Institutional Architecture for Food Security Toolkit

Workshop Facilitator Guide

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

INSTITUTIONAL ARCHITECTURE FOR FOOD SECURITY TOOLKIT:

Workshop Facilitator Guide

Table of Contents

Institutional Architecture for Food Security Workshop Agenda at a Glance

	Day 1	Day 2	Day 3
AM	- Workshop Opening - Getting Started - Institutional Architecture as a Concept - Status of IA in country - Institutional Architecture Assessment as a Tool	- Day 1 Reflections - Group Work: IA Survey Questions 12-22 - Report outs and Plenary Discussion to Reach Consensus - Interpreting Our Scores	- Day 2 Reflections - Group Work: Longer-term Priority Actions - Report Out and Discussion of the IA Improvement Plan - Plenary Preparation
Lunch			
PM	- Group Work: IA Survey Questions 1-11 - Report Outs and Plenary Discussion to Reach Consensus - Daily Wrap-Up	- Prioritizing Constraints - Group Work: Root Cause Analysis of Constraints - Developing the IA Improvement Plan - Group Work: Short- Term Priority Actions - Daily Wrap-Up	- Optional: Presentation of Improvement Plan for High-Level Stakeholders & Plenary Discussion - Agreement on Next Steps - Workshop Evaluation

Introduction

Approach to Strengthening Institutional Architecture

Understanding a country's institutional architecture (IA) is core to successful agricultural transformation. Weaknesses in the IA can compromise investments and a country's ability to undertake effective policy change. Traditional institutional architecture assessments can be detailed, time consuming, and costly. The participatory, multi-stakeholder *IA Workshop* brings together local policy makers, key stakeholders, and development partners to collectively analyze a country's capacity to undertake agriculture and food security policy change. Technical assistance and other support can then be identified to address constraints and improve the policy process.

The first step in the *IA Workshop* is to build a group understanding of the key systems and processes that influence the food security policy development process. The next step involves a participatory, self-assessment of the country's capacity to undertake transparent, inclusive, predictable, and evidence-based policy change. The workshop's areas of inquiry examine six elements of the policy formulation and implementation process that help determine a country's *readiness* for policy change:

Institutional Architecture and CAADP

The USAID/Feed the Future Africa Lead program provides continental, regional and country-level technical and resource assistance to the **African Union Comprehensive Africa Agriculture Development Program (CAADP)** – the most ambitious agricultural reform program ever undertaken in Africa. CAADP was endorsed at the Africa Union Heads of State Summit in July 2003 in Maputo, Mozambique. In June 2014 AU Heads of State and Government re-committed to the principles and values of the CAADP process, and adopted the *Malabo Declaration on Accelerated Agricultural Growth and Transformation for Shared Prosperity and Improved Livelihoods*. The *Malabo Declaration* sets goals, actions and targets for the next decade to 2025 as part of sustaining the country-led CAADP momentum.

The CAADP Results Framework defines the bridging between the Malabo Declaration and country CAADP implementation, which happens via the country-specific **National Agriculture Investment Plan (NAIP)**. Countries that signed the CAADP Compact early are already developing and/or implementing a second phase NAIP; countries that signed later are nearing the end of their first NAIP phase; and others have yet to start implementing or are still formulating a NAIP.

In 2016-17 the **CAADP Biennial Review (BR)** process was launched to provide regular progress reporting on a country's NAIP to the Africa Union Assembly. This regular progress reporting will help create an enabling environment for mutual accountability at country-level as well as opportunities for peer review at continental-level aimed at increasing performance of each member state to deliver on targets set for the Malabo declaration.

The Institutional Architecture (IA) Toolkit is related to CAADP in that successful NAIP implementation is reliant on the mutual accountability of government, civil society and private sector partners, as well as on a country's capacity to undertake agriculture and food security policy

- 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 elements is analyzed though a set of policy measures (sometimes called policy indicators) that determine the capacity and effectiveness of the overall policy change process. In the IA workshop, the IA framework has been distilled to a 22 question survey and adapted for self-assessment. Each IA area of inquiry is assessed using a 1-5 scale, which helps highlight the priority and level of attention needed to improve the effectiveness of the condition. The participants during the workshop will develop an *IA Improvement Plan* with recommendations to address key gaps and constraints in the country's IA. The 1-5 scale rating and the *IA Improvement Plan* can serve as a stocktaking of the country's capacity to undertake policy change, and comparisons can be made the following year to ascertain progress made.

The bottom-line is that the *IA Workshop* will enable a broader cadre of leaders and resource people to participate together in self-assessment and deliberations within the areas of inquiry; build consensus on the country's current status; and co-develop recommendations and an improvement plan going forward.

Use of the Guidelines

The intent of these *Guidelines* is to assist facilitators in delivering a well-organized and highly interactive *IA Workshop* that achieves the workshop goals and results in 1) consensus on a collective assessment of the country's current IA status, and 2) co-development of an *IA Improvement Plan* backed by senior ministry officials, civil society, private sector, and research institutes.

