mechanized,
- accounting for 92% of all tractor power (Diao et al 2014)

COMPONENTS OF SEED POLICY

Component	Desired outcome
Market-oriented seed policy	Competitive market Firm entry is easy
Varietal improvement / development	Firms have access to public germplasm Varietal choice is plentiful and available
Intellectual property rights	Firms can protect their IP Increased investment in R&D
Seed testing, quality control, evaluation, registration, certification	Requirements are not onerous Shorter time for processing application Better seed inspection – more inspectors
Plant protection and quarantine	Effective measures to protect eco-systems
Seed marketing	Good production, storage facilities Farmers protect from fraudulence
Deployment	Farmers have necessary information Timely access to seeds

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COMPONENTS OF FERTILIZER POLICY

Component	Desired outcome
Trade Policy	Quick border clearance No non-tariff barriers Low (or no) tariffs and taxes Import policies
Regulatory policy	Expanded fertilizer product set Approval based on ingredients not product Approval process is transparent and efficient Mechanism to stop adulteration (labs etc) Aligned with regional regulations (harmonization)
Robust agronomic research program	National soil maps Soil testing facilities Improve agro-dealer capacity
Farmer support	Extension support Credit Carefully designed and targeted subsidy

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COMPONENTS OF MECHANIZATION POLICY

Component	Desired outcome
Trade Policy	Quick border clearance No non-tariff barriers Low (or no) tariffs and taxes Import exemptions
Regulatory policy	Private firms can bring in new technology Performance standards are reasonable Importation of used machinery
Local manufacturing	Local manufacturing is competitive and efficient Incentives for small scale manufacturing of implements
Farmer support	Extension support (often private led) Credit Vibrant and innovative rental market

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COMPONENTS OF CROP PROTECTION POLICY

Component	Desired outcome
Trade Policy	Quick border clearance No non-tariff barriers Low (or no) tariffs and taxes
Regulatory policy	Product testing and registration practices Improved national/regional capacities for quality testing Safer use of pesticides Capacity to effectively monitor safety and quality Harmonized of pesticide regulatory policy
Local manufacturing	Local manufacturing is competitive, efficient and cost effective
Farmer support	Information on safe use & product attributes Integrated pest management practices (IPM) Farmer and consumer protection from counterfeit (fake)

References – Agricultural Inputs Policy Resources

Seed

- Early Generation Seed webinar 2016: <https://www.agrilinks.org/events/strengthening-early-generation-seed-systems-africa-and-beyond> Early generation seed (also known as breeder/foundation seed or pre-basic/basic seed) is an entry point into many of the constraints, opportunities, and policy issues in the seed sector. From 2014-2016, USAID, the Bill and Melinda Gates Foundation, a number of USAID missions, and the Alliance for a Green Revolution in Africa identified action oriented analytical approaches and entry points to make a difference that opens new opportunities for private seed companies and farmers, discussed in this webinar and in accompanying documents.
- Seed Systems.Org <https://seedsystem.org>: This portal, supported by OFDA, Catholic Relief Services, CIAT, and PABRA (The Pan-Africa Bean Research Alliance) is an up to date valuable resource, with special focus on the roughly 90% of African farmers' seed use that comes through the informal sector, and on best practice in planning emergency seed programs in ways that build up (rather than undermine) existing or emerging commercial seed channels (most importantly by avoiding free in-kind seed distribution in most circumstances).
- Seed sector policy brief: <http://eatproject.org/docs/USAID-EAT%20Policy%20Brief%20Seed.pdf> from FTF-funded Enabling Agricultural Trade activity

Contacts:

BFS/CSI – Laura Schreg- Seed Sector Support for Development (S3-4D (CRS)) (Global)
BFS/MPI – Mark Huisenga - Partnership for Inclusive Agricultural Transformation in Africa (PIATA), Africa for a Green Revolution in Africa (AGRA) (Africa)
OFDA – Julie March - Emergency Seed Assessments and responses (CRS – FAO) – (Global)
BFS/ARP/Research: Tracy Powel, Joe Huesing - Biotech, Biosafety, G.M. Crops (Global)
BFS/ARP/Policy – David Atwood
REGIONAL MISSIONS (EA.WA.SA) – Seed trade harmonization and country level implementation (Africa)

Fertilizer

- IFDC Country Fertilizer Market Assessments: Identification of fertilizer policy, finance, and management changes required to increase fertilizer use sufficient to achieve CAADP/African 6% agricultural growth rate goal in African FTF countries: <https://ifdc.org/country-fertilizer-market-assessments/>
- Africa Fertilizer.Org <http://africafertilizer.org/> Portal for wide range of information, including policy relevant information on marketing margins, competition, and subsidies.
- Fertilizer sector policy brief: <http://eatproject.org/docs/USAID-EAT%20Policy%20Brief%20Fertilizer.pdf> from FTF-funded Enabling Agricultural Trade activity
- Fertilizer Subsidies: Two recent policy-oriented and comparative reviews:
- IFDC SP-43 Fertilizer Subsidies: Which Way Forward: <https://ifdc.org/special-publications/>
- and Policy Synthesis: <https://ifdc.org/country-fertilizer-market-assessments/>
- Importance of complementary policies/inputs/practices to raise fertilizer use efficiency: http://foodsecuritypolicy.msu.edu/uploads/resources/Policy_Brief_60.pdf

Contacts:

BFS/CSI, John Peters – IFDC (Global)

BFS/MPI, Mark Huisenga - Partnership for Inclusive Agricultural Transformation in Africa (PIATA), Africa for a Green Revolution in Africa (AGRA) (Africa)

BFS.ARP/Policy – David Atwood – FtF Food Security Policy Innovation Lab (MSU), International Food Policy Research Institute (IFPRI/U. Pretoria) (Global)

Mechanization

- South-South (Asia to Africa) comparative policy lessons:
http://foodsecuritypolicy.msu.edu/resources/agricultural_mechanization_and_south_south_knowledge_exchange_what_can_ethi
- IFPRI Mechanization Policy Resources:
<http://www.ifpri.org/search?keyword=mechanization>
- Binswanger and Pingali: Classic by two of the foremost economists of African agriculture on comprehensive lessons, constraints, and opportunities for mechanization in Africa Introduction is highly recommended.
<http://documents.worldbank.org/curated/en/487111468202161680/pdf/multi-page.pdf>

Contacts:

BFS/ARP/Research:

- Jerry Glover – FtF Innovation Lab for Sustainable Intensification (Global)
- Biniam Iyob – Cereal Systems Intensification for South Asia (CSISA) South Asia

BFS/ARP/Policy – Emily Weeks - IFPRI – Re SAKSS – Asia Africa

USAID Chief Economist – Louise Fox – labor markets and mechanization (Global)

Pesticides (insecticides, herbicides, fungicides)

- Rapid growth in African farmers' use of herbicides:
http://foodsecuritypolicy.msu.edu/uploads/resources/1_herbicide_overview_-_haggblade.pdf
- Trends in West Africa pesticide markets:
http://foodsecuritypolicy.msu.edu/uploads/resources/Policy_Brief_49.pdf
- Challenges and opportunities in West Africa regional pesticide regulation:
http://foodsecuritypolicy.msu.edu/uploads/resources/regional_pesticide_policy_implementation.pdf and policy brief:
http://foodsecuritypolicy.msu.edu/uploads/resources/Policy_Brief_52_EN.pdf

Contacts:

BFS/ARP/Research – Regina Eddy, Joe Huesing – Fall Army Worm (Africa)

BFS/CSI – Bill Thomas – Bureau Environmental Officer (BEO) (Global)

AFS/SD – Walter Knausenberger – Bureau Environmental Officer (BEO) (Africa)

BFS/ARP/Policy – David Atwood – regional (ECOWAS) pesticide policy, FtF Food Security Policy Innovation Lab (MSU), International Food Policy Research Institute (IFPRI/U. Pretoria) (Africa, Global)

USDA – FAS – Jason Sandahl – country and regional level regulatory policy

Other

- FTF Inputs Policy Brief:
- Indices and Benchmarking:

- TASAI: The Africa Seed Access Index currently available in a number of countries and being used and expanded by Alliance for Green Revolution in Africa/PIATA partnership. <https://tasai.org/>
- TAFAI: The African Fertilizer Access Index, currently under construction with engagement of AGRA, AFAP, IFDC and others
- EBA: Enabling the Business of Agriculture, focused on status of government regulations in agribusiness with modules on seed, fertilizer, machinery, finance, markets, transport, information and communication technology (ICT), and water. <http://eba.worldbank.org/>

Resource Persons:

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Policy Area: Agricultural Trade Policy

Material below drawn from: Feed the Future Interagency Guide for Supporting Sound Policy Enabling Environments, 2013

Objective

Increase efficiency, stability, and transparency in national and cross-border trade consistent with international agreements to spur inclusive economic growth, and to foster private sector investment in agriculture.

Policy Challenges

Policy regimes should favor open borders, with predictable and transparent rules, and consistency with international norms. Addressing broad based policy changes can have benefits far beyond agriculture. For example, agriculture trade facilitation or border management will impact all trade. The poor will benefit from improved trade regimes when they are better connected to international markets and regional trade opens up more opportunities to them. Research shows that while most rural poor do not participate directly in international trade, they benefit from indirect effects such as higher prices in food surplus areas, improved food access and lower prices in food deficit areas, and greater availability in many areas. For many of the FTF countries, trade within regional markets and from rural to urban centers can be a significant driver of agriculture growth.

