KENYA WORKSHOP ON FOOD SECURITY INSTITUTIONAL ARCHITECTURE

March 2018

KENYA WORKSHOP ON FOOD SECURITY INSTITUTIONAL ARCHITECTURE

CONTENTS

ANNEXES

ACRONYMS

AGCK   AGRICULTURAL COUNCIL OF KENYA

ANES   AGRICULTURE NUTRITION ENVIRONMENTAL STATISTICS

APRR   AGRICULTURAL POLICY RESEARCH AND REGULATION

ARD   AGRICULTURE AND RURAL DEVELOPMENT

ASTGS   AGRICULTURE SECTOR TRANSFORMATION AND GROWTH STRATEGY

CAADP   COMPREHENSIVE AFRICAN AGRICULTURAL DEVELOPMENT PROGRAMME

CEC   COUNTY EXECUTIVE COMMITTEE

CIDP   COUNTY INTEGRATED DEVELOPMENT PLAN

CNC   CAADP NON- STATE ACTORS COALITION

CSO   CIVIL SOCIETY ORGANISATION

JAS   JOINT AGRICULTURAL SECRETARIAT

JASCCM   JOINT AGRICULTURAL SECRETARIAT COMMITTEE

JSR   JOINT SECTOR REVIEW

KIPPRA   KENYA INSTITUTE FOR PUBLIC POLICY RESEARCH

KU   KENYATTA UNIVERSITY

MAF   MUTUAL ACCOUNTABILITY FRAMEWORK

MDG   MILLENNIUM DEVELOPMENT GOALS

MOA & I   MINISTRY OF AGRICULTURE AND IRRIGATION

MOALF   MINISTRY OF AGRICULTURE, LIVESTOCK, AND FISHERIES

NARS   NATIONAL AGRICULTURAL RESEARCH SYSTEM

EXECUTIVE SUMMARY

The Ministry of Agriculture and Irrigation[1] (MOA&I) hosted a two-day workshop on Food Security Institutional Architecture from February 28 - March1, 2018 in Nairobi. The purpose of the workshop was to hold an interactive discussion where stakeholders and representatives from MOA&I could develop a shared understanding of Kenya's institutional architecture (IA), and its link to food security, national agricultural investment plan (NAIP), Joint Sector Review (JSR) and Biennial Review (BR) processes. A total of 60 representatives from the government, civil society, and the private sector attended the workshop. The expected outputs of the workshop included: i) an IA improvement plan; ii) a follow-up IAA meeting (one year later); iii) a consolidated workshop report; and iv) survey results and analyses.

The report and proposed action plan are based on the IA framework, which includes the following six policy elements:

1. Predictability of the Guiding Policy Framework
2. Policy Development and Coordination
3. Inclusivity and Stakeholder Consultation
4. Evidence-based Analysis
5. Policy Implementation
6. Mutual Accountability

Participants discussed and examined the strengths and weaknesses of the 6 key policy areas, identified areas for improvement, and reached a consensus on a detailed IA improvement plan.

Key strengths of the **Policy Guiding Framework** included adherence to the Constitution of Kenya (2010), and dispute resolution. A lack of adequate and cross-sectoral evidence-based research data, and poor inter-institutional coordination were identified as key weaknesses.

An agriculture and nutrition plan across all sectors contributed to effective **policy development and coordination.** Sectoral and technical working groups exhibited effective coordination and collaboration, and were rated as "good" by participants. The government-led support and coordination for cross-sectoral dialogue, policy planning, and implementation were identified as key strengths. In addition, a sense of ownership of the process and building synergy between existing structures were identified as key strengths. According to participants, coordination gaps exist between county and national level governments on issues related to food security and nutrition. In addition, relevant bodies are not fully engaged in the devolved system. Lastly, closer links and synergy-building with health, water, trade, and finance sectors are required.

On **inclusivity and stakeholder consultation,** participants noted pro-active engagement between civil society and government. However, participants highlighted weaknesses with respect to effective dialogue and engagement with the private sector. In general, full stakeholder inclusion is constrained by lack of

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[1] Formerly, the Ministry of Agriculture, Livestock and Fisheries

resources, logistics, integrity, and politics. However, there are opportunities for deeper inclusion in the future.