The *Guidelines* are one part of a workshop package that also includes *the Participant Discussion Worksheet*, the *IA Improvement Plan Template, a workshop evaluation and a Facilitator SOW*. All resources are part of Africa Lead's *Institutional Architecture Toolkit (IA Toolkit)*, which also includes:

- *Institutional Architecture Toolkit Communication Brief*
- *IA Survey Questionnaire*
- *Terms of Reference for a multisectoral IA Steering Committee (includes pre-, during, and post-workshop actions)*
- *IA Improvement Plan Template*

These *Guidelines* are intended for facilitators with the following profile:

- Familiar with current IA issues and known priorities
- Acceptable to all parties who are engaged in strengthening the country's institutional architecture
- A neutral facilitator
  - Puts aside his or her organizational hat and even-handedly facilitate the dialogue among participating parties
- A skillful facilitator

- o Enhances the quality of the dialogue by asking appropriate and thoughtful questions, paraphrasing for understanding, summarizing conclusions and agreements
- o Manages the dialogue so participating parties "share the floor" and feel they are being heard
- o Experienced in facilitating participatory decision-making that results in agreements and commitment to follow-through – who will to do what by when.

Pre- and Post-Workshop Recommended Steps

Before the workshop

Each country situation will be different, and a range of preparation steps may be necessary. Included here are Africa Lead's recommended steps that come from previous experience with country-level workshop preparation.

1. **Establish an Advisory Group**
   Establish an *Informal Advisory Group (the "Steering Committee")* at least 6 weeks before the workshop. The purpose of the Steering Committee is to provide workshop facilitators and resource people with the guidance, introductions and other assistance that will help launch the workshop preparation steps, i.e., inviting the right people, and assure achievement of workshop outputs. The intent is not to set up a parallel structure to the Ministry of Agriculture's food security coordination mechanism; rather, it is to identify individuals who have trusting relationships with key points of contact within the Ministry of Agriculture and with NGOs and can therefore expedite workshop invitations and preparation. It is recommended that the advisory group be comprised of about 2-10 individuals who are knowledgeable about food security challenges in the country, understand the policy formulation process, and are champions for agricultural transformation. *See Steering Committee ToR.*

2. **Secure Stakeholder Buy-in**
   Meet with the MOA Director of Planning and other key country representatives early in the preparation process. The purpose of the meeting is to:

   - Clarify expectations for the workshop
   - Secure buy-in to the workshop goals, agenda and participant profile
   - Request a senior official open the workshop and attend the presentation of the IA Improvement Plan on Day 3 of the workshop together with senior ministry officials and donor representatives working on agriculture.[1] Given that representatives of several ministries will be attending the workshop, the Prime Minister would be ideal. His or her presence will reinforce that there is high-level commitment – political will – behind the *IA Improvement Plan.*

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[1] It may be appropriate to include donor representatives in the IA workshop. This decision will vary from country to country.

If budget or participant availability does not permit a three-day workshop, the full workshop may end earlier and reconvene with a smaller group of representative participants attending for the remaining day(s).

3. **Conduct Pre-Workshop Outreach and Engagement with Participants**
   If advised by the Steering Committee, one option is to conduct an *IA Orientation Webinar* 7-10 days with participants prior to the *IA Workshop*. The purpose is to introduce the rationale and expected outcomes for the workshop and build invitees' anticipation that their participation will contribute to workshop outputs that will help enhance food security and accelerate agricultural transformation. The webinar also serves to help participants prepare for the workshop and get their creative juices flowing for the Action Plan. In a webinar chat box, try to collect participants' phone numbers to form a WhatsApp group in advance of the workshop. Alternatively, the workshop facilitator may convene 3-4 small group discussions with different stakeholder groups to engage on the agenda, conduct the IA survey and other pre-work consultation.

4. **Distribute IA Survey**
   Distribute the IA survey about a week before the workshop to familiarize participants with the measures and stimulate thinking about how they would score them. *See IA survey questionnaire attachment.*

After the workshop

Post-workshop recommendations are as follows:

1. **Conduct an After-Action Review (AAR) with the Steering Committee**
   Immediately after the workshop, conduct an after-action review with the Steering Committee. AARs are a leadership and knowledge sharing tool for fostering collective learning. They are structured and facilitated conversations, often lasting about 90 minutes that include:
   - A facilitated look-back at the workshop where Steering Committee members compare what was expected to happen and what actually occurred.
   - Review of participant evaluation results
   - Identification of learning around what went well, what could have been done differently and what promoted or inhibited inclusivity and participation
   - Determination of follow-up steps

2. **Hold a Debrief with the MOA Director of Planning**
   Following the workshop, the next day if possible, it is recommended that the Steering Committee debrief with the MOA Director of Planning, and other key country representatives, and help finalize the *IA Improvement Plan*. It may be helpful to also include the IAW facilitator(s) in this debrief meeting.

