Institutional Architecture for Food Security Toolkit

Analyst-led Assessment Guidelines

FEED THE FUTURE: BUILDING CAPACITY FOR AFRICAN AGRICULTURAL TRANSFORMATION PROJECT (AFRICA LEAD II)

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OBJECTIVE

USAID's Africa LEAD and EAT projects will conduct country-level analyses of a country's capacity to undertaken food security policy reform. This analysis will 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. Technical assistance and other support can then be identified to address constraints, and to improve the policy capacity process – including in areas of transparency, predictability, inclusiveness and evidence-based analysis.

PROCESS

Pre-trip Preperations		Desk Research		In-country interviews		Report of 15-20 pages
(4 weeks)		*(1 week)*		*(2 weeks)*		*(1 weeks)*
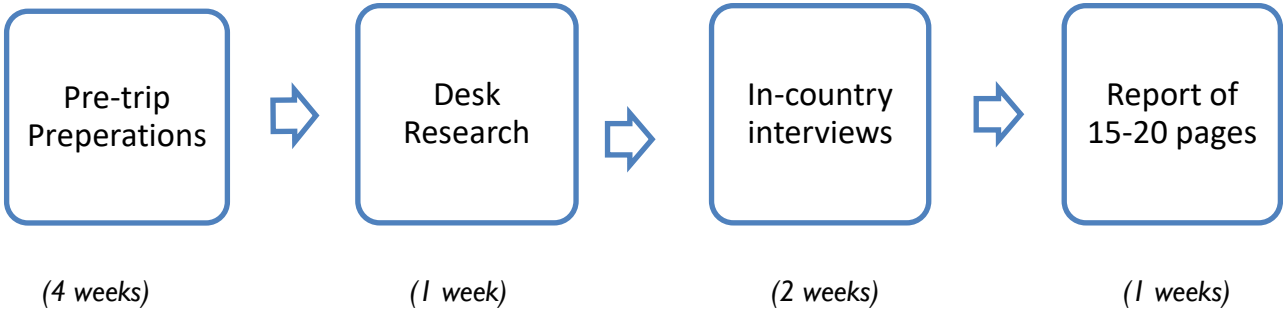
Team: The Institutional Architecture team will consist of two consultants. One expat consultant will be responsible for managing the assessment, technical analysis, mission engagement, and timely report delivery. One local consultant will be responsible for supporting the expat consultant in facilitating meetings and technical analysis.

Mission Engagement: Mission engagement in the Institutional Architecture process is minimal. The team acts independently in finding and scheduling stakeholder interviews, although mission recommendations in this regard are welcome. The Institutional Architecture team will meet with the mission twice during the assessment: (1) an initial orientation briefing to answer any questions and to clarify mission priorities, concerns, and interests; and (2) an exit briefing in which the team provides an overview of its findings.

Report: The report consists of a 15-20 page document with an executive summary, and includes sections on institutional mapping, capacity for food security reform indicators, and recommendations for future priorities and actions.

THE METHODOLOGY

Part I: Mapping of Institutional Architecture Inventory

The first step in this process will be to map out the key systems, processes, and relationships that influence the food security policy development process. This approach will involve identifying and mapping the relationships among the following: the guiding policy framework; the key institutions that hold primary responsibility for implementation; inter-ministerial coordination mechanisms; and private and civil society organizations – as well as think tanks and research organizations -- that impact and influence the food security policy change process. These factors will be examined in the context of the broader economic and social dynamics that impact the policy change environment.

Part II:Capacity of Food Security Policy Reform

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

- Policy Element 1: Predictability of the 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 components is analyzed though a set of indicators that determine the capacity and effectiveness of the overall policy change process. Each indicator is assessed using a three-tier rating system, which highlights the priority and level of attention needed to improve the effectiveness of the condition. Indicators will be accompanied with a narrative analysis of key gaps and constraints to the policy change process. Indicators should serve as a baseline of the country's capacity to undertake policy change and comparisons could be made the following year to ascertain progress made.

Part III: Recommendations

The third part is a succinct section that draws conclusions based upon the above set of findings, and develops recommendations for future priorities and action. To the extent possible, the information should be documented and objectively verifiable – and should be directly supported by the findings documented through the assessment framework analysis process. Conclusions should be brief (1-2 paragraphs per element).