Evidence-based analysis and monitoring and evaluation (M&E) are enhanced by a strong appreciation for multi-agency M&E, robust research institutions, detailed government food security reports, and active media engagement. However, a weak knowledge management system, and varying metrics and methodologies by an array of institutions lead to an incoherent evidence-base. This in turn impacts the quality of food security and nutrition delivery at the county level.

With regards to **policy implementation**, the government has shown commitment to address and implement food security policies. There are effective policies and plans in place for sustainable food security. However, an area that requires further improvement is implementation. This is because allocated resources were either disbursed too late to the county levels or not effectively used.

Implementation will benefit from improved capacity in M&E, and effective disbursement systems between national and county levels. The media plays an active role in publishing food security issues, although the timing of broadcasts requires adjustment to coincide with prime-time news.

On **mutual accountability,** government and donors align the objectives and priorities for FS with forums, working groups, and steering committee meetings. There is a formal Joint Sector Review (JSR) process and biannual review process to ensure adaptive management of policies and programs. However, the JSR remains inactive. Government reports are generally available to the public, while donor reports are not shared with all counties. In addition, it is important to enhance data quality through the development of regular research studies.

During the workshop, participants established **14 key priority action items,** along with timelines ranging from 6 months to 2 years. Approximately 50 stakeholders were included in the action plan. Although participants presented integrated action plans between national and county levels, five were prioritized as specific for county-level governments and necessary in the short-term. The five prioritized action items involve the following activities: i) an audit of existing food security policies and coordination mechanisms; ii) domestication of JSR, NAIP, MTP and IA; iii) strengthen FS coordination and structures; iv) roll out agricultural plan and build capacity with extension personnel; and v) promote a program-based approach to budgeting. Agriculture should be formalized at the county level. This will not only minimize the duplication of roles, but will also foster smooth operations of agriculture programs at the county level.

The priority action plans at the national level include the following: i) linking policy and evidence-base entities; ii) strengthening data management and use in the short-term, including the use of an e-atlas; iii) capturing existing FS IA progress across the country and harmonization across livestock, crop, fisheries and water sectors; and iv) developing a human resource and capacity building plan. There is a need to refine the existing policy development "pathway" to improve its alignment with the government budgeting cycle, and to ensure its integration in national and county processes. The State Department of Agriculture Research should ensure that the new research department in the MOA&I is strengthened. Key stakeholders include Agricultural Policy Research and Regulation (APRR), Joint Agricultural Secretariat (JAS), Agriculture and Rural Development (ARD), the State Department for Planning and Statistics, Nairobi University, and Tegemeo Institute.

Emerging issues noted during the workshop included a need to increase the budget allocation of agriculture from 3.8% to 5%; the establishment of a CAADP focal point at county levels; the development of a comprehensive M&E framework with adequate funding; and the development of a shared matrix to assess policies and data collection tools. The following four observations were made to improve the design of the next IA workshop or convening:

- More representation from the counties
- Policy Standards and Legislation group to be involved in other follow-up meetings
- Key experts must interact and engage actively with participants for in-depth knowledge sharing
- Categorizing and grouping of participants based on sector expertise

Participants identified the following immediate next steps to ensure momentum and forward progress on the IA improvement priorities identified:

- MOA&I is to form an IA working group to oversee implementation of the IA Action Plan with facilitation support from Africa Lead
- MOA&I is to complete and share the workshop report and action plan with participants by March 30 2018
- The CAADP team will integrate some of the relevant actions into a work plan in a retreat by March 15, 2018.
- An annual stakeholder meeting will be organized by the working group

1.0: WORKSHOP OVERVIEW

1.1 BACKGROUND AND OBJECTIVES

Agriculture is among the principal sectors devolved under the Kenya Constitution of 2010. The promulgation of the constitution, and the establishment of the county government to oversee primary devolved functions for agriculture, necessitates a reexamination of the current policy and institutional frameworks. This will ensure better management of agriculture development at both national and county levels. In addition, a better understanding of the policy making and implementation environment will inform policy makers on how to best utilize the new Kenyan institutional frameworks, and establish a sustainable policy formulation and implementation process.