Government fiscal constraints can impede government willingness to reduce tariffs; policy makers have banned food exports, and governments seek to impose higher tariff or non-tariff barriers (NTBs).

Inadequate understanding of markets, price formation, and farmer and consumer behaviors exacerbate ban and tariff policies and fail to accomplish their near-term objectives.

Tariff, NTBs, and local barriers can lead to corruption and creation of special interests.

State enterprises engaged in trade or state trade interventions (subsidies) can also present problems such as violating international agreements or impeding development goals. Strong and relatively open regional trade policies adopted by regional economic organizations have not been implemented at the national level.

A transparent predictable policy regime can reduce anti-openness policies, which hurt most producers and consumers and favor special interests, which will lead to greater private sector investment and limiting arbitrary government actions.

Causal Analysis

Increasing trade not only encourages exports, but makes imports cheaper and more accessible by increasing the volume of imports. Domestically, increased trade creates greater predictability and less volatility in prices, and improves market efficiencies. These improvements increase access to markets and private investment leading to increased incomes for smallholders.

Policy Issues That FTF Will Address

In addition to the specific policies included in FTF country and regional policy matrices, FTF will support general policies to remove constraints to agricultural trade, such as

1. Trade policy issues that should be included in FTF agriculture commodities work within the context of international agreements includes: Decreased tariff and non-tariff barriers and elimination of export bans
2. Improved trade facilitation and border management (simplification of administrative and procedural barriers, and utilization of one-stop and integrated borders)
3. Movement toward transparent, science– based agricultural regulatory regimes, including improved sanitary and phytosanitary systems, grades and standards
4. Increased domestic market efficiencies and capacity building to achieve international standards.

Decreased Tariff Rates and Use of Export Bans - collaborating with government officials and the private sector to promote reduced and harmonized tariffs in regional markets consistent with international agreements; encouraging market oriented solutions in lieu of export bans, distortionary import tariffs, and other trade restrictions; and developing alternatives to export bans that address the root causes of price volatility, and promote private sector solutions.

Promotion of Reduced Tariffs - collaborating with partner governments to identify the economic benefits of regional market integration and to address concerns about using revenue collections to finance domestic investments; and reducing or eliminating import tariffs to have a beneficial impact on trade by structuring them to take into account consumers and producers.

Improved Trade Facilitation – improving customs and border management, including procedures and enforcement; increasing private sector efficiency for trucking of food and other agricultural commodities; and reducing informal costs and delays for transport – all of which should consider gender equity and integration.

Improved agriculture regulatory regimes - The success of agricultural trade depends on a functional agricultural regulatory regime. The USG is working in four major areas: i) introduction of science- based sanitary and phytosanitary systems (SPS); ii) increased use of public and private sector weights, measures, and grades for agriculture crops and livestock; iii) introduction of national and regional warehouse receipts; and iv) consistency with international rules in areas such as biosafety, biotechnology, and livestock trade.

Domestic market efficiencies and transparency -- Issues that will be addressed could include: a) improved market opportunities and information, including opportunities for women; b) market-led price signals to producers and stabilization of markets; c) avoidance of government attempts at market stabilization, which often lead to higher costs and in fact to market destabilization; d) clarity on government’s legitimate role in emergency humanitarian assistance (and emergency stocks or income supplements); and e) addressing appropriate means to manage food stocks and reserves.

Illustrative Policy Actions That FTF Will Support

- Maintaining open, unrestricted trade in agriculture: Policies that encourage liberalized trade are important to ensuring food security. A strong trading system ensures the efficient distribution of agricultural commodities, agricultural inputs, and food products, and provides incentives to adjust agricultural production and productivity to meet market needs.
- Supporting transparent, science-based regulations: Such regulations are necessary for the smooth and predictable operation of global markets. Host-country producers benefit from simplified, predictable rules.

- Adoption of international SPS standards: This will assist countries to use Codex, OIE (World Organization for Animal Health) and IPPC (International Plant Protection Convention) standards.
- Encouraging host-country programming: The USG is committed to host-government-led FTF activities, especially those related to improving market opportunities, providing market information for domestic trade, collaborating on food safety, and quality issues.
- Reduced port and inland transportation costs or barriers.
- Expanding trade, which it is important for reducing poverty sustainably and developing ways to improve food security.

Recommended Country-Level Analysis to Engage Effectively in this Policy Area

We seek to improve the capacity of FTF governments and stakeholders to conduct trade policy analysis. At the same time, it is important to improve coordination of policy analysis between the field and agencies in Washington given the multitude of USG efforts in the area of trade (FTF, President's National Export Initiative, trade negotiations, etc.). A systematic review of the technical and institutional barriers to agriculture trade policy that are identified in this policy section should be undertaken or reviewed if completed by the USG, other development partners or counterparts as input to refining the policy matrices. Analysis of trade issues and recommendations from other development partners should also be consulted

(Source for above materials: Feed the Future Interagency Guide for Supporting Sound Policy Enabling Environments, 2013).

WTO Trade Facilitation Agreement

- Concluded at Bali Ministerial in December 2013
- Countries are submitting their Instrument of Acceptance to amend WTO Agreement
- Adopted by General Council July 31, 2014
- Initially open for acceptance until July 2015 but now there is no deadline.
- TFA enters into force upon acceptance by 2/3 of Members (106 out of 160)
- Moving toward entry into force by December 2015 (Nairobi Ministerial—MC10)

Scope of Trade Facilitation

- Customs
- Standards and regulations
- Trade procedures and documentation
- Transit issues
- Shipping/Logistics
- Transport security
- IT and e-commerce
- Trade finance
- Infrastructure

(Above materials sourced from: Trade Facilitation Presentation, 2015)

References

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Policy Area: Nutrition Policy

How can Agriculture and Food System Policies Improve Nutrition?

Objective

The most effective nutrition-specific interventions (usually delivered through health service delivery) will be at best partially effective in achieving FTF goals. Lancet articles 2009, 2014 evaluate top 10 interventions in nutrition. Even at 90% efficiency, these interventions only reduce stunting and underweight by 20%. If you want to eliminate stunting and malnutrition then the other factors that contribute to nutrition need to be addressed. Government policies that impact nutrition, especially in the agriculture and food security systems, are important.

Food systems are not delivering healthy diets.

=> Broader Food System Approach by policy makers is necessary to ensure that all parts of the food systems work together to deliver high-quality diets.

Graph 1: How agricultural and food system policies link to diet quality as a measure of good nutrition



Source: *Global Panel on Agriculture and Food Systems for Nutrition.*

<https://glopan.org/sites/default/files/Downloads/GlobalPanelTechnicalBrief1.pdf>

There are four components that contribute to the Food Environment with policy options that are relevant to building an environment supportive of quality diet. Focusing on food systems, new policies can be developed and old policies modified in four key domains:

Agricultural Production

Challenge for governments is to implement policies that promote not only improved productivity, but also ensure food quality and safety along the value chain, diversity of products entering the market, and affordable prices for nutrient-rich foods. Areas include:

Public research - Not just increasing yields of staple foods or commodities that generate income but also specific nutrient rich commodities (e.g. animal products, vegetables and fruits) to bring down prices and make them more affordable.

Input subsidies - impact on nutrition may be neutral but may divert resources from more nutritious crops

Agricultural extension - A key policy opportunity is to promote cross-sectoral training and 'common messaging' on the links between food and nutrition by frontline extension agents from multiple sectors.

Resource access - Increased security of tenure and particularly improved rights of women in accessing productive resources and inputs

Markets and Trade Systems

Trade policy - these can have a substantial impact on the food environment and on diet quality through influencing the cost and efficiency of internal and cross-border goods movement. Nutritious animal based food, vegetable and fruit products are frequently subject to trade restrictions

Instructure policies - influence the movement, storage and marketing of foods, and are important for perishables

Agribusiness policy is important for market development

Access and affordability in a food systems approach are important. With move from subsistence farming, what part of the food system is evolving that provides the smallholders with access to affordable and nutritious foods for her and her family. How do you achieve this? It requires observation of what can be purchased in small rural markets? How do you make legislate/policy to make these small markets effective? How do you create a policy in the village so it is an informal "wet" market that provides cool storage, clean water, and waste disposal? You don't want to be regulatory burdensome so the wet market goes down the block? How do you bring the markets and consumers along to the state of better nutrition? Are you linked to a power source so you can have refrigeration? Sanitation Services? Clean water so waste is disposed?

Consumer Purchasing Power

Food Price Policies - can be used to maintain stable (predictable) price for staple foods or restrict consumption of 'unhealthy' foods through taxes or subsidize foods for target groups.

School feeding- represent one example of an institutional mechanism aimed at promoting nutrition.

Safety nets and social protection policies - can promote healthy food choices and protect consumption during times of crisis.

Food Transformation and consumer Demand

Fortification - represent direct nutrient-enhancement of the food system through vitamin and mineral fortification.

Consumer information - can create demand for (stimulating production, processing, and retail of) nutritious foods.

Advertising legislation- provides oversight of consumer exposure to 'unhealthy' products.