STRUCTURE OF THE REPORT

Executive Summary (2 pages)

Introduction and methodology (2 pages)

- Purpose of the Assessment
- Methodology
- Overview of the Country Food Security Strategy

Part I: Institutional Mapping (2 pages)

- Graphic description of the Food Security Policy Process

Part II: Analysis - Capacity of Food Security Policy Change (8 pages)

- Policy Element 1: Predictability of the Guiding Policy Framework
    - Overview
    - Policy Change Indicators
    - Recommendations
- Policy Element 2: Policy Development and Coordination
    - Overview
    - Policy Change Indicators
    - Recommendations
- Policy Element 3: Inclusivity and Stakeholder Consultation
    - Overview
    - Policy Change Indicators
    - Recommendations
- Policy Element 4: Evidence-based Analysis
    - Overview
    - Policy Change Indicators
    - Recommendations
- Policy Element 5: Policy Implementation
    - Overview
    - Policy Change Indicators
    - Recommendations
- Policy Element 6: Mutual Accountability
    - Overview
    - Policy Change Indicators
    - Recommendations

Annex: Capacity for Food Security Policy Change Indicators

GUIDELINES FOR INTERVIEWS

Interviews should seek to cover the widest possible range agents involved in reforming the regulatory and policy systems and processes, including policy-makers, private sector, and civil society
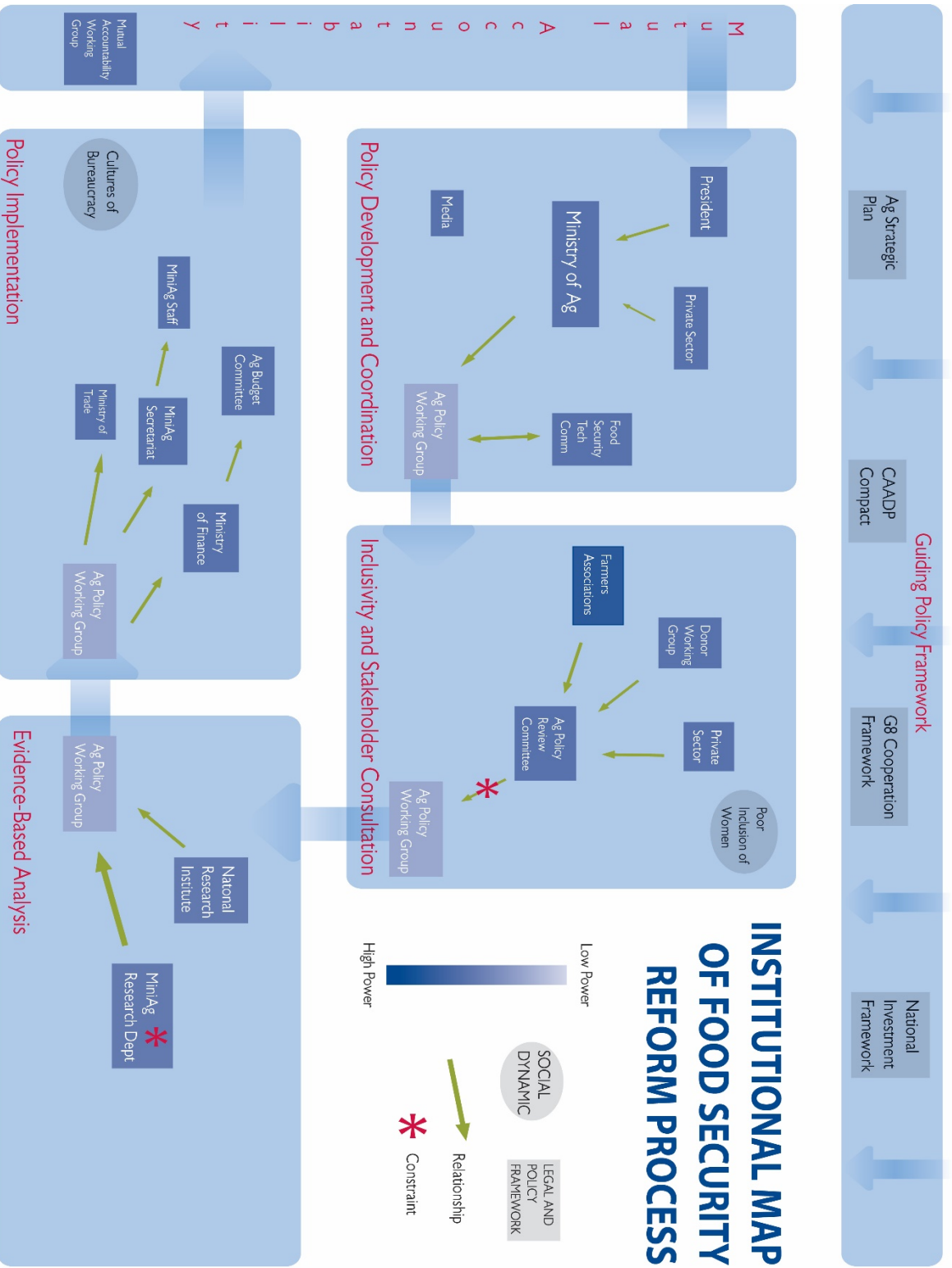
Sources for Identifying Interviewees: The list below gives some ideas for where to find relevant stakeholders.

- Suggestions from USAID host country mission
- Direct contact with the Ministry of Agriculture
- CAADP Country Workshops
- Former/current USAID project partners
- Other donors involved in food security policy change
- Websites for trade and industry associations, chambers of commerce, etc.
- Other individuals, companies, and organizations that come up in the course of the literature review

Stakeholder Selection: While it is desirable to talk to all types of food security stakeholders, time and location will allow only a small sample. With two consultants, the Institutional Architecture team should be able to conduct approximately 10-15 stakeholder interviews over the course of the assessment. The interviews will be conducted in a major city of the target country. A balance should be struck between policy-makers involved in leading food security change, and private sector and civil society actors who can provide direct information about their experiences.

Target Stakeholders	
Implementing Organizations	**Civil Society**

- Ministry of Agriculture
   o Secretariat
   o Management Committees
   o Food Security Program Areas
   o M&E Officers
- Multi-sector policy coordination group
- Ministry of Trade (where appropriate)
- Ministry of Finance (where appropriate)
- Ministry of Commerce (where appropriate)
- Ministry of Public Works (where appropriate)
- Nutrition Ministry/Unit (where appropriate)
 	
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- CAADP/REC Representatives
	- Trade Associations
	   o Trade and industry associations
	   o Chambers of commerce
	   o Associations of women business owners
	- Academics and Research Institutions
	- Regional Organizations

	Private Sector

	- Producers
	   o Producers/farmers
	   o Farmers' organizations
	   o Cooperatives
	- Manufacturers/Processors
	- Traders
	- Women from all segments of the agricultural sector

INSTITUTIONAL MAP OF FOOD SECURITY REFORM PROCESS

Guiding Policy Framework

- Ag Strategic Plan
- CAADP Compact
- G8 Cooperation Framework
- National Investment Framework

Policy Development and Coordination

- President
- Media
- Ministry of Ag
- Private Sector
- Ag Policy Working Group
- Food Security Tech Comm

Inclusivity and Stakeholder Consultation

- Farmers Associations
- Donor Working Group
- Ag Policy Review Committee
- Private Sector
- Poor Inclusion of Women
- Ag Policy Working Group

Policy Implementation

- Mutual Accountability Working Group
- Cultures of Bureaucracy
- MinAg Staff
- Ministry of Trade
- Ag Budget Committee
- MinAg Secretariat
- Ministry of Finance
- Ag Policy Working Group

Evidence-Based Analysis

- Ag Policy Working Group
- National Research Institute
- MinAg Research Dept

Legend

- LEGAL AND POLICY FRAMEWORK
- SOCIAL DYNAMIC
- Relationship
- * Constraint
- Low Power — High Power

ANNEX 2: INSTITUTIONAL MAP QUESTIONNAIRE

Predictability of the Guiding Policy Framework

- What are the relevant laws, regulations, and policies governing the policy development process?
- What are the strategic frameworks governing the identification and prioritization of policy change?

Policy Development and Coordination

- Who initiates the policy change process?
  - Prime Minister/President, Ministries, Parliamentary subcommittees, private sector, civil society
- What are the primary organizations or groups responsible for policy development?
  - Prime Minister/President, Executive, Ministries, Parliamentary subcommittees, judicial
- What supporting organizations feed into the policy development process, and how does this engagement look?
  - Political (political parties, donors, regional organizations)
  - Private sector (business, professional, and trade associations)
  - Civil society (media, research organizations, NGOs, women's groups)
- What is the nature of the relationship between the actors?
- What are the social influences at this stage of the policy change process?
  - Social, political, financial, technological, gender, or cultural

Inclusivity and Stakeholder Consultation

- What are the key laws, regulations and policies governing the consultation process? Is this process predictable?
- What is the primary government organization charged with the consultative process?
- What is the process for consultation with:
  - Political (political parties, donors, regional organizations)
  - Private sector (business, professional, and trade associations)
  - Civil society (media, research organizations, NGOs, women's groups)
- What are the social influences at this stage of the policy change process?
  - Social, political, financial, technological, gender, or cultural

Evidence-Based Analysis

- What is the primary government organization overseeing data collection and analysis?
- What are the supporting organizations involved in objective policy analysis and review, and how does this feed into the policy change process?
    - Ministries, Research institutes, universities, private sector associations, regional organizations, donors
- What are the social influences at this stage of the policy change process?
    - Social, political, financial, technological, gender, or cultural

Policy Implementation

- What policy tools are needed to implement the decision?
    - Legislation, Regulation, Directives, Training
- What are the organizations with direct responsibility for implementation?
    - Prime Minister/President, Executive, Ministries, Parliamentary subcommittees, judicial
- What are the organizations responsible for supporting implementation, and how does this engagement look?
    - Private sector, civil society, regional organizations
- What are the social influences at this level of the policy change process
    - Social, political, financial, technological, gender, or cultural

Mutual Accountability

- Is there a Mutual Accountability forum, such as a Joint Sector Review, for regular donor-government meetings?
    - What organizations and actors are members of this forum?
    - What private sector and civil society organizations support the forum? What is the nature of this support?

ANNEX 3: CAPACITY OF FOOD SECURITY POLICY CHANGE INDICATORS

Notes on use of the assessment framework (presented below):

- Policy framework elements: The following elements are contained in the assessment framework:

  - Policy Element 1: Predictability of the 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 the six policy process elements contains a number of components. Each component is analyzed to determine the degree to which the conditions of the component are met by the current food security policy development system and practices.

- Each individual component of the process will be rated as red, yellow or green. While this is a primarily a qualitative assessment, each rating should be supported in the narrative report with text that provides a basis for the rating. The meaning of the ratings is as follows:

  - Red: requires significant attention to ensure the component is achieved.

  - Yellow: Progress is mixed. The conditions required to achieve the component are partially achieved, but additional attention is required.

  - Green: The component is realized to a sufficient degree, and additional attention to this area is not required at this time.

- There is an emphasis within this assessment framework on the steps and processes required to develop policy, as well as an emphasis on the following qualities of the policy development process: predictability of the policy framework (and consistency in application of policy); use of an inclusive process; use of evidence-based analysis, and; transparency. Transparency is treaded as a cross-cutting issue and will be analyzed based on a review of relevant components across all six policy process capacity elements.

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.	
Appropriate Dispute Resolution Process/Judicial Framework: The judicial system is perceived as fair and effective, and there is an appropriate system for dispute resolution where conflicts arise relating to food security policy.	
Clearly defined Institutional Responsibilities: Institutional responsibilities are clearly defined, consistently applied, and predictable from year to year.	
Policy Element 2: Policy Development & Coordination	
Approved Food Security Strategy/Investment Plan: There is an approved/official multi-sectoral, multi-year food security plan developed, which specifies priorities and objectives, and addresses the roles of various contributors, including across government, the private sector, and CSOs. The vision and strategy to improve food security is clear.	
Predictable Policy Agenda and Priorities Developed: The policy items required to achieve the national food strategy have been identified and documented, i.e., specific policy objectives exist.	
Work Plans: There is an annual work plan that identifies objectives and activities in regard to policy development.	

Capacity of Policy Change Indicators	Status		
	⭕		

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.	

Capacity of Policy Change Indicators	Status		
	⭕		
Private Sector Participation – Capacity to Participate: Some organizations representing the private sector have the capacity to participate in government-led discussions on food policy. This is to say they are able to represent their members, they are able to articulate and communicate policy positions, and they are able to provide some level of evidence-based analysis to support their viewpoints.			
Participation of CSOs – Opportunity/Space: The CSO sector, including representation from women's associations and farmers associations, is provided meaningful opportunity to participate in policy formulation and strategy discussions. This could be through participation in the management/steering committee, in technical work groups and/or through other forums. Communications and interactions should be two-way, and access to key information should be readily available.			
Participation of CSOs – Capacity to Participate: Some organizations representing civil society, including representation from women's associations and farmers associations, have the capacity to participate in government-led discussions on food policy. This is to say they are able to represent their members, they are able to articulate and communicate policy positions, and they are able to provide some level of evidence-based analysis to support their viewpoints.			
Policy Element 4: Evidence-based Analysis			
Economic and Financial Analysis Completed as a Component of Planning: National food security priority policy initiatives/investment plans are based on economic and financial analysis, including independent policy analysis. The analysis is available for public review.			
Performance Monitoring Measures and Targets Developed: The national food security policies/plans include specific objectives, performance indicators, and targets exist to monitor the accomplishment of the objectives.			
Quality Data Exists for Policy Monitoring: There is a database of quality statistics that is used to routinely report and analyze progress in achieving objectives. (Analysis to be conducted by USDA – and not as part of this assessment framework.)	N/A		
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 of Policy Change Indicators	Status		
	⭕		
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			

Capacity of Policy Change Indicators	Status		
	◯		
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.			

Capacity of Policy Change Indicators	Status		
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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.			