In the context of devolution, Africa Lead supported the MOA&I to undertake an Institutional Architecture Assessment (IAA) in 2015-2017. This process involved county and multi-county associations engaged in common programs, and included both government structures and processes. The process also promoted enhanced public-private dialogue on sector policy and investment. The overall objective of the IAA was to undertake an Institutional Architecture Assessment that would provide an analytical review of the national and county level agricultural and food security institutional and policy landscape. This was done to establish national and county government capacity in agricultural and food security transformation. Several policy topics were covered during the workshop, including agriculture, livestock, resilience, and nutrition-related policy. The institutions that were assessed comprised of both state (government ministries, departments, units and agencies) and non-state (NGOs, farmer organizations, CSO, private sector, donors, etc.) actors.

Africa Lead supported the MOA&I to undertake the Kenya IAA in 2015 and 2017. The 2017 Kenya IAA has been finalized and adopted by the ministry. In collaboration with Africa Lead, the ministry planned a workshop that took place from February 28 to March 1, 2018. The main objectives of the workshop were as follows:

1. Build a shared understanding of institutional architecture (IA) and its link to food security, national agricultural investment plan (NAIP), Joint Sector Review (JSR), and Biennial Review (BR) processes.
2. Participate in discussions, and identify strengths and weaknesses in the Kenyan Institutional Architecture within the IA areas of inquiry.
3. Prioritize IA actions for improvement.
4. Reach consensus on a detailed IA improvement plan.

1.2 WORKSHOP EXPECTED OUTPUTS

The expected outcomes of the workshop include the following:

1. The IA improvement plan
2. Follow-up IAA meeting (one year later)
3. Consolidated workshop report
4. Participant IAA survey results

1.3 WORKSHOP MATERIALS

Several documents were developed and shared to ensure the workshop achieved its objectives. These were:

- ✓ *Workshop Agenda:* The workshop agenda is included in **Annex 1**.
- ✓ *Workshop Presentation and Handouts:* The workshop presentation provided the following: i) basic information on the role of institutional architecture and the Joint Sector Review in the agriculture and food security sectors; and ii) an update on the IAA process carried out in Kenya. The presentations and handouts used in the workshop are included in **Annex 2 and Annex 3.**
- ✓ *Group discussion questionnaire:* During the workshop, participants were split into 6 groups, with each group answering an IA questionnaire and survey questions on strengths, weaknesses, and how the group scored in each sub-element category. The questionnaire template is included in **Annex 4** and a summary of the results from the discussion are included in **Annex 5.**
- ✓ *Institutional Architecture Survey:* Each participant individually completed a 20-question IA survey available electronically. Participants scored group performance in each sub element on a scale from one to five. The results were analyzed and presented to the large group.

2.0: WORKSHOP PROCESS AND OUTCOMES

2.1 OPENING, WELCOME AND INTRODUCTIONS

During their introductory remarks, representatives from the Comprehensive Africa Agricultural Development Program (CAADP) team stated that they will ensure that the IAA Framework is implemented effectively. The CAADP team also aims to expand beyond the MOA&I to incorporate small-scale farmers, non-state actors, and relevant partners. In addition, county governments are committed to enhancing agriculture development in their respective counties.

Agriculture and Rural Development (ARD) affirmed their commitment to providing time and resources to food security-related issues. In addition, representatives from ARD stated that they intend to focus their attention on achieving policy reforms in the agricultural sector. Throughout their presentation, representatives from ARD donor group emphasized that collaboration of non-state actors is crucial to the IA improvement plan. During the workshop, youth were regarded as major contributors in food security as well.

Representatives from The Agricultural Council of Kenya (AgCK) emphasized that food security remains a foundation for social development, and highlighted the need to re-examine the strategies that are currently in place. Working as a team of stakeholders enhances effectiveness and efficiency in FS delivery. The highlight should be on the County Integrated Development Plans (CIDPs) to address emerging issues, especially those that are agriculture-related. Infrastructure development is also required to eliminate any threats along the chains.