3. **Identify a Champion to Garner Support of the IA Improvement Plan**
   Keeping a spotlight on the *IA Improvement Plan* is critical in moving recommendations to action. A high-level champion within government should be identified to help garner the

political will in support of the Plan, including the commitment of government funds. It is also recommended that the high-level champion from government nominate a co-champion from outside government to help assure that civil society and private sector stakeholders stay actively engaged in *IA Plan* implementation.

4. **Conduct Regular Check-In Meetings**
   The IA Steering Committee is charged with sustaining momentum behind the *IA Improvement Plan*, including regular check-in meetings with the groups responsible for taking actions in the Improvement Plan. Regular check-ins serve to ensure continued progress on improvements and enable course corrections, where necessary.

5. **Re-convene in 1 year**
   The purpose of re-convening in one year is threefold:
   - To re-assess the IA survey questions – using the same 1-5 scale – to gauge change;
   - To celebrate progress made against the *IA Improvement Plan*; *and*
   - To re-affirm improvement priorities for the coming year.

IA Workshop Purpose & Goals

The overall purpose of the workshop is to bring the right people together who can collectively gauge the current strengths and weaknesses in the country's institutional architecture in food security and determine the appropriate steps to address the weaknesses. By the end of the workshop, participants will have:

- Assessed IA capacity and performance in a participatory and consultative manner;
- Built consensus and buy-in around priority action items; and
- Agreed to an *IA Improvement Plan* and presented it to senior-level government officials.

Workshop Goals

The specific goals of the workshop are as follows:

1. Build a shared understanding of institutional architecture and its link to the policy development process.
2. Participate together in self-assessment and deliberations within the IA areas of inquiry.
3. Score each of the policy elements on a 1 to 5 scale.
4. Reach consensus on recommendations and an *IA Improvement Plan*.

Proposed Profile of the Participants

Based on its experience with IA assessments and workshops, and discussions with partners, Africa Lead recommends that about 35-45 participants attend the workshop, as outlined below and illustrated in Figure 1:

1. **Ministry of Agriculture**

   Approximately 10 participants, as follows:[2]
   - MOA planning, M & E, statistics, and information unit staff
   - Technical and sectoral working group members

2. **Other Ministries related to Food Security**

   Approximately 5 participants, as follows:
   - Representatives of key line ministries, e.g., Ministries of Finance, Trade, Water, Local Government, as well as Planning Commission staff

3. **Districts outside the Capital**

   Approximately 5 participants, who could be:
   - Heads of local or county departments of agriculture in agricultural areas
   - District agriculture supervisors posted by the Ministry of Agriculture in agricultural districts.

4. **Private Sector Organizations**

   Approximately 7 participants from:
   - Agribusiness associations
   - Private sector potential investors

5. **Civil Society**

   Approximately 7 participants from:
   - Farmer-based organizations
   - Women's organizations
   - Youth organizations
   - Media

6. **Research**

   Approximately 4 participants from:
   - Government research institutes
   - Think tanks

7. **Donors**

   Approximately 4 participants from:
   - Head of the Donor Working Group
   - Key member of the Donor Working Group
   - USAID mission representative(s)
   - Key IP(s) working in the Ag Policy Sector

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[2] In Africa, this category should include the CAADP focal point and other members of the CAADP country team

Nearly fifty percent of the recommended participants above are government – fifteen from central government ministries and agencies and five from agencies outside of the capital city. This relatively high percentage of participants from the government is derived from the notion that the IA for agriculture and food security relates to policy, and policy is primarily a government function, with participation of other stakeholder groups. Moreover, the *IA Improvement Plan*, which is to be one of the outputs of the workshop, is principally a government plan and this level of participation will help to ensure that the government owns and implements it.

Figure 1: Proposed Participant Profile
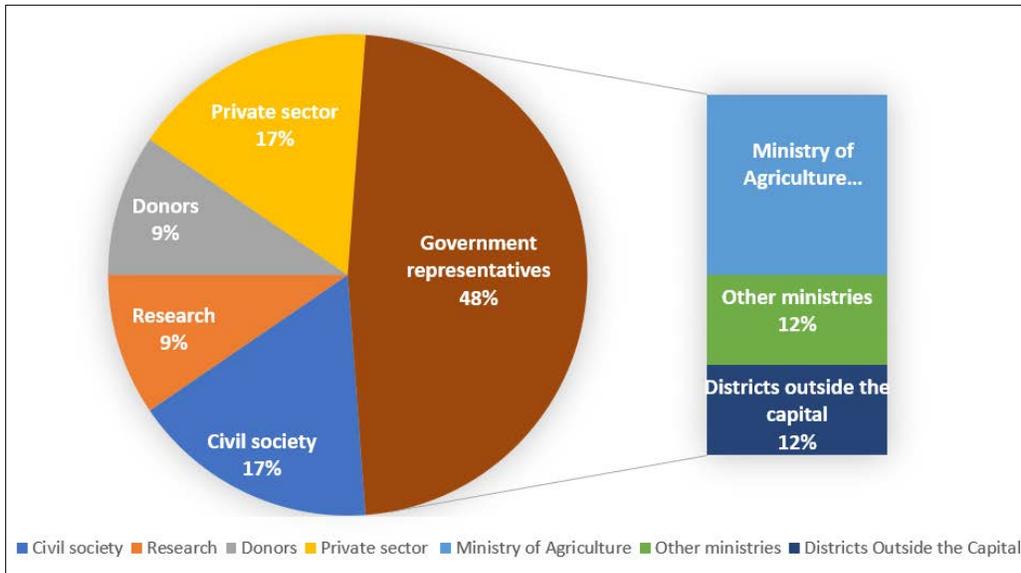
One-third of the participants are from non-governmental (NGOs) – the private sector and civil society organizations identified about. Africa Lead's experience is that CSO participation is easier to secure compared with private sector personnel. With respect to CSOs, the choice of which organization should participate in part depends how well they truly represent the interests of their members. For private sector organizations, it will be important that USAID missions, other development partners, and MOA and other senior government leaders impress upon them, both members of associations and individual companies of importance, that their participation in the workshop is essential to creating an improved investment environment in the future.