Food quality and safety standards- important to improve accessibility of nutritious but safe foods

The **behavioral issue** is on nutritious and non-nutritious choices. The food system has created "convenience" foods which are affordable, accessible with low money and time cost and gives you a little energy kick. It is also really appealing for a rapidly urbanizing society. Even when there are nutritious options available we tend to overconsume non-nutritious options. $\frac{1}{3}$ of the calories in the US is from sugary soft-drinks.

Behavioral change in nutrition- provide better access and affordability but people won't use them. The entire food system must create the right incentives and environment for healthy diets. The **behavioral issue** is on nutritious and non-nutritious choices. The food system has created "convenience" foods which are affordable, accessible with low money and time cost and gives you a little energy kick. It is also really appealing for a rapidly urbanizing society. Even when there are nutritious options available we tend to overconsume non-nutritious options. $\frac{1}{3}$ of the calories in the US is from sugary soft-drinks.

People need **well labeled, better quality foods**. Even when they are labeled, the food content does not always match the label content. What is in the food is not what is labeled on the foods. Is there a labeling policy and is it implemented effectively? **Education**, how to do it? Governments are underinvested in extension. What is the structure of providing services that best meet the needs of *the recipient*? *Traditional approaches of extension services have had limited effectiveness.*

Priority Policies

In its efforts to catalyze policy action, the Global Panel has compiled a suite of technical and policy briefs that lay out the evidence for recommendations. The 10 key recommendations that offer multiple win opportunities, from agricultural production, to markets and trade systems, food transformation and consumer purchasing power to consumer demand are listed below.

1. Invest in nutrition-enhancing agricultural productivity growth, markets and trade systems
2. Increase research to ensure a greater presence of healthy foods in markets globally, including through public-private partnerships
3. Facilitate markets and trade in ways that moderate food price volatility
4. Improve infrastructure in agriculture and market systems to increase year-round availability of nutrient-dense foods to all consumers
5. Develop national policy and regulatory framework for food safety and quality

6. Improve the nutritional quality of and consumer choice regarding processed foods
7. Integrate nutrition education into all available national services reaching consumers
8. Expand agriculture-supportive targeted social protection programmes
9. Expand agriculture-supportive school meal programmes
10. Improve the quality and specificity of metrics and data needed to support evidence-based policy actions.

[Source: Global Panel on Agriculture and Food Systems for Nutrition, How can Agriculture and Food System Policies improve Nutrition? Technical Brief, November 2014.]

Policy Actions should be Multi-level

National actions: National nutrition strategy that is cross cutting - national policy (labeling laws). You need a national nutrition plan that needs to be linked to trade, rural development and road and infrastructure strategies. We need national level actions (national nutrition policy agenda) that improve national level nutrition legislation in a way that makes nutritional investments more effective? Improves nutritional policy and does so in a way that makes complementary nutritional ...more effective

Local actions: Local level legislation that aligns to national plan and developmentally improves the quality local food markets so you get better access to food that is more affordable, higher quality, safer, more nutritious

Behavioral actions {this is parallel the national and local actions not under it}: Nutritional outcomes are part of a societal behavioral change is social mores. It is technically part of policy implementation.

Feed the Future Inter-Agency Guide to Developing a Policy Enabling Environment, 2013: Nutrition Policy

Nutrition Policy

Development of Nutrition and Food Security Policy. Under-nutrition is a multi-sector development problem. In most countries, lack of both coherent strategies across sectors (Agriculture, Trade and Finance, Health, and Education) and poor program coordination at national, regional, and local levels negatively impact on country capacity to reduce under-nutrition. An overarching nutrition policy is the key to generating the budget support, coordination, and accountability—horizontally across Ministries; vertically at national, regional, and district levels; and with the private sector and civil society—necessary to achieve significant reductions in hunger and under-nutrition. Policies should include new or stronger institutional architecture (see Section 5.1) to facilitate coordination and manage policy development, implementation, monitoring and evaluation. Much of the nutrition policy agenda is fully consistent with and helps advance the Scaling Up Nutrition (SUN) policy emphasis (<http://scalingupnutrition.org/>). Gender-sensitive nutrition policies need to consider differences in men's and women's access, utilization, and availability of food resources, and their respective roles in managing household nutritional status.

Food Safety and Supplementation Policy. Rising demand for and consumption of processed foods in urban areas, stricter regional and international standards for export markets, and a growing recognition of the widespread disease burden and risk from unhealthy food, make food safety a nutrition, health, trade, and economic issue. There are

approximately 1.8 million deaths annually worldwide from diarrhea—mostly attributed to contamination of food and water.

Aflatoxin contamination, present in many FTF countries, is strongly associated with child stunting, liver cancer, and immune suppression, and causes Africa to lose an estimated one-half billion dollars in export revenues per year. Food hazards occur throughout the value chain, including in household food preparation, and are highly influenced by gender roles. Improved food safety requires synchronized actions across sectors and recognition of gender roles. High-level commitment and overarching policy guidance are needed to strengthen regulatory and enforcement infrastructure and human resource capacity and ensure food quality and safety.

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Micronutrient Policy Process in Malawi

<https://www.ifpri.org/publication/micronutrient-policy-process-malawi>

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Policy Area: Enabling Environment for the Private Sector

This document serves as background content for the 2018/2019 Policy Course. It contains the following information:

1. Foundational text from the Feed the Future Inter-Agency Guidance on Establishing a Policy Enabling Environment, 2013
2. Additional text or other materials provided by experts for use in sessions
3. Names of Experts to draw upon for presentations and additional content
4. Key references used throughout the course and provide to participants for additional reading
5. Case studies for Sessions and examples to draw upon for presentations

Background: Text from the Feed the Future Inter-Agency Guidance on Establishing a Policy Enabling Environment, 2013

The following are excerpts from this foundational document on Feed the Future policy approaches.

Objective

Increase competitiveness and reduce barriers to stimulate private investment in agriculture that increases incomes for smallholders and firms and generates employment.

Policy Challenges

This area comprises the set of policies that affect the efficiency of responsible private-sector investment in agriculture and agribusiness.

The policy challenges include:

- Many businesses operate in environments where the rules and regulations are opaque, unstable, and unevenly applied. This may be especially detrimental to new investors (foreign or domestic), smallholders, and women.
- Businesses that regularly obtain special favors under current systems may oppose change
- Monopoly control or collusion between multiple dominant firms creates market inefficiencies, restricts competition, hinders new business formation, and may hinder innovation.
- Government and consumers may fear short-term losses from switching to a competitive system, despite long-term gains from competition and market efficiency
- The enabling environment is a complex system requiring multi-faceted policy action for change. It needs to balance private sector needs and government protection of public rights.

Transparent, predictable, and non-discriminatory investment regimes for responsible investment enable private-sector agricultural investment in the developing world; they also protect agriculturalists, particularly small holder farmers and pastoralists, from exploitative practices and effectively contribute to inclusive, market-based agricultural growth. The guide seeks to create a *level playing field* for farmers, agribusiness, and others to make these investments with minimal transactions costs. The most immediate sources of new investment in agriculture will be domestic enterprises complemented by foreign direct investment (FDI). This guide includes reducing gender gaps that impede development because it is estimated that if women had access to similar quality and quantity of resources as men, both generally and in FTF countries, they could increase yields by 20 – 30 percent.

Causal Analysis

The causal pathway from the enabling environment to accelerated agricultural growth begins with an inclusive IA that leads to predictable policy outcomes, so that the private sector can plan investments in a predictable policy environment. This IA also allows for specific policy changes that increase the effectiveness of private sector investment, both in terms of enabling higher returns on private-sector investment and in market outcomes that support societal goals, such as greater private investment in agricultural research and development. Higher levels and increased effectiveness of private sector investment in agriculture under responsible business practices accelerates inclusive agricultural growth.

Policy Issues That FTF Will Address

In addition to the specific policies included in FTF country and regional policy matrices, FTF will support general policies to remove constraints to private sector investments such as:

Improved Competition: Priorities include the development of rules and regulations that combat uncompetitive monopolies and unfair business practices; and policies supporting the growth of small and medium-sized firms, business incubators, and business capacity building.

Improved Value Chain Performance: Priorities include specification and delimitation of government's role as a provider of public goods and not as an active market participant. The accepted role includes the development and implementation of policies supporting small-holder and small business participation in the value chain and fostering inter-firm linkages, regulatory frameworks for domestic and international market information systems, and policy reforms to improve access to finance on market terms for those with limited access, such as women and smallholder producers.

Protection for Private Sector Investments: Priorities include clear property rights and tort law and takings law that are administered effectively to protect the rights of all, including women and other vulnerable populations, specifically as they apply to land and resource rights, and environmental sustainability.

Stability and Transparency of Business Rules: Priorities include simplifying and reducing the cost of business registration and licensing, labor policies, support for women in business – removing barriers to gender equality, and simplified tax regimes.

Illustrative Policy Actions That FTF Will Support

Policy actions will vary by country and region, and should be chosen based on country and regional analysis. Some illustrative examples include:

- Developing and implementing policies in consultation with the private sector
- Supporting evidence-based analysis that delineates issues with the enabling environment and corrective policy actions
- Assisting governments to define appropriate public and private sector roles, including involvement in market information systems and transitioning government-controlled industries to market-based solutions
- Providing legal technical assistance to help partner-country governments and regional economic communities streamline requirements for business operation and reduce government-related business transactions costs

- Using USG influence, including evidence-based analysis, to improve the policy environment that will increase domestic and foreign direct investment in agriculture and for environmentally sound and gender sensitive investments.

Recommended Country-Level Analysis to Engage Effectively in This Policy Area

The FTF Guide recommends means to improve the capacity of FTF governments to improve the policy enabling environment for private sector investments. To improve the enabling environment, countries need to conduct or review existing detailed analysis of business conditions and related policy issues, and components of the causal linkages analysis. This analysis will assess which policy actions are most critical to remove barriers to private sector investments. The analysis may be based on previous relevant, reliable, accurate, and current analysis. The USG team may consider the type of analysis conducted in the agribusiness enabling environment snapshots or the Agribusiness: Commercial Legal and Institutional Reform diagnostics, making sure to include key policy such as: the stability and transparency of business rules (agricultural/agro-processing/trade businesses, rules and regulations and whether they are enforced), protection of private sector investments, market analysis specifically addressing impediments to competitiveness, and value chain analysis for specific agriculture sectors. As new comparative analytical methods for enabling environment and agriculture are developed, these should be incorporated into country level analysis.

References

Source for the above materials: Feed the Future Interagency Guide for a Developing a Policy Enabling Environment
 Introduction to Agribusiness Enabling Environment Course (material)
 Private Sector Agency Policy
 EBA docs
 AgCLIR docs
 Case studies?
 Agrilinks month blogs

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Policy Area: Land & Natural Resource Management Tenure, Rights and Governance

Objective

Establish effective institutional arrangements, rules, and mechanisms that recognize the legitimate land and resource rights of all users, including women, pastoralists, vulnerable populations and investors, to stimulate transformative and sustainable investments in both agriculture and other income-generating income.

Policy Challenges

The increasing demand for land and natural resources brings diverse users into competition. There is a clear need to secure legitimate rights and develop effective process to resolve disputes without destructive conflicts. Natural resources degradation, which is an increasing problem in many FTF regions, can be addressed by integration of environmental management practices that boost agricultural productivity, increase incomes, and enhance resilience to drought and other environmental shocks. Tenure and natural resource policies are needed to accompany the increased introduction of agricultural technologies.

The key for sustainable land and natural resource use is implementation of policy actions that increase local and individual rights to access and manage natural resources, particularly land. The socio-economic constraints to land, water, and other natural resource rights require policies that provide for joint titling of property to protect local community and women's rights to land, expand/extend leasehold rights, allow communities to contract directly with investors, simplify registration and transfer procedures to reduce costs of formalization, encourage participatory land use planning, and integrate land use and management data across government agencies (agriculture, environment, land, forestry, mining, mapping, etc.).

The lack of political and economic power for smallholders has made policy changes that favor them at the expense of special interests difficult to achieve. Changing how host governments and donor organizations work will require new approaches to both land tenure and natural resources management (NRM) practices. The challenges include:

- Developing consistent, clear, and publicly available guidelines for private sector investors that do not impose additional costs or violate trade agreements would reduce vulnerabilities for communities and investors and could help mitigate conflicts.
- Strengthening community and individual rights to address the complexity of ownership patterns, use, or lease arrangements to encourage successful larger-scale commercial investments that don't disenfranchise smallholders or women.
- Decentralizing control of land and other natural assets (i.e. water, forests, and fisheries) to local institutions when they have been controlled and managed by central government. Government transition from a direct management role to oversight and regulatory roles may require significant shifts in human and financial resources to undertake these new responsibilities.
- Building significant capacity to enhance decision makers, researchers, and development practitioners' ability to integrate climate change trends and potential impacts into planning over longer time-frames and geographic scale.

Causal Analysis

More secure tenure and use rights enable smallholders to maximize income by leasing land to others if production is difficult (as is often the case for women and the elderly) or by leasing additional land or natural resources themselves if they have little or no land of their own. Productivity improvements may accelerate the process of investing in land or natural resources or allow smallholders to diversify their income-generating opportunities. The result is increased smallholder incomes from both on-farm and off-farm opportunities. One benefit of improved and clarified land and natural resource tenure, rights, and policy is enhanced environmental sustainability, including sustained smallholder income streams, and durable increases in agricultural productivity.

The foundation of improved NRM policy is an institutional architecture for improved policy formulation and enforcement. This foundation gives rise to more secure resource rights; devolution of authority to local institutions and individuals; improved water policy for agriculture; and improved alignment of agriculture, environment, and climate change policy. These outcomes lead to strengthened policy institutions and stronger linkages with other sectors. Strengthened policies and policy institutions lead to better management of land and resources, including better private-sector management, enhanced smallholder investments and improved planning within and across multiple locations and geographies.

Policy Issues that FTF Will Address

In addition to the specific policies included in FTF country and regional policy matrices, FTF will support general policies to remove constraints to land and natural resource tenure such as:

Secure resource rights. The legal and regulatory framework should support the formalization of land and property rights to foster a more secure and stable enabling environment for improving agricultural production, profitable use of resources, and economic growth. Laws and policy should create opportunities to formalize the variety of land and property rights that customary users hold; build bridges between the customary and formal legal systems; and improve enforcement of laws that guarantee land and property rights. An important priority policy is to implement the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests (<http://usaidlandtenure.net/projects/voluntary-guidelines>).

Devolve authority to local institutions and individuals: The priority policies are to shift from extensive government control of land and other resources and to increased control by communities, individuals, and legal entities; to reduce transaction costs of formally transferring property among users; and to build local capacity to manage and trade valuable resources. Priority policies include host government commitment to a) capacity building of local institutions and CBOs supporting a transition from government implementation to an advisory/regulatory role, b) legal recognition of CBO networks at the local, subnational, and national scale that amplify the voice and capacity to negotiate/advocate with private sector and government decision makers, and c) stakeholder outreach and engagement bringing private sector, CBOs, and government together for consultation about tenure and resource management issues.

Improve water resource policy for agriculture: Policies will be developed based on better data collection and analysis to improve water quality, supply, and efficiency of use for agriculture. Rising demand for and consumption of processed foods in urban areas, stricter regional and international standards for export markets, and a growing recognition of the widespread disease burden and risk from unhealthy food make food safety a nutrition, health, trade, and economic

issue. Balancing the demand for agricultural, industrial, domestic use as well as maintenance of ecosystem functions may be accomplished by introducing policies that increase the overall economic efficiency of water use, improving management at the water catchment or watershed level, or by re-allocation of water resources through pricing or other allocation mechanisms. Where increased rainfall intensity and variability occurs, research will identify environmentally appropriate water retention investments and adaptation strategies. Water resource pricing is key to financing investments in water supply and watershed management schemes and allocating water to meet multi-sector demands.

Align agriculture, environment, and climate change policies: Priority policies are for governments to commit to and invest in enhanced data collection, integration, and accessibility of biophysical, socio-economic, climate, and governance data to inform decision-making and provide a tool for alignment of agricultural, environmental, and climate change policies. Priority policies focus on a) increasing government commitments to develop agriculture adaptation strategies at the local level, b) increasing the ability of decision makers to incorporate climate change projections into long-term planning; and c) supporting research responding to changing climate patterns and addressing social safety net issues for vulnerable and marginal populations. For many FTF countries, agriculture and land use changes are an important source of greenhouse gas and other emissions and/or reservoirs to absorb excess carbon (sinks). National policies have the potential to negatively or positively impact global climate change. Policy research in this area can achieve a positive benefit by incorporating mitigation considerations.

Recommended Country-Level Analysis to Engage Effectively in this Policy Area

Posts should review the extensive research, which has analyzed the tenure and natural resource rights situation in order to address informal traditional rights and extent of conflict with formal legal rights. Analysis will permit mutually beneficial commercial use within a traditional structure and to identify how lease rights might be expanded and used by communities and individuals within traditional systems. Lease rights are important as land used by women after the death of their husband might be more effectively (and more remuneratively) used if leased with the income going to the woman.

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Policy Area: Risk and Resilience Policy

Objective

This paper is designed to guide thought and programming in the policy space to increase the resilience of people, households, communities and systems to detect, respond and recover from shocks and stresses while also improving the capacity of these to adapt, absorb and transform in the wake of such shocks. In accordance with USAID's definition of resilience, these policies should opt for targeting the people within a country most vulnerable to recurrent shocks and stresses so as to reduce future humanitarian spending in those areas while increasing their resilience capacities and providing dignity through ending poverty backsliding during and after crises.

Concepts and Definitions

Risk. The potential for an uncertain event or trend to have adverse consequences on lives; livelihoods; health; property; ecosystems and species; natural resources; political stability; economic, social and cultural assets; service provision; and infrastructure. Notably, risk exposure, particularly weather risk exposure, impacts behavior and livelihood decisions ex ante, regardless of whether the shock actually occurs.

Resilience. For USAID, resilience is the ability of people, households, communities, countries, and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth. Resilience is a means rather than an end goal, and while the concept of resilience has broad applicability to many of the contexts in which our Agency works, USAID's resilience programming is specifically focused on areas where chronic poverty intersects with shocks and stresses to produce recurrent crises and undermine development gains. Given that, resilience practices and programming can be incorporated into many development programs.

Background

Host countries and development partners have worked to define resilience policies or plans at least since the 2011/2012 East Africa drought and the 2013 Sahel drought Emergency. Starting in 2012 and presciently ahead of the 2013 Sahel Emergency, The Permanent Interstate Committee for Drought Control in the Sahel (CILSS), along with the Sahel West Africa Club and others, created the [Global Alliance for Resilience - Sahel and West Africa \(AGIR\)](#), which led the process in which CILSS member countries created and adopted National Resilience Priorities. At the same time, [East Africa's Intergovernmental Authority on Development \(IGAD\), USAID and other donors](#) created the Global Alliance for Action for Drought Resilience and Growth, now the [IGAD Drought Disaster Resilience and Sustainability Initiative \(IDDRSI\)](#), which led to the issuance of Country Programming Papers. These culminated an Africa-wide decision to include of resilience as Article VI in the [2014 Malabo Declaration](#). After the 2016 El Niño droughts and the ensuing 2017 food security crisis, Malawi created its [National Resilience Plan](#) and its coming Strategy and Implementation Plan.

Development partners' and host countries' resilience strategies traditionally targeted marginal areas and buffered negative agricultural shocks by returning smallholders and communities to their pre-shock status, and often there is an element of transformation and improvement. There were some efforts at improving and transforming the status of these populations. The key policy challenges that constrain building dynamic resilience are:

- Agricultural growth policy often targets those communities with the greatest political voice and/or the greatest capacity to emerge from poverty, not the chronically poor and vulnerable;
- Engaging in agricultural growth strategies is inherently risky and frequently not an option nor accessible for the smallholder, and the chronically poor and vulnerable do not have the capacity to manage these risks;
- Negative agricultural shocks require social protection, such as social safety nets, yet few social protection programs and policies are linked to growth processes.

The blending of resilience and growth as an integrated concept is a challenging yet important objective. The most vulnerable families are those who have little food or capital reserves, few chances to accumulate wealth, are without government social safety nets, and have little capacity to respond to shocks. Resilience and agricultural risk management policy is used to help the poor and chronically poor to respond to and recover from shocks so they may be able to continue increasing income and climb out of a poverty trap. Without an effective policy to mitigate shocks, the smallholders will fail to recover from those shocks, and will remain in chronic poverty, vulnerability, and with dependence on food aid. For many there is no escape from this cycle.

Risk and resilience policies can be explicit or can point toward minimizing risk and increasing resilience for populations. Examples of explicit policies are the aforementioned Country Resilience Priorities and Plans. Policies that can contribute to transformative resilience capacities include:

- Social inclusion policies (Women, children, youth, indigenous peoples, ethnic minorities, pastoralists, people with physical and/or mental disabilities, etc.)
- Social protection, especially shock-responsive social safety nets
- Land tenure reform and its implementation, especially for the most marginalized
- School feeding and nutrition policies (sometimes the purview of USDA McGovern-Dole activities)
- Agriculture policy and programming for people in areas of recurrent humanitarian crises
- Natural resources management policies, including for water, forests, pastoralist corridors and grazing lands, etc.
- Conflict mitigation policies
- Seed and fertilizer policy reform and programming to target the most vulnerable
- Health policies, such as universal care for children under 2 or under 5 and for women of childbearing age
- Tax and regulatory reform
- Biometric or other birth registration such as to facilitate participation in government services, such as shock-responsive social safety net programs
- Policies to support formalization of small and medium-sized businesses
- Policies to organize enterprises, such as those to form associations or cooperatives, such as to achieve scale in the market and improve local governance
- Fiscal policy so as to manage for inflation or market spikes/crashes
- DRR/early warning/

Specific resilience policy challenges, internationally and at the Host-Nation level, include:

- Implementation of Country Resilience Priorities, Strategies, Plans and Programs
- Deepening the articulation and continuum as humanitarian aid – both within USAID and without – is paired or passed off to development components, including and even especially in complex crisis environments (ex. Lake Chad Basin, South Sudan, Horn of Africa, etc.)

- Restructuring development aid to include risk reduction and mitigation for the vulnerable, especially those in areas of recurrent humanitarian crises
- Embedding risk and resilience management policy in the national and regional development agendas
- Developing agricultural risk management policies, e.g., financially sustainable crop insurance
- Adapting traditional growth policy to be an effective risk and resilience management policy for vulnerable populations.
- Incorporating shock responsiveness and contingency planning into policies, strategies, plans and programs
- Post-shock recovery policies and programming for communities and households
- Social Inclusion - that women, children, youth, indigenous peoples and ethnic minorities, people with physical and mental disabilities, and other marginalized groups are incorporated and even targeted by resilience policies and programming
- Conflict - that mechanisms are put in place for managing and mitigating conflict as relates to resilience (ex. farmer/herder, farmer/artisanal minor, etc.)
- Health - that people with physical and mental disabilities are programmed for, even those with short-term mental disabilities such as antenatal or post-partum depression
- Policy on aspirations?

In each country, each of the above policies will be context-specific and, under a country's Global Food Security Strategy, may be the responsibility of different operating units within USAID or other agencies in the U.S. Government.

Causal Analysis

Risk and resilience management policy works through three causal pathways, which, in conjunction with related investments, can transform chronic poverty and vulnerability to recurrent crises, whether covariate or idiosyncratic, into growth and sustainable livelihoods. The three pathways are:

1. Policies that promote adapting agricultural and/or other economic growth for vulnerable populations and geographies by increasing the options available to smallholders and communities to engage in the market economy. Agricultural and economic risk management policy changes the risk-reward profile so that growth opportunities are accessible and affordable to chronically poor smallholders and communities at reduced risk. This pathway addresses the chronic conditions that lead to enduring poverty.
2. Risk and resilience management policy diminishes both the severity and duration of negative shocks, through means such as asset preservation actions, improved social safety net policy, and policies enabling income diversification for the vulnerable. This pathway addresses the acute shocks and challenges that smallholders and pastoralists face.
3. Risk and resilience management policy returns vulnerable populations to upward agricultural growth paths after the acute shock, reducing dependence on social safety nets and generating new and inclusive agricultural growth. This results from a combination of risk management policies that allow the vulnerable to engage in growth processes, growth processes tailored specifically to the vulnerable and social safety nets linked to growth processes. An example might be a market-based destocking and restocking program for pastoralists: destocking acts as a social safety net, market-based destocking links

pastoralists to market-based growth process and helps stimulate market development to meet pastoralist needs, and restocking further facilitates market development and returns pastoralists to an upward growth path.

Policy Issues That FTF Will Address

In addition to the specific policies included in FTF country and regional policy matrices, FTF will support general policies to remove constraints to resilience and agriculture risk management, such as:

- Improving food security policy for vulnerable populations, especially those in areas of recurrent humanitarian crises, so that they don't need to overinvest in staple food production to the exclusion of more remunerative—but more risky—income diversification strategies.
- Improving risk management policy to enable the chronically poor to increase income from agriculture, and to address risks specific to women.
- Improving and making accessible social safety nets linked to growth policy, which limit the negative impact of shocks and help smallholders and communities increase their incomes.
- Tailoring growth and safety net policies for women and other marginalized people, who constitute a vulnerable population. Embedding risk and resilience management policy in the development agenda.
- Regional coordination of risk and resilience management policies for vulnerable geographies and populations that cross political boundaries.

FTF will specifically support:

- National-level agricultural risk assessment
- Development of and/or coordination with productive and shock-responsive safety net programs
- Development of national disaster management plan
- Governments to define guidelines to allocate funds for agricultural growth programs specifically targeting vulnerable populations, particularly those facing recurrent crisis.
- Capacity building for early warning and early response to and for recovery in the wake of a humanitarian crisis

Recommended Country-Level Analysis to Engage Effectively in This Policy Area

FTF seeks to improve the capacity of partner governments to conduct agriculture input and other analysis. A systematic review of the barriers to risk and resilience management policy that are identified in this policy section should be undertaken, or should be reviewed if already completed by the U.S. government or other development partners or counterparts as input to refining the policy matrices. When analysis is undertaken, it should:

- Build on the Joint Planning Cell efforts in the Horn of Africa (now HoRN) and Sahel, which have carried out country- and regional-level resilience analysis in priority countries, but which need further action to determine risk and resilience management policy priorities, and coordination mechanisms for policy improvement and implementation
- Specifically analyze the lack of secure land and water tenure and access which has emerged as a policy constraint affecting resilience efforts. Land tenure policy issues are addressed in the Land and Natural Resources Tenure, Rights and Policy section
- Specifically analyze risk and resilience management policy priorities to develop detailed policy actions and work plans.

- Specifically analyze a country's early warning, early response and recovery policies and capacities in the face of shock, including their shock-responsiveness and incorporation of contingency planning.

USAID Policy-Level Programming in the Risk and Resilience Space

Risk: A place for ARC, non-African insurance initiatives, AMA IL, other insurance, USAID's risk tolerance policy/guidance, etc.