Participants' expectations of the workshop included the following:

- Share knowledge and experience
- Development of an effective action plan
- Strengthen collaboration and partnerships
- To learn best practices in food security, and how to support small scale farmers, particularly in credit
- To learn new aspects of IAA, and road map of practical action
- Participation certificates

3.0: INSTITUTIONAL ARCHITECTURE AS A CONCEPT

The goal of this session was to build a shared understanding of the institutional architecture (IA), and its link to food security, national agricultural investment plan (NAIP), Joint Sector Review (JSR), and Biennial Review (BR) processes. Following the presentation, it was evident that food security requires a multi-sector coordination mechanism, as shown in Figure 1 below.
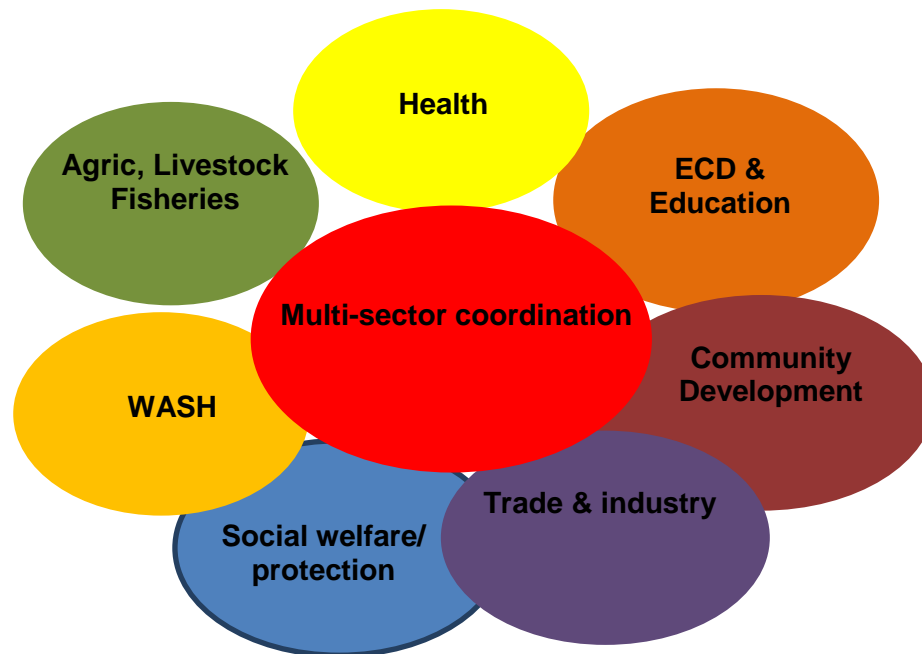

Figure 1: Food Security Institutional Architecture Concept.

As result of changes in food security policy and development, it was prudent for Kenya to align itself with the Sustainable Development Goals (SDGs). Changes in agricultural sector policy and institutional architecture include the following:

- Global Changes: Millennium Development Goals (MDGs) to SDGs 2015-2030;
- Continental Changes: CAADP Maputo to Malabo 2014
    - ✓ Recommitment: the agricultural growth and budget allocation targets, 6% Growth & 10% budgetary allocation
    - ✓ Ending hunger and halving poverty by 2025,
    - ✓ Tripling intra-African trade in agriculture
- National Changes:
    - ✓ Constitution 2010
    - ✓ Devolution of agriculture functions in 2013

To attain food security, a strong and well-coordinated institutional architecture is required. During the workshop, participants were guided to recognize the importance of an effective IAA. The following key points were highlighted:

- Institution assessment can be done in 1-3 months using the IAA framework
- The IAA provides a framework for analyzing a country's capacity to undertake agriculture and food security policy change
- Traditional institutional assessments can be detailed, time consuming, and costly
- Policy change is a complex, non-linear process
- Effective policy changes share similar features: predictable, transparent, inclusive, and based on sound financial planning and evidence-based decision making

The session also highlighted the need for a clear road map based on the capacity assessment results. This coupled with a mutual accountability framework that clearly entails the roles of different players, targets growth, and transformation process will enable sector players to establish a sector MA framework, upon which sector players will undertake a comprehensive, inclusive, and technically robust review and dialogue of the sector. A proposal that operationalizes the MAF is the Joint Sector Review. The JSR process creates a platform to:

- Assess the performance of the agriculture sector
- Assist governments to assess effectiveness of sector policies and strategies
- Assess how state and non-state actors have implemented pledges and commitments in the cooperation agreements
- Guide decisions to continue with or adjust the implementation process

4.0: WORKSHOP FINDINGS, OUTCOMES AND ACTION PLAN

4.1 REVIEW OF KENYA IAA

The objectives of this session were as follows:

1. Update on IAA process carried out in Kenya (**Annex 2** Kenya IAA 2017: Recommendations)
2. Relevant BR priorities from Kenya BR report (elements 1&7)
3. JSR plans overview (e.g. timeline)

The IAA for food security policy reform and the Joint Sector Reviews were validated and endorsed in 2017, and are currently compiled in a working document. Focus was given to the IAA results for improvement, as it categorizes indicators in each of the 6 policy elements. It indicates areas of significant attention, partial/mixed progress, and sufficient achievement. (**Annex 3**: Kenya IAA 2017 Results: Capacity for Policy Change Indicators).

Key highlights from this session were:

- There is insufficient funding to the agriculture sector against the overall budget (i.e. 3% to agriculture of overall budget).
- Relevant to other countries engaged in the FS IAA process, there is a need for Kenya to move from its current level to the next level.
- Stakeholders may utilize the FS Capacity for Policy Change Indicators during the development of the IAA **(see Annex 4)**.
- County governments require improved mechanisms to support and strengthen its operations and measures.
- The assessment is designed to highlight issues in both food security and nutrition. However, nutrition is not receiving enough attention. There is need to engage stakeholders in the nutrition sector and market.
- Instead of enabling the national government to assume full control of policy development, counties should be allowed to develop their own policies. However, this needs to be interrogated further. During the workshop, participants proposed that counties institutionalize the framework at the county level.
- There is need to engage other relevant actors, such as the Joint Agriculture Secretariat Committee.
- There is need for better communication channels; inclusivity needs improvement and more consultation is required.
- There is poor coordination, harmonization, and use of FS-related collected by diverse entities.
- The Agricultural Council of Kenya is an emerging platform for NSA to constructively engage the government and provide a consultation platform to ensure that policy makers are accountable, and that food balance and distribution needs are met.

4.2 FOOD SECURITY IA IN KENYA – ASSESSMENT BY WORKSHOP PARTICIPANTS

During the workshop, attendees participated in two exercises to evaluate experiences with, and performance of the Kenya FS IAA. One exercise was based on a participatory questionnaire (60 persons in 6 groups), and the second exercise consisted of an electronic 'Survey Monkey' task (20 questions) involving 30 individuals. For the group evaluation, 6 policy elements were rated and assessed for their strengths and weaknesses. The 60 participants were split into 6 groups, each discussing and completing a questionnaire. Sub-elements were scored on a scale from one to five. **(Annex 4).** A summary is presented in Figure 2 below, and then presented under each of the policy element headings.
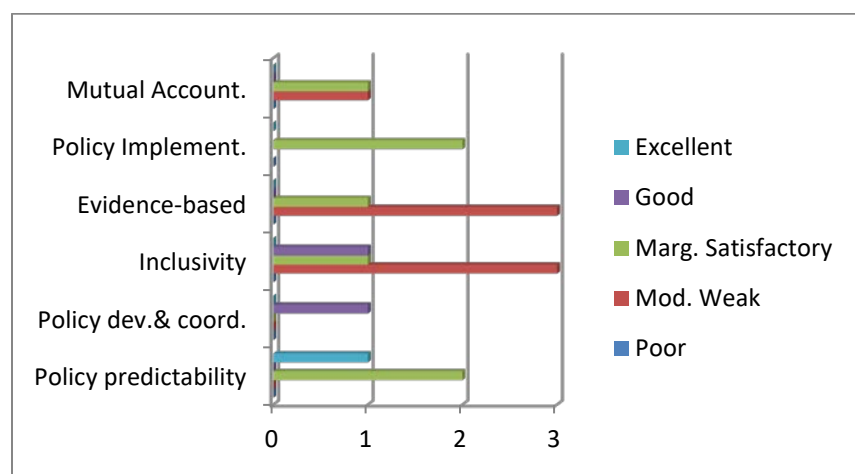
Figure 2 Scoring for the 6 Policy elements (based on 6 questionnaires) by 60 respondents.

4.2.1   POLICY ELEMENT 1: PREDICTABILITY OF THE GUIDING POLICY FRAMEWORK

Stakeholders rated transparency in the FS policy development and implementation process, and its adherence to the principles of the 2010 constitution as **'excellent'**. Stakeholders also rated the formation of committees, legal and technical expertise, advocacy and channels for dispute resolution as '**moderately satisfactory'.** On the other hand, stakeholders identified poor coordination and lack of sound data as weaknesses that require urgent attention, and suggested that structures for maintaining dialogue are not in place.

4.2.2   POLICY ELEMENT 2: POLICY DEVELOPMENT AND COORDINATION

Policy development and coordination is enhanced by an integrated multi-sectoral agriculture and nutrition plan that covers the key agriculture, livestock and fisheries sectors. There are sectoral and technical working groups that effectively coordinate with various levels of government and agencies. This was rated as **'good'** for coordination purposes. The government-led support for cross-sectoral dialogue, policy, planning and implementation were strengths, as was a sense of ownership of the process and building synergy between existing structures.

The weaknesses and threats include:

- Coordination gaps between county and national level governments, especially with regards to food security and nutrition. Relevant bodies, such as the Tegemeo Institute, are not fully engaged in the devolved system.
- The links to the trade, finance and health sectors at the national and county levels are weak
- Due to the electoral cycle, executive and ministerial personnel change every five years. This means that continuity and institutional memory is lost in areas such as policy and technical delivery.

4.2.3   POLICY ELEMENT 3: INCLUSIVITY AND STAKEHOLDER CONSULTATION

Stakeholders described participation of civil society in the FS dialogue process as **'good'**. Inclusion and stakeholder consultation is constrained by politics and weak capacity amongst CSOs. Stakeholders rated engagement with the private sector as **'marginally satisfactory'** for FS policy and strategy. This is due to weak structures and low capacity for country-wide dialogue. Stakeholders rated organizational capacity amongst the private sector as **'moderately weak'**. In general, full stakeholder inclusion is constrained by lack of resources, logistics, integrity and politics.

4.2.4   POLICY ELEMENT 4: EVIDENCE-BASED ANALYSIS

Overall, this element was rated as '**marginally weak'** for national FS strategies based on economic analyses, M&E targets, and government capacity for M&E. This element was rated as **'moderately satisfactory'** for media informing decision-making for food security. Stakeholders indicated there are reputable and active institutions in Kenya conducting policy research, such as Kenyatta University (KU), Tegemeo Institute, and the Kenya Institute of Public Policy Research (KIPPRA). The planning unit within the MOA&I produces annual reports on the agricultural economy. The flow of research and evidence on field agricultural models flows to the MOA&I through extension officers.

The gaps in evidence-based analysis include the following:

- A weak knowledge management system.
- Different metrics, methodologies, tools and protocols are applied. Therefore, data cannot be brought together and harmonized. If methodologies are harmonized, it will be easier to compare, analyze and consolidate data.
- Inclusivity in government coordination is challenged with uneven engagement among the relevant institutions at national and county levels. Although many programs are working to address this issue, there are still areas that require further attention. For example, a National Agricultural Research System (NARS) exists, yet there is no coherent program to link with current policy frameworks. An effective research agenda for food security that is rooted in quality research and evidence generation is required. High quality data collection is expensive, and government funding remains inadequate. According to the stakeholders, funding levels, rather than hard evidence, influence institutional decision-making on research projects.

4.2.5 POLICY ELEMENT 5: POLICY IMPLEMENTATION

The government is committed to address and implement food security policies. The government has allocated funds for the creation of grain reserves and an Aflatoxin unit. In addition, an area of improvement is the generation and collection of baseline data. In the questionnaire survey, respondents rated the detailed food security plans at the national and county levels as **'moderately satisfactory'**. This rating was influenced by the existence of effective policies and plans. However, an area that requires further improvement is implementation. A similar rating was assigned to the allocation of resources for food security interventions. This is because allocated resources were either disbursed too late to the county levels or not effectively used.

According to participants, policies that are initiated by politicians using the top-down approach are ineffective. This is not practical, as capacity for program delivery is not supported through this process. Moreover, capacity for M&E at the national and county levels needs to be strengthened, and systems require further harmonization. There is a unit within the planning and treasury department that deals with high-level impact processes. However, a specialized unit within the agriculture sector that analyzes food security performance is still lacking.

Although the media has taken an active role in publishing food security issues, the timing of broadcasts needs to be adjusted to coincide with prime-time news.

4.26 POLICY ELEMENT 6: MUTUAL ACCOUNTABILