Handout 1
Source: Excerpt from Africa Lead 2017 workshop on Institutional Architecture Assessment, which is part of NAIP Toolkit
Putting in Place the Right Institutional Architecture for an Effective NAIP

There are two main features to developing and implementing a NAIP. The first is to identify programs and projects, the actual investment choices, which if implemented well will achieve the Malabo indicators. The second feature of developing and implementing a NAIP focuses on the set of institutions, agencies and such stakeholders as civil society Organizations and the private sector to work together with one focus, namely to achieve the investment goals and the Malabo indicators. The Institutional architecture six policy elements will assist stakeholders to identify weaknesses and strengths in the relationships between the various stakeholders involved in the NAIP, so that measures can be taken to improve the institutional architecture. A strong institutional architecture does not guarantee effective implementation of the NAIP, but effective implementation cannot occur unless the institutional architecture is reasonably robust.

Policy Element 1: Predictability of the Guiding Policy Framework

1) What are the relevant laws, regulations, and policies governing the policy development process?
   a) Is the policy framework impacting food security policy-making clearly defined, and consistently applied and enforced from year to year?
   b) Is the policy development process transparent?
   c) Is there is legislative capacity to deal with food security policy change, and are legislative requirements clearly defined and predictable?

2) What are the strategic frameworks governing the identification and prioritization of policy change?
   a) Is the judicial system perceived as fair and effective, and there is an appropriate system for dispute resolution when conflicts arise relating to food security policy?
   b) Are institutional responsibilities clearly defined, consistently applied, and predictable from year to year?

Policy Element 2: Policy Development and Coordination

1) Who initiates the policy change process?
   a) Prime Minister/President, Ministries, Parliamentary subcommittees, private sector, civil society?
   b) Is 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 the Prime Minister's office (especially for policies that cut across sectors, e.g. trade and agriculture)?

2) *What are the primary organizations or groups responsible for policy development?*
   a) Prime Minister/President, Executive, Ministries, Parliamentary subcommittees, Judicial?
   b) Is there 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?
   c) Is there an approved, official multi-sectoral, multi-year food security plan that specifies priorities and objectives, and addresses the roles of various contributors, including across government, the private sector, and CSOs?
   d) Is the vision and strategy to improve food security clear?
   e) Are the policy items required to achieve the national food strategy identified and documented, i.e., do specific policy objectives exist?
   f) Is there is an annual work plan that identifies policy development objectives and activities?

3) *What supporting organizations feed into the policy development process, and how does this engagement look?*
   a) Political (political parties, donors, regional organizations)?
   b) Private sector (business, professional, and trade associations)?
   c) Civil society (media, research organizations, NGOs, women's groups)?

4) *What is the nature of the relationship between the actors?*
   a) Is there is an entity such as a coordination unit or task force that has defined membership and meets regularly to discuss, develop and coordinate food security policy development (and oversee cross-sector coordination)?
   b) Is there adequate staff capability to perform required support processes, including coordination, meeting management, communication, and document management? (e.g., This may be a stand-alone secretariat, or a responsibility within an existing entity.)
   c) Are there work groups, or technical committees, that have the authority and capacity to perform the following functions?
      o Identify policy and technical challenges/issues
      o Develop sector- or project-specific policies/strategies
      o Consult within the sector and draft funding proposals
      Is there active participation by the private sector and CSOs on the technical work groups (as appropriate)?

5) *What are the social influences at this stage of the policy change process?*
   a) Social, political, financial, technological, gender, or cultural

Policy Element 3: Inclusivity and Stakeholder Consultation

1) *What are the key laws, regulations and policies governing the consultation process? Is this process predictable?*

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a) Does the main coordination entity have: 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?

2) *What is the primary government organization charged with the consultative process?*
3) *What is the process for consultation:*
   a) Is 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.
      o Political (political parties, donors, regional organizations)
      o Private sector (business, professional, and trade associations)
      o Civil society (media, research organizations, NGOs, women's groups)
   b) Is the private sector 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.
      o Are there organizations representing the private sector that have the capacity to participate in government-led discussions on food policy? Are they able to represent their members, are they able to articulate and communicate policy positions, and are they able to provide some level of evidence-based analysis to support their viewpoints.
   c) Is the CSO sector, including representation from women's associations and farmers associations, 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. As noted above, communications and interactions should be two-way, and access to key information should be readily available.
      o Are there organizations representing civil society – including representation from women's associations and farmers associations – that have the capacity to participate in government-led discussions on food policy?

4) *What are the social influences at this stage of the policy change process?*
   a) Social, political, financial, technological, gender, or cultural

Policy Element 4: Evidence-Based Analysis

1) *What is the primary government organization overseeing data collection and analysis?*
2) *What are the supporting organizations involved in objective policy analysis and review, and how does this feed the policy change process?*
   a) Ministries, research institutes, universities, private sector associations, regional organizations, donors?
   b) Are national food security priority policy initiatives and investment plans based on economic and financial analysis, including independent policy analysis?

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- o   Is the analysis available for public review?
- c) Do the national food security policies and plans include specific objectives, performance indicators, and targets to monitor the accomplishment of the objectives?
- d) Is there is a database of quality statistics used to routinely report and analyze progress in achieving objectives?
- e) Are data on the performance of the agriculture sector and food security publically available and shared in a timely manner?
  - o   Is this information available for others to use and analyze?
- f) Is evidence-based analysis considered and used to develop policy priorities and policy proposals?
- g) Does the government have the ability to review data on policy performance and produce an analysis of the policy's effectiveness?
  - o   Does a policy analysis function/unit exist? Does it have adequate and skilled staff, and is it sufficiently funded?
  - o   If required, can specific analysis be outsourced to specialized firms or consultants?
- h) Is evidence-based analysis produced to review policy effectiveness (for implemented policies)?
  - o   Are formal review sessions held, and do they include key development partners (including principal donors and multilateral partners, such as FAO and IFPRI)?
  - o   Are recommendations developed as a result of the review and incorporated into subsequent plans?
- i) Does an independent capacity exist 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 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.)

3) *What are the social influences at this stage of the policy change process?*
   a) Social, political, financial, technological, gender, or cultural

Policy Element 5: Policy Implementation

1) *What policy tools are needed to implement the decision?*
   a) Legislation, Regulation, Directives, Training?
   b) Has the overall food security strategy been broken down into programs and projects, i.e.:
   - o   With a sufficient level of detail to permit implementation?
   - o   "Packaged" into priority projects that can be managed by ministerial units?
   - o   "Packaged" priorities that can be translated into funding proposals to gain support for projects/programs from development partners (to address financing gaps)?

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c) Has an analysis of institutional, workforce, system and financial constraints been conducted?
   - Have critical implementation constraints been identified?
   - Has a work plan been developed to address constraints?
   - Are implementation actions moving forward (and periodically reviewed)?

2) *What are the organizations with direct responsibility for implementation?*
   a) Prime Minister/President, Executive, Ministries, Parliamentary subcommittees, Judicial?

3) *What are the organizations responsible for supporting implementation, and how does this engagement look?*
   a) Private sector, civil society, regional organizations?
   b) Are the priority policies and associated objectives of the national food security strategy broken down into specific programs and projects (with a sufficient level of detail) so that policy actions can be implemented by line ministries?
      - Do the plans of individual ministries, and units within ministries, align with the overall national strategy and its policy objectives?
   c) Are resources committed by the host country to implement the identified policy agenda?
      - Over time, has the country's budget been adjusted to provide adequate financing for the implementation of actions required to implement policy priorities?
      - Have budget documents, including budget proposals, been released fully and in a timely manner?
   d) Can proposals 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.
   e) Does capacity exists within the public sector, private sector, or civil society to review the effectiveness and impact of policy changes?
      - Are sector reviews performed and other research evidence collected?
      - Is there is a system to share, store, and access the findings from these reviews?

4) *What are the social influences at this level of the policy change process*
   a) Social, political, financial, technological, gender, or cultural?

Policy Element 6: Mutual Accountability

1) *Is there a Mutual Accountability forum, such as a Joint Sector Review, for regular donor-government meetings?*
   a) Are there meetings to discuss policy and programs and set priorities?
      - Meetings may include, for example, Joint Sector Reviews, sector working groups or other similar arrangements.
   b) Does a document exist that articulates the shared policy objectives between the government and the donor community?

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c) Do performance measures exist (for the performance commitments of the government and for the performance commitments of the donors)?
   o Is there is a schedule for reviewing and documenting progress – at least on an annual basis?

d) Is there is a process for donor participation in the food security policy process and for aligning government and donor objectives and priorities?
   o 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.

2) *What organizations and actors are members of this forum?*

3) *What private sector and civil society organizations support the forum? What is the nature of this support?*