The balance of participants are from research institutions and donor organizations (the latter is optional). Research institutions are highly relevant to evidence-based analysis and M&E (IA Policy Element 4).

While the exact number of participants may vary from country to country, it will be important to maintain the approximate balance discussed above among the various stakeholder groups. Host governments, USAID Missions, and other development partners will be critical to determining the precise number and composition of the workshop participants.

Workshop Design

The workshop design is supported with the the *Participant IA Discussion Worksheet,* the *IA Improvement Plan and the workshop evaluation.*

Day 1		
Time	Step	Notes
Set-up	Arrange seven round tables with six chairs per table in a W shape facing the front of the room. Place copies of the agenda on each table.	Confirm set-up with venue at least 1 day in advance
8:30	Registration As participants register, ask if they agree to receive updates in a WhatsApp group following the workshop. If yes, record their cell phone number. Also provide them a copy of the assessment tool for them to review.	Registration table set up outside the conference room
9:00	**Official Workshop Opening** Protocols for workshop openings vary from country to country. The advisory group can provide guidance how to structure and present the official opening. PPT Slide 1 • Name and title of high-level individuals (e.g., the Prime Minister, the Minister of Agriculture, etc.) PPT Slide 2 • Importance of the workshop • Why a healthy institutional architecture is important for the country • Value of the *IA Improvement Plan* (locally-owned and stakeholder-driven) • Benefit of "collective" impact – we are all part of the same team	Inquire in advance if it is acceptable to have a soft opening in the event the high-level official(s) are unable to arrive by 9.00.
9.20	**Participant Introductions** Ask participants to introduce themselves at their tables, as follows: PPT Slide 3 • *Name* • *Institution and role*	

	• *One hope for the workshop* After 15 minutes, ask each person to say their name and organization/ministry in turn. Then, ask for the most common "hope" for the workshop that was shared at their tables. Take one response from each table, and if time permits, take a second one from each table. Record hopes on a flipchart in front of the conference room.	

9:40	**Workshop Rational, Goals and Agenda**
	
	Give the rational for the workshop:
	
	• Institutional Architecture provides a framework for analyzing a country's capacity to undertake agriculture and food security policy change
	• A robust institutional architecture contributes to effective food security policies
	• You will have a chance to assess current strengths and areas for improvement across six distinct and interrelated elements
	    ▪ Each element has specific questions that will be scored from 1-5, with a description and evidence of the ideal scenario (i.e. a score of 5)
	• The identified areas of improvement can be your "*IA Improvement Plan*" going forward
	
	Present the workshop goals and agenda.
	
	<u>PPT Slide 4</u>
	
	Workshop goals:
	  1) Build a shared understanding of institutional architecture and its link to the policy development process.
	  2) Participate together in self-assessment and deliberations within the IA areas of inquiry.
	  3) Score each of the policy elements on a 1 to 5 scale.
	  4) Reach consensus on recommendations and an *IA Improvement Plan*.
	
	<u>PPT Slide 5 (workshop at a glance)</u>
	
	Explain that the workshop agenda has been structured to help us achieve the workshop goals. Provide an overview of the agenda with greater detail on Day 1.	

9:45	**Institutional Architecture as a Concept**
	
	Introduce the table discussion by first making the following points:
	
	PPT Slide 6
	
	• Policy change is a complex, non-linear process – unique to a country
	• Effective policy changes do share similar features:
	   o Predictable, transparent, inclusive, and based on sound financial planning and evidence-based decision making
	• Understanding the IA is core to agriculture investment planning and implementation
	• Weaknesses in the IA can compromise agricultural investments
	   o For example, if there is no evidence-based planning, agricultural investment decision-making will be significantly weakened
	• The IA does not need to be perfect to proceed with investment planning and implementation
	   o …but there is a need for a shared understanding of institutional constraints and a plan for addressing them
	
	Give the table discussion task.
	