Resource Persons:

Christine Gottschalk, Bureau for Food Security/Center for Resilience (BFS/CR)

Jen Cisse, BFS/CR

Karine Garnier, BFS/CR

Andre Mershon, BFS/CR

Jami Montgomery, BFS/CR

Shawn Wozniak, BFS/CR

References

[USAID's Risk Appetite Statement](#)

[Building Resilience to Recurrent Crisis - USAID Policy and Program Guidance](#)

Journey to Self-Reliance (JtSR) [Economic Growth Perspective paper](#)

[2017 Resilience Evidence Forum Report](#)

Building Resilience to Recurrent Crisis

<https://www.usaid.gov/sites/default/files/documents/1870/USAIDResiliencePolicyGuidanceDocument.pdf>

Malabo Declaration on Agriculture 2014

http://www.resakss.org/sites/default/files/Malabo%20Declaration%20on%20Agriculture_2014_11%2026-.pdf

Global Alliance for Resilience - Sahel and West Africa

<http://www.oecd.org/site/rpca/agir/>

Global Alliance for Action for Drought Resilience and Growth

<https://www.usaid.gov/sites/default/files/documents/1866/Global%20Alliance%20FactSheet.pdf>

IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI)

<http://resilience.igad.int/>

National Resilience Plan, Malawi

<http://massp.ifpri.info/files/2017/10/NATIONAL-RESILIENCE-PLAN-MASTER-2016.pdf>

Session Resources

Rural Recovery for Fragile States: Agricultural Support in Countries Emerging from Conflict

<https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/10.pdf>

Jeff Hill on Supporting Food Security Policy in Fragile States

<https://www.agrilinks.org/event/ask-expert-ga-jeff-hill-supporting-food-security-policies-fragile-states>

Fragile States: Good Practice in Country Assistance Strategies

http://siteresources.worldbank.org/INTLICUS/Resources/388758-1094226297907/FS_Good_Practice_in_CAS.pdf

OPIC, Office of Accountability, Seven Approaches to Developing Projects in Fragile Governance Environments. July 2014.

<https://www.opic.gov/sites/default/files/files/Fragile%20Governance%20Advisory%20Note.pdf>

Policy Area: Institutional Architecture

Part I: Mapping of Institutional Architecture for Policy Change

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

Part II: Capacity of Food Security Policy Change

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

- **Policy Element 1: Guiding Policy Framework**
The capacity and effectiveness of the legislative process and the extent to which the relevant laws, regulations, and policies governing the policy development process are transparent and predictable.
- **Policy Element 2: Policy Development and Coordination**
The capacity and effectiveness of the institutions and entities which initiate and develop food security and agriculture policy and the relationships between them.
- **Policy Element 3: Inclusivity and Stakeholder Consultation**
The capacity and effectiveness of the process of consultation with key groups critical to the food security sector and the extent to which the different groups are engaged, including across government, the private sector and among non-governmental organizations.
- **Policy Element 4: Evidence-based Analysis**
The capacity and effectiveness of the institutions, processes, and forums responsible for collecting data and the extent to which evidence is used to inform or revise policy change.
- **Policy Element 5: Policy Implementation**
The capacity and effectiveness of the organizations and institutions that have direct responsibility for policy implementation. It also includes the extent to which the mechanisms for coordination and management are functional and used.
- **Policy Element 6: Mutual Accountability**
The effectiveness of the process by which multiple partners (such as government, donors, private sector and civil society organizations) agree to be held responsible for the commitments that they have voluntarily made to each other. It relies on trust and partnership around shared agendas. Mutual accountability is supported by evidence that is collected and shared among all partners. The principle of mutual accountability is expected to stimulate and broaden the practice of benchmarking, mutual learning and harmonization of national development efforts, while encouraging a greater level of trans-boundary cooperation and regional integration.

In the past the analysis of IA has been conducted by an expert or a team of experts. Each of these elements is analyzed through a set of indicators that determine the capacity and effectiveness of the overall policy change process. The indicators are assessed using a three-tier rating system, which highlights the level of attention needed to improve the effectiveness of each indicator.

Green means that performance is strong and additional attention is not required.

Yellow rating means that performance has strengths and weaknesses but additional attention is required.

Red rating means that significant attention is needed to improve performance on the indicator.

Indicator ratings are accompanied by a narrative analysis of key gaps and constraints to the policy change process.

Part III: Summary Conclusions and Recommendations

The third part of the methodology produces conclusions based on findings from Parts I and II, and develops recommendations for future action.

Fourteen (14) IAAs were conducted across the FTF countries between 2014-2015. These are good sources of information on the stakeholders in a country and some of the strengths and weaknesses of AFS decision-making. However, these studies have not always been used.

Under the GFSS a self-assessment approach has been developed where country stakeholders are brought together to assess the status themselves and develop their own plan of action to improve the country's AFS IA. The idea is that they will be more committed to these changes and steps if they understand the ideas and commit to each other to make change. It is important to ensure the right people are included in this process - those who are important to AFS policy and can influence change.

IA Self-Assessment Methodology

Before walking through the methodology, let's watch this recorded experience from Africa Lead II activities in Kenya. There are also experiences in Senegal, and soon in Tanzania. There is also a blog on Agrilinks now about this: use clips from: <https://www.agrilinks.org/post/strengthening-foundation-food-security-kenya>

What key components did you observe?

Who was involved in the process?

How did the players see it would benefit their work?

From the words of Washington Ochola, Africa Lead, Kenya: "To ensure long lasting agricultural transformation takes place, a country needs to have the basic and fundamental capabilities to organize and manage its own affairs. This requires engaging actors in planning from all levels – from civil society organizations to the national government to youth and farmer organizations. Without the capacity to undertake transparent, inclusive, predictable, and evidence-based policy planning, a country can struggle to achieve basic, let alone sustainable, improvements in food security."

References:

IAA Background Note

<https://www.africleadftf.org/2018/02/28/institutional-architecture-assessment-workshop-resource-documents/>

Institutional Architecture Assessment checklist items

Policy Element 1: Guiding Policy Framework

- **Clearly Defined and Consistent Policy Framework:** The policy framework impacting food security policy-making is clearly defined, and consistently applied and enforced from year to year.
- **Predictability and Transparency of the Policy Making process:** The policy development process is transparent in accordance with the rules contained within the country's constitution, basic law, and elsewhere in the formal legal framework.
- **Clear and Functional Legislative System:** There is a legislative capacity to deal with food security policy change, and the legislative requirements are clearly defined and predictable.
- **Appropriate Dispute Resolution Process/Judicial Framework:** The judicial system is perceived as fair and effective, and there is an appropriate system for dispute resolution where conflicts arise relating to food security policy.
- **Clearly defined Institutional Responsibilities:** Institutional responsibilities are clearly defined, consistently applied, and predictable from year to year.

Policy Element 2: Policy Development and Coordination

- **Approved Food Security Strategy/Investment Plan:** There is an approved/official multi-sectoral, multi-year food security plan developed, which specifies priorities and objectives, and addresses the roles of various contributors, including across government, the private sector, and CSOs. The vision and strategy to improve food security is clear.
- **Predictable Policy Agenda and Priorities Developed:** The policy items required to achieve the national food strategy have been identified and documented, i.e., specific policy objectives exist.
- **Work Plans:** There is an annual work plan that identifies objectives and activities in regard to policy development.
- **Coordination Process:** There is an entity, such as a coordination unit or task force, that has defined membership and meets regularly to discuss, develop and coordinate food security policy development (and oversee cross-sector coordination).
- **Secretariat/Administrative Support Function:** There is an adequate staff capability to perform required support processes, including coordination, meeting management, communication, and document management. This may be a stand-alone secretariat, or a responsibility within an existing entity.
- **Technical Capacity:** There are work groups, or technical committees, that have the authority and capacity to perform the following functions: identify policy and technical challenges/issues, develop sector- or project-specific policies/strategies, consult within the sector and draft funding proposals. There should be active participation by the private sector and CSOs on the technical work groups (as appropriate).

- **Political Support and Approval:** There is a line of authority/participation by high-level decision-makers above the ministerial level so as to enable efficient political support for the passage and development of new policies, e.g. involvement of prime minister's office (especially for policies that cut across sectors, e.g. trade and agriculture).
- **Engagement of Parliament/Legislative Body:** There is engagement from the country's legislative entity to consider, debate and engage on food security issues, and to sponsor and advocate for the required legal/policy changes.

Policy Element 3: Inclusivity and Stakeholder Consultation

- **Inclusive Participation within the Policy Coordination Management Entity:** The main coordination entity has: a) clear goals and participation from key government ministries (beyond just Ministry of Agriculture) and; b) some representation from non-government entities, particularly from donors.
- **Outreach and Communications:** There is a process for interacting with stakeholders and sharing information. This could include regular public "forums", a website of key information and other mechanisms.
- **Private Sector Participation – Opportunity/Space:** The private sector is provided meaningful opportunity to participate in policy formulation and strategy discussions. This could be through participation in the management/steering committee, in technical work groups and/or through other forums. Communications and interactions should be two-way, and access to key information should be readily available.
- **Private Sector Participation – Capacity to Participate:** Some organizations representing the private sector have the capacity to participate in government-led discussions on food policy. This is to say they are able to represent their members, they are able to articulate and communicate policy positions, and they are able to provide some level of evidence-based analysis to support their viewpoints.
- **Participation of CSOs – Opportunity/Space:** The CSO sector, including representation from women's associations and farmers associations, is provided meaningful opportunity to participate in policy formulation and strategy discussions. This could be through participation in the management/steering committee, in technical work groups and/or through other forums. Communications and interactions should be two-way, and access to key information should be readily available.

Policy Element 4: Evidence-based Analysis

- **Economic and Financial Analysis Completed as a Component of Planning:** National food security priority policy initiatives/investment plans are based on economic and financial analysis, including independent policy analysis. The analysis is available for public review.
- **Performance Monitoring Measures and Targets Developed:** The national food security policies/plans include specific objectives, performance indicators, and targets exist to monitor the accomplishment of the objectives.

- **Quality Data Exists for Policy Monitoring:** There is a database of quality statistics that is used to routinely report and analyze progress in achieving objectives. (Analysis to be conducted by USDA – and not as part of this assessment framework.)
- **Quality Data is Available for Policy Making:** Data on the performance of the agriculture sector and the food security are publically available and shared in a timely manner. This information is available for others to use and analyze.
- **Inclusion of Analysis in the Policy Development Process:** Evidence-based analysis is considered and used to develop policy priorities/policy proposals.
- **Capacity to Monitor Policy Implementation and Results:** The government has the ability to review data on policy performance and produce an analysis of the policy's effectiveness. A policy analysis function/unit exists and has adequate and skilled staff, and is sufficiently funded. If required, specific analysis can be outsourced to specialized firms or consultants as needed (case-by-case).
- **Annual Performance Measurement Report Produced and Reviewed:**
 - Evidence-based analysis is produced to review policy effectiveness (for implemented policies). A formal review session is held, and includes key development partners (including principal donors and multilateral partners, such as FAO and IFPRI).
 - Recommendations are developed as a result of the review and incorporated into subsequent plans.
- **Independent Analysis Capacity Exists:**
 - There exists an independent capacity to analyze food security data and use the analysis to make policy recommendations and engage in policy discussion and advocacy. Such an analysis could be conducted by a research institute, university or similar non-governmental/objective organization. This capacity should be engaged in the government's policy development and review process as, for example, through papers, forums or participation introduced in official policy review and discussion meetings.

Policy Element 5: Policy Implementation

- **Implementation Plans Developed:** The overall food security strategy has been broken down into programs and projects that have: a) a sufficient level of detail to permit implementation; b) have been “packaged” into priority projects that can be managed by ministerial units; and 3) “packaged” priorities can be translated into funding proposals to gain support for projects/programs from development partners (to address financing gaps).
- **System in Place to Analyze Implementation Capacity Constraints:** An analysis of institutional, workforce, system and financial constraints is conducted. Critical implementation constraints are identified; a work plan is developed to address constraints; and implementation actions are moved forward (and periodically reviewed).
- **Food Security Policy Priorities Aligned with Work Plans of Line Ministries:** The

priority policy and associated objectives of the national food security strategy are broken down into specific programs and projects (with a sufficient level of detail) so that policy actions can be implemented by line ministries. The plans of individual ministries, and units within ministries, align with overall national strategy and its policy objectives. **Policy Implementation Budget Committed by Host Country:**

Resources are committed by the host country to implement the identified policy agenda. Over time, the country's budget is adjusted to provide adequate financing for the implementation of actions required to implement policy priorities. Budget documents, including budget proposals, are released fully and in a timely manner.

- **Supplemental Implementation Funds Secured:** Proposals can be submitted, and funds secured, to address financing gaps. Funds may come from multilateral funds (such as GAFSP), regional organizations, bilateral donors and the private sector.
- **Monitoring and Evaluation:** Capacity exists within the public sector, private sector, or civil society to review the effectiveness and impact of policy changes. Sector reviews are performed and other research evidence is collected. There is a system to share, store, and access the findings from these reviews.

Policy Element 6: Mutual Accountability

- **A Forum Exists for Regularly Scheduled Donor-Government Meetings:** These meetings discuss policy and programs and set priorities. Meetings may include, for example, Joint Sector Reviews, sector working groups or other similar arrangements.
- **Joint Policy Priorities Developed:** A document exists that articulates the shared policy objectives between the government and the donor community.
- **Monitoring System Exists:** Performance measures exist (for the performance commitments of the government and for the performance commitments of the donors). There is a schedule for reviewing and documenting progress – at least on an annual basis.
- **Donor Coordination – Alignment and Harmonization:** There is a process for donor participation in the food security policy process and for aligning government and donor objectives and priorities. Donor programs should contribute directly to host country strategies, plans, and objectives. This may include the signing of cooperation frameworks that indicate a joint commitment to specific policy change goals.
- **Private Sector Accountability:** The government provides feedback to the private sector on the performance of the food security program (including the private sector's role) and provides an opportunity for dialogue on the program and its performance.
- **CSO Sector Accountability:** The government provides feedback to the CSO sector on the performance of the food security program (including the role of CSOs) and provides an opportunity for dialogue on the program and its performance.



INSTITUTIONAL ARCHITECTURE ASSESSMENT FOR FOOD SECURITY POLICY CHANGE: BACKGROUND INFORMATION¹

In early 2013, the Africa Lead Project developed a methodology for analyzing a country's capacity to undertake food security policy change. This methodology – the Institutional Architecture Assessment for Food Security Policy Change (IAA) – was designed to provide the USAID Bureau of Food Security, USAID Missions, local policymakers, and other key stakeholders with information on possible constraints that could stymie effective policy change. The intention was that the results of the analysis could be used to identify opportunities for strengthening a country's capacity to manage the entire policy change process. In collaboration with the Economics, Agriculture, and Trade (EAT) Project, Africa Lead has completed IAAs in Africa in recent years (see text box).

The IAA was designed to provide a quick scan of the capacities fundamental to policy change in regard to the Africa Union's Comprehensive Africa Agriculture Development Programme (CAADP). CAADP was initiated by the African Union (AU) in 2002 and was designed to help countries increase agricultural productivity by at least six percent per annum and achieve the United Nation's Millennium Development Goal number one, which is to cut hunger in half by 2015. Participation by African countries is voluntary; however, if countries decide to participate they agree to adhere to the CAADP development process and values, which include: 1) 10 percent of the national budget should be allocated to food security; 2) planning and implementation should involve the inclusive participation of a wide range of stakeholders, including the private sector and civil society organizations; and 3) decision-making should be evidenced-based.

African Countries/areas where IAAs have been completed

- *Ethiopia*
- *Tanzania*
- *Malawi*
- *Zambia*
- *Mozambique*
- *Ghana*
- *Senegal*
- *DRC*
- *Rwanda*
- *Uganda*
- *East African Community*
- *Kenya*
- *Malawi II*



IAA Methodology

The IAA methodology is composed of the following three components.

Part I: Mapping of Institutional Architecture for Policy Change: The first step in this process graphically maps out the key systems, processes, and relationships that influence the food security policy development process.

Part II: Capacity of Food Security Policy Change: The second part of this assessment involves an analysis of a country's capacity to undertake transparent, inclusive, predictable, and evidence-based policy change. A country's policy change process is examined through the following six elements to determine its 'readiness for policy change':

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

Each of these elements is analyzed through a set of indicators that determine the capacity and effectiveness of the overall policy change process. The indicators are assessed using a three-tier rating system, which highlights the level of attention needed to improve the effectiveness of each indicator. A *Green* rating means that performance is strong and additional attention is not required. A *Yellow* rating means that performance has strengths and weaknesses but additional attention is required. A *Red* rating means that significant attention is needed to improve performance on the indicator. Indicator ratings are accompanied by a narrative analysis of key gaps and constraints to the policy change process.

Part III: Summary Conclusions and Recommendations: The third part of the methodology produces conclusions based on findings from Parts I and II, and develops recommendations for future action.

Development of IAA Structure

There are three levels of capacity strengthening that development programs typically address and for which it is important to measure progress. These include: 1) individual capacity, such as skills acquired through training and workshops; 2) institutional capacity, which includes the functions critical to an organization's performance, such as governance, planning, accounting and procurement; and 3) systemic capacity, which focuses on the process of achieving program outcomes when two or more institutions must cooperate to achieve a common objective. The IAA was specifically designed to assess the systemic management processes and challenges inherent in managing a multi-sectoral food security program.

The structure of the IAA was developed: 1) to cover the basic steps involved in policy development; and 2) to mirror the CAADP guidelines and structure -- which is to say the methodology analyzes policy change in the context of the functions that CAADP itself has said are important. The explanation for why each of the six policy elements was selected is indicated in the table below.

Policy Element	Basis for Inclusion
Descriptive Components of a Policy Development and Implementation	
Policy Element 1: Predictability of the Guiding Policy Framework	An overview of the relevant laws, regulations, and policies governing the policy development process.
Policy Element 2: Policy Development and Coordination	A description of who initiates and develops a policy, who writes the policy, the entities involved and the relationship between these entities.
Policy Element 5: Policy Implementation	A review of the organizations that have direct responsibility for policy implementation and what coordination and management mechanisms are used.
Policy Elements Aligned to CAADP Principles²	
Policy Element 3: Inclusivity and Stakeholder Consultation	A review of the process of consultation with key groups critical to the food security sector and assesses the degree to which the different groups are engaged, including across government, the private sector and among non-governmental organizations. Consultation with a wide range of stakeholders is a requirement of the CAADP stock-taking exercise, and “engagement with stakeholders and public–common understanding of opportunities for agricultural growth” is a requirement of the CAADP process (to which countries agree when signing a country compact with the African Union).
Policy Element 4: Evidence-based Analysis	Reviews who is responsible for collecting data and how is it used to inform or revise policy change. CAADP Component 2 is evidence-based analysis: “the centerpiece of this component is analytical work that underpins evidence-based decisions and investment program planning. It represents the primary 'knowledge management' component of CAADP, with elements meant to stimulate information and knowledge generation, application and related learning and review.”

² References related to CAADP requirements and principles are from “Accelerating CAADP Country Implementation; A Guide for Implementers;” the New Partnership for Africa’s Development, the African Union.

Policy Element 6: Mutual Accountability	This element reviews the mechanisms to foster greater mutual accountability between the government, development partners, and national beneficiaries, and is consistent with the principles of the Paris Declaration on Aid Effectiveness. One of CAADP's "core values" is: Dialogue, (peer) review and mutual accountability at the national level open the door to collective responsibility and inclusive participation down to local (grassroots) structures. These principles are expected to stimulate and broaden the practice of benchmarking, mutual learning and harmonization of national development efforts, while encouraging a greater level of trans-boundary cooperation and regional integration."
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It should be noted that there are several key aspects of policy change that are not covered in the IAA, but which could be part of a like-minded analytical methodology. These issues include: the political aspects of policy change, such as stakeholder mapping and governance considerations; the implementation process, including building administrative capacity and instituting a change management process; building constituencies for change (advocacy); and managing the policy change process. These issues are important for a change agent to understand in order to manage a change process, but they were not the focus of the IAA methodology when it was developed.

Capacity of Policy Change Assessment Framework

Capacity of Policy Change Indicators	Status		
			
Policy Element 1: Predictability of the Guiding Policy Framework			
Clearly Defined and Consistent Policy Framework: The policy framework impacting food security policy-making is clearly defined, and consistently applied and enforced from year to year.			
Predictability and Transparency of the Policy Making process: The policy development process is transparent in accordance with the rules contained within the country's constitution, basic law, and elsewhere in the formal legal framework.			
Clear and Functional Legislative System: There is a legislative capacity to deal with food security policy change, and the legislative requirements are clearly defined and predictable.			

Capacity of Policy Change Indicators	Status		
	Red	Yellow	Green
<p>Appropriate Dispute Resolution Process/Judicial Framework: The judicial system is perceived as fair and effective, and there is an appropriate system for dispute resolution where conflicts arise relating to food security policy.</p>			
<p>Clearly defined Institutional Responsibilities: Institutional responsibilities are clearly defined, consistently applied, and predictable from year to year.</p>			
<p>Policy Element 2: Policy Development & Coordination</p>			
<p>Approved Food Security Strategy/Investment Plan: There is an approved/official multi-sectoral, multi-year food security plan developed, which specifies priorities and objectives, and addresses the roles of various contributors, including across government, the private sector, and CSOs. The vision and strategy to improve food security is clear.</p>			
<p>Predictable Policy Agenda and Priorities Developed: The policy items required to achieve the national food strategy have been identified and documented, i.e., specific policy objectives exist.</p>			
<p>Work Plans: There is an annual work plan that identifies objectives and activities in regard to policy development.</p>			
<p>Coordination Process: There is an entity, such as a coordination unit or task force, that has defined membership and meets regularly to discuss, develop and coordinate food security policy development (and oversee cross-sector coordination).</p>			
<p>Secretariat/Administrative Support Function: There is an adequate staff capability to perform required support processes, including coordination, meeting management, communication, and document management. This may be a stand-alone secretariat, or a responsibility within an existing entity.</p>			
<p>Technical Capacity: There are work groups, or technical committees, that have the authority and capacity to perform the following functions: identify policy and technical challenges/issues, develop sector- or project-specific policies/strategies, consult within the sector and draft funding proposals. There should be active participation by the private sector and CSOs on the technical work groups (as appropriate).</p>			
<p>Political Support and Approval: There is a line of authority/participation by high-level decision-makers above the ministerial level so as to enable efficient political support for the passage and development of new policies, e.g. involvement of prime minister's office (especially for policies that cut across sectors, e.g. trade and agriculture).</p>			

Capacity of Policy Change Indicators	Status
	
<p>Engagement of Parliament/Legislative Body: There is engagement from the country’s legislative entity to consider, debate and engage on food security issues, and to sponsor and advocate for the required legal/policy changes.</p>	
<p>Policy Element 3: Inclusivity and Stakeholder Consultation</p>	
<p>Inclusive Participation within the Policy Coordination Management Entity: The main coordination entity has: a) clear goals and participation from key government ministries (beyond just Ministry of Agriculture) and; b) some representation from non-government entities, particularly from donors.</p>	
<p>Outreach and Communications: There is a process for interacting with stakeholders and sharing information. This could include regular public “forums”, a website of key information and other mechanisms.</p>	
<p>Private Sector Participation – Opportunity/Space: The private sector is provided meaningful opportunity to participate in policy formulation and strategy discussions. This could be through participation in the management/steering committee, in technical work groups and/or through other forums. Communications and interactions should be two-way, and access to key information should be readily available.</p>	
<p>Private Sector Participation – Capacity to Participate: Some organizations representing the private sector have the capacity to participate in government-led discussions on food 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.</p>	
<p>Participation of CSOs – Opportunity/Space: The CSO sector, including representation from women’s associations and farmers associations, is provided meaningful opportunity to participate in policy formulation and strategy discussions. This could be through participation in the management/steering committee, in technical work groups and/or through other forums. Communications and interactions should be two-way, and access to key information should be readily available.</p>	

Capacity of Policy Change Indicators	Status
	
<p>Participation of CSOs – Capacity to Participate: Some organizations representing civil society, including representation from women’s associations and farmers associations, have the capacity to participate in government-led discussions on food 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.</p>	
<p>Policy Element 4: Evidence-based Analysis</p>	
<p>Economic and Financial Analysis Completed as a Component of Planning: National food security priority policy initiatives/investment plans are based on economic and financial analysis, including independent policy analysis. The analysis is available for public review.</p>	
<p>Performance Monitoring Measures and Targets Developed: The national food security policies/plans include specific objectives, performance indicators, and targets exist to monitor the accomplishment of the objectives.</p>	
<p>Quality Data Exists for Policy Monitoring: There is a database of quality statistics that is used to routinely report and analyze progress in achieving objectives. (Analysis to be conducted by USDA – and not as part of this assessment framework.)</p>	
<p>Quality Data is Available for Policy Making: Data on the performance of the agriculture sector and the food security are publically available and shared in a timely manner. This information is available for others to use and analyze.</p>	
<p>Inclusion of Analysis in the Policy Development Process: Evidence-based analysis is considered and used to develop policy priorities/policy proposals.</p>	
<p>Capacity to Monitor Policy Implementation and Results: The government has the ability to review data on policy performance and produce an analysis of the policy’s effectiveness. A policy analysis function/unit exists and has adequate and skilled staff, and is sufficiently funded. If required, specific analysis can be outsourced to specialized firms or consultants as needed (case-by-case).</p>	
<p>Annual Performance Measurement Report Produced and Reviewed: Evidence-based analysis is produced to review policy effectiveness (for implemented policies). A formal review session is held, and includes key development partners (including principal donors and multilateral partners, such as FAO and IFPRI). Recommendations are developed as a result of the review and incorporated into subsequent plans.</p>	

Capacity of Policy Change Indicators	Status
	
<p>Independent Analysis Capacity Exists: There exists an independent capacity to analyze food security data and use the analysis to make policy recommendations and engage in policy discussion and advocacy. Such an analysis could be conducted by a research institute, university or similar non-governmental/objective organization. This capacity should be engaged in the government's policy development and review process as, for example, through papers, forums or participation introduced in official policy review and discussion meetings.</p>	
<p>Policy Element 5: Policy Implementation</p>	
<p>Implementation Plans Developed: The overall food security strategy has been broken down into programs and projects that have: a) a sufficient level of detail to permit implementation; b) have been “packaged” into priority projects that can be managed by ministerial units; and 3) “packaged” priorities can be translated into funding proposals to gain support for projects/programs from development partners (to address financing gaps).</p>	
<p>System in Place to Analyze Implementation Capacity Constraints: An analysis of institutional, workforce, system and financial constraints is conducted. Critical implementation constraints are identified; a work plan is developed to address constraints; and implementation actions are moved forward (and periodically reviewed).</p>	
<p>Food Security Policy Priorities Aligned with Work Plans of Line Ministries: The priority policy and associated objectives of the national food security strategy are broken down into specific programs and projects (with a sufficient level of detail) so that policy actions can be implemented by line ministries. The plans of individual ministries, and units within ministries, align with overall national strategy and its policy objectives.</p>	
<p>Policy Implementation Budget Committed by Host Country: Resources are committed by the host country to implement the identified policy agenda. Over time, the country's budget is adjusted to provide adequate financing for the implementation of actions required to implement policy priorities. Budget documents, including budget proposals, are released fully and in a timely manner.</p>	
<p>Supplemental Implementation Funds Secured: Proposals can be submitted, and funds secured, to address financing gaps. Funds may come from multilateral funds (such as GAFSP), regional organizations, bilateral donors and the private sector.</p>	

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

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