	PPT Slide 7
	
	• Discuss at your tables: (15 minutes)
	
	   ▪ *Why now?*
	   ▪ *What difference will it make for our agricultural investments if we work to strengthen institutions and the policy process?*
	
	After 15 minutes, take a few responses to the questions. For example, get one response from 2-3 tables and ask if any table had a different response. If not mentioned, ask:
	
	• Why is institutional architecture important to the policy development process?
	
	Summarize the key points that you heard from tables.	

	Segway to the next activity by saying that institutions can be broadly defined as the 'rules of the game' that emerge from formal laws, informal practices, and organizational structures. The degree to which these rules of the game are functioning can have enormous implications for a country's ability to undertake effective policy change.	
10:15	**Coffee/Tea Break**	
10.30	**Snapshot presentation by CAADP Focal Point or Government Representative** Snapshot presentation of food security policy priorities from government and why these are important o Q&A, if time allows	Guidance should be given to the presenters in advance to manage content and time.
10.45	**Snapshot presentation by Apex NSA group** Snapshot presentation of priorities and activities of apex NSAs (how many members, when do they meet, how many orgs are members) what are their major activities in the past year and what are their member's food security priorities o Q&A, if time allows	Guidance should be given to the presenters in advance to manage content and time. Try to make sure that the private sector is reflected here.
11:00	**Institutional Architecture Assessment as a Tool** PPT Presentation – Methodology and Approach to Assessing Institutional Architecture PPT Slide 9 • This *IA Workshop* approach –rapid, participatory and concise self-assessment by key local stakeholders • Provides a framework for analyzing a country's capacity to undertake agriculture and food security policy change • Six distinct and interrelated policy elements are examined • Each element has its own set of core questions and indicators, which helps clarify the capacity within the specific element of the policy change process • This approach allows us to follow the lifecycle of a policy: how it is made, who has contributed to the process, and how it is implemented	
11:15	Pass out the *IA Discussion Worksheet* and give participants 5-7 minutes to read through it.	

	After 5-7 minutes, walk through each survey question (including the description and evidence of the ideal scenario) and respond to any clarifying questions.

Invite participants to take a lunch break. | |
| 12:00 | **Lunch** | |
| 13:00 | **Group work: IA Survey Questions 1 – 11**

Welcome participants back from the lunch break. Refer to the first two workshop goals, and the progress on them in the morning discussions.

PPT Slide 10

Workshop goals:
1) Build a shared understanding of institutional architecture and its link to the policy development process.
2) Participate together in self-assessment and deliberations within the IA areas of inquiry.
3) Score each of the policy elements on a 1 to 5 scale.
4) Reach consensus on recommendations and an *IA Improvement Plan*.

Say that now we will take a deeper dive into each question.

PPT Slide 11

- Policy Element 1: Predictability of the Guiding Policy Framework
- Policy Element 2: Policy Development and Intergovernmental Coordination
- Policy Element 3: Inclusivity and Stakeholder Consultation

Announce that they will participate in a small group exercise. Before giving the task, ask each group to identify a notetaker who will record notes (preferably electronically on a laptop) in the IA Discussion Worksheet, which will be collected to aid in developing the *IA Improvement Plan.* Say they will have 1 hr. 15 minutes to complete the following tasks, after which they will break and return to the conference room at 14:45.

   1) For each assigned question, exchange perspectives on a) current strengths; b) current weaknesses; and c) | Have a flipchart prepared with group assignments outside the conference room. Each group should have a mix of institutions. Participants should sit in their new groups when they return from lunch. |

	key issues and record these on a flipchart. 2) Determine a consensus score for each question (1-5), record it on a post-it and place it on the flipchart. (This allows for ease in changing the scores as needed during High Five.) 3) Select a spokesperson to report out in plenary. 4) Put a large index card on the wall with 1-2 prioritized constraints that should be improved (will lead into voting later in the workshop). Tell each group where they can meet for the small group discussions. If the room is large enough, groups can remain there. Alternatively, groups may identify other seating areas in the venue.	
14.45	**Coffee/Tea Break**	
15.00	**Report Outs and Plenary Discussion to Reach Consensus** Explain the High Five technique which is used to facilitate participatory decision. For each assessment measure, they will be asked to indicate their level of agreement with the proposed score. Here is how it works: • 5 fingers: "Yes" I can say an unqualified "yes" to the proposed score • 4 fingers: "Yes, but..." I find the proposed score perfectly acceptable. • 3 fingers: "OK" I can and will live with the proposed score even though I am not enthusiastic about it. • 2 fingers: "OK, but..." but with minor tweaks. • 1 finger: "NO." I do not agree with the proposed score and cannot move forward until larger concerns are addressed. Explain that if everyone shows 5 fingers, we can move on. If there are mostly fives and a few fours, we can move on. If there are threes and twos, it signals we may need to discuss further. If there are any ones, we must hear each of their reservations, consider the divergent points of view and then repeat High Five. If there are any remaining ones, we take the majority score, record the divergent viewpoints and move on. After explaining the technique, hold a practice round: Say, "I propose we end at 17:00 today." Ask for each person to show their gradient of agreement using High Five. Then, ask the rapporteur from the first group to present their	

Time	Step	Notes
	score and their rationale for the score. Using the High Five technique, facilitate agreement on each score in turn, rotating between different breakout groups. Be sure scores on the post-its are modified as necessary during High Five.	
16:45	**Daily Wrap-Up** Ask: What were your big take-aways from today? Record take-aways on a flipchart. Preview the agenda for Day 2 and thank participants for their efforts today. Close the session.	
17:00	**Daily Debrief with the Steering Committee** o Review the day and agree any modifications for the Day 2 agenda	

Day 2 Workshop Design

Day 2		
Time	Step	Notes
Set-up	Put a flipchart stand at the entrance to the room that asks participants to sit at a different table. Networking and relationship-building is an underlying goal of the workshop and will contribute to successful future dialogue and implementation of the *IA Improvement Plan.*	
8:30	Registration	
9:00	**Day 1 Reflections and Day 2 Agenda** Refer back to the Day 1 take-aways flipchart and ask: PPT Slide 1 o What additional reflections did you have last evening or this morning? Remind participants of the goals we will continue to work on today. PPT Slide 2 Workshop goals:	Keep the focus on individual's reflections. It is their insights that will aid the scoring and build consensus on an *IA Improvement Plan.*

	1) Build a shared understanding of institutional architecture and its link to the policy development process. 2) Participate together in self-assessment and deliberations within the IA areas of inquiry. 3) Score each of IA question on a 1 to 5 scale. 4) Reach consensus on recommendations and an *IA Improvement Plan*. Review the agenda for the day.	
9.30	**Group Work: IA Survey Questions 12 – 22** IA Policy Element 4, 5, & 6 Say to participants that we will now take another deep dive into the policy elements, specifically elements 4, 5, & 6: <u>PPT Slide 4</u> o Policy Element 4: Evidence-based analysis and M&E o Policy Element 5: Policy Implementation o Policy Element 6: Mutual Accountability Introduce the small group exercise by explaining that this round they will work in 5 or 6 groups, and for one hour. <u>PPT Slide 5</u> Small group exercise Announce that they will participate in a small group exercise. Before giving the task, ask each group to identify a notetaker who will record notes in the IA Discussion Worksheet, which will be collected to aid in developing the *IA Improvement Plan.* Say they will have 1 hr. to complete the following tasks, after which they will break and return to the conference room at 11:00. 1) For each assigned question, exchange perspectives on a) current strengths; b) current weaknesses; and c) key issues and record these on a flipchart. 2) Determine a consensus score for each question (1-5), record it on a post-it and place it on the flipchart. (This allows for ease in changing the scores as needed during High Five.)	Assure sufficient numbers of civil society and private sector participants spread across the four groups. Assigning the groups (on a pre-prepared flipchart) will enable you to also reshuffle participants, so people continue to have a chance to work with different people.

	3) Select a spokesperson to report out in plenary. 4) Put a large index card on the wall with 1-2 prioritized constraints that should be improved (will lead into voting later in the workshop). Tell each group where they can meet for the small group discussions. If the room is large enough, groups can remain there. Alternatively, groups may identify other seating areas in the venue.	
10:45	**Coffee/Tea Break**	
11:00	**Report Outs and Plenary Discussion to Reach Consensus** Review the High Five technique. For each assessment measure, they will be asked to indicate their level of agreement with the proposed score. • 5 fingers: "Yes" I can say an unqualified "yes" to the proposed score • 4 fingers: "Yes, but..." I find the proposed score perfectly acceptable. • 3 fingers: "OK" I can and will live with the proposed score even though I am not enthusiastic about it. • 2 fingers: "OK, but..." but with minor tweaks. • 1 finger: "NO." I do not agree with the proposed score and cannot move forward until larger concerns are addressed. Then, ask the rapporteur from the first group to present their score. Using the High Five technique, facilitate agreement on each score in turn, rotating between different breakout groups . Be sure scores on the post-its are modified as necessary during High Five.	
12:30	**Interpreting Our Scores** Invite participants to find a partner and take a walk with them around the room and look at all the agreed scores. Ask them to record any observations they have. What strengths stand out to them? What weaknesses? Say they have 25 min and that we will use their observations in the next session after lunch. After 25 min, invite people to take a lunch break.	
13:00	**Lunch**	
14:00	**Prioritizing Constraints**	

	Invite observations from participants. Record them on a flipchart. Explain that we will now work to prioritize constraints that we aim to address. Ask that each group agree on their top 5-6 priority constraints. Explain that policy constraints can be in any category (they do not need to select one per element). They are to write each constraint on a post-it (one per post-it). Announce that they have 15 minutes to work. After 15 min, ask each group to post their prioritized constraints at the front of the room. Invite participants to vote on their top 6 prioritized constraints by putting a tick next to their selected constraints. Explain that they each have 6 votes but cannot place more than one vote on a constraint. Tally the votes and announce the six highest scoring constraints. Distribute one of the six Post-it notes to each table and invite participants to self-select which table they will join to further analyze the selected constraint through a root cause analysis. Allow 2-3 minutes for participants to make their decision and join their selected table group.	
14:30	Group Work: Root Cause Analysis of Constraints Once participants are seated, explain that the next task is to analyze the constraint by identifying the underlying reasons that cause it. Distribute a large (flipchart sized) fishbone diagram paper for each table and ask participants to note the constraint at the head of the fishbone. Ask them to then identify and discuss three to five key reason for 'why' that particular constraint is held in place and place those reasons on the lines of the larger fishbone skeleton. Deconstructing each constraint will help participants to then identify yet another set of underlying causes – those that explain the main causes. Have participants note 2-4 secondary level causes for each main cause on subsidiary (smaller) lines feeding into the main causes on the fishbone skeleton. After thirty minutes spent on identifying the reasons for why the constraint is in place, and then the subsidiary reasons for those first level reasons, ask participants to reverse their	Place post-it notes on the tables for the Gallery Walk activity during the break.

	thinking to discuss possible solutions to addressing these root causes: • *What are the actions they can take to address the main causes?* • *Would it make sense to address the secondary causes first?* • *How can it be done?* • *Which other actors are interested in solving a particular root cause?* • *Who must be convinced to act?* Ask participants to note their solution thinking on the same fishbone diagram in bullet points close to the identified root causes. Just before the break, ask groups to post their fishbone charts on the wall. Explain the break will be 30 min to allow them to get a cup of tea/coffee and take a gallery walk to review the flipcharts. If they have any questions/comments or suggestions, they can write these on a post-it and place it on the relevant flipchart. The group that developed the flipchart will be able to consider these suggestions after the break.	
15.30	**Coffee/Tea Break & Gallery Walk**	
16:00	**Developing the IA Improvement Plan** Explain that we will develop an IA Improvement Plan in two steps: first we will determine short term priority actions, then we will develop longer-term priority actions. Following the group work, we will discuss in plenary. Each group will have an improvement plan template specific to their policy element, and that you will hand that out now. Ask that each group: • Assign a notetaker with a computer who will type the improvement plan in the template • Identify a group chair who will be responsible for ensuring they keep on track and complete the task in the allocated time • Identify a rapporteur to report out in plenary	The challenge will be to keep it simple. It is better to keep the group discussions to the suggested times, so more time can be spent in the plenary discussion and achieving agreement on improvements for each element.
16:00	**Group Work: Short-term Priority Actions** PPT Slide 6 1) For the constraint assigned to your group, review the root cause analysis and any suggestions posted by other	Timing suggestion: 6 presentations x 7 min each

	group members
	2) Identify up to 3 short-term priority actions for the next year to mitigate/overcome the constraint
	
	Priority actions are those that:
	  ▪ Can be taken quickly and make a positive difference, like regular policy working group meetings, etc.
	  ▪ If not addressed soon, can have adverse consequences.
	  ▪ Need to be tackled before other priorities can be addressed.
	
	Announce that they have 30 min to work and that they will continue with Step 2 tomorrow where they will create an Improvement Plan for two longer term priority actions.	

16:45	**Daily Wrap-Up** Ask: What were your big take-aways from today? Record take-aways on a flipchart. Preview the agenda for Day 3 and thank participants for their efforts today. Close the session.	

17:00	**Daily Debrief with the Steering Committee**
	  o Review the day and agree any modifications for the Day 3 agenda
	  o Agree who will be the MC during the 14:00 presentation	

Day 3 Workshop Design

Day 3		
Time	Step	Notes
8:30	Registration	
9:00	**Day 2 Reflections and Day 3 Agenda** Refer back to the Day 2 take-aways flipchart and ask: <u>PPT Slide 1</u> What thoughts have you had overnight about what this group – all of us together – should try hard to get done this morning?	Keep the focus on individuals' reflections. It is their insights that will aid the scoring and build consensus on an *IA Improvement Plan.*

	Remind participants of the goals we will continue to work on today – especially Goal 4. Add that this afternoon with the presentation and discussions with senior government and donor representatives we will also have an opportunity to continue work with Goal 1. Workshop goals: 1) Build a shared understanding of institutional architecture and its link to the policy development process. 2) Participate together in self-assessment and deliberations within the IA areas of inquiry. 3) Score each of the IA questions on a 1 to 5 scale. 4) Reach consensus on recommendations and an *IA Improvement Plan*.	
9.30	**Group Work: Longer-term Priority Actions** Announce that they now will transition to the second step: <u>PPT Slide 7</u> Reach agreement on the following: • Up to two longer-timeframe priority actions • Recommended actions for the coming two years, and roles/responsibilities for each action Announce that they have 30 min to work.	
10:00	**Report Outs and Discussion of the IA Improvement Plan** Distribute Improvement Plan feedback forms to participants. Explain that they are invited to record their feedback as they listen to the presentations. The forms will be collected at the end of the session and used in further refinement of the plans. Invite each group in term to present their short and longer-term priority actions. Each group has 7 min for their presentation. After each group presents, facilitate a short plenary discussion (up to 10 min) to identify: o Points of agreement o Recommendations for improvements o items needing further discussion or research	

	After each plenary discussion, collect the *Improvement Plan feedback forms and distribute them to the relevant groups.* Group 1 Report Out: 10:05 ~ 10:12, Discussion: 10:12~ 10:22 Group 2 Report Out: 10:24~ 10:31 Discussion: 10:31~ 10:45	
10:45	**Coffee/Tea Break**	
11:00	**Report Outs and Discussion of the IA Improvement Plan,** *cont.* Group 3 Report Out: 11:00~ 11:07 Discussion: 11:07~ 11:17 Group 4 Report Out: 11:19~ 11:28 Discussion: 11:28 ~ 11:38 Group 5 Report Out: 11:40~ 11:47 Discussion: 11:47~ 11:57 Group 6 Report Out: 12:00~ 12:07 Discussion: 12:07~ 12:17 After all report out and discussions are complete, thank everyone for their engagement and invite groups to reconvene to review feedback forms, incorporate edits and prepare for the 14:00 presentation.	

12:20	**Plenary Preparation**
	Ask each group to:
	
	    o Review feedback and make edits as needed
	    o Provide finalized short and longer-term actions to the facilitator by 12:45.
	
	At 12:45, ask for a volunteer to present each of the following asp
	    o Key constraints & their root causes [5 min]
	    o Short-term priority actions [7 min]
	    o Longer-term priority actions [7 min]
	
	Offer to help the volunteers prepare, i.e., a dry-run of the presentation over the lunch break.
		Each country situation will be different, but this presentation is an opportunity to build a sense of urgency about strengthening IA and garner support/political will to see IA improvement recommendations actualized.

13:00	**Lunch** *High level audience (senior ministry officials and donor representatives working on agriculture) invited to join participants for lunch.*	Have a head table set up for the guests.
14:00	**Presentation to Senior Government Officials and Donor Representatives** The MC introduces the senior ministry officials, donor representatives and others who have been invited to the	Facilitator should keep time to stay on schedule.

	presentation. S/he then gives a profile of the *IA Workshop* participant profile. One suggestion is to ask all civil society representatives to stand up, then all private sector representatives, and so on. The MC then presents the session's agenda. A suggested agenda could be as follows: 1) Workshop Purpose and Goals [3 min] 2) Key Constraints & Root Cause Analysis Findings [5 min] 3) Recommended Short Term Priority Actions [7 min] 4) Recommended Longer- Term Priority Actions [7 min] The MC asks the first volunteer presenter to take the floor, and continues to manage the agenda, volunteer presenters, and the time. After the presentations, the MC solicits reactions and feedback from the high-level audience. Calls on other workshop participants to add details to a priority or recommended action. When the discussion is wrapping up, the MC thanks the guests for joining the group and for their leadership on this issue. The MC also thanks the presenters for relaying the outputs of the collaboration work and invites everyone for tea/coffee, also noting that the workshop participants will reconvene at 15:30.	
15:00	**Coffee/Tea Break**	
15.30	**Agreement on Next Steps** Thank the MC and the presenters. Then ask: What are the next steps to finalize the *IA Improvement Plan*? Record next steps on flipchart. Be sure to cover: 1) Are any further revisions to the Improvement Plan needed? If so, who will be responsible for coordinating this? 2) Who will distribute it once revisions are made? 3) Who will present it to Donors/ the CAADP team not present/ Government? 4) What is the role of the IA Workshop steering committee?	As noted in the post-workshop follow-up section of these guidelines, it is recommended that the *Informal Advisory Group* debrief with the MOA Director of Planning, and other key country representatives and help finalize the *IA*

	Once the above questions are clarified, ask each participant to think of one thing they can personally do to turn these commitments into action. After a moment, ask participants to share their commitment with their table mates in turn. Then ask for a few examples in plenary. Thank everyone for their participation and thank others in the room who helped make the workshop successful. Open the floor to informal closing remarks from participants and visitors. NB: 1) Make sure all Improvement Plans are provided electronically to the rapporteur and organizer 2) Make sure any other notes are provided to the rapporteur and organizers **3)** Make sure someone takes photos of all flip charts, including consensus scores and Next Steps	*Improvement Plan.* It may be helpful to include the facilitator(s) in this meeting.
16:00	**Workshop Evaluation** Distribute evaluation forms for participants to return to the facilitator before departing.	
16:30	**After Action Review with the Steering Committee** Agenda, including: • A facilitated look-back at the workshop where Advisory Group members compare what was expected to happen and what actually occurred. • Review of participant evaluation results • Identification of learning around what went well, what could have been done differently and what promoted or inhibited inclusivity and participation • Determination of follow-up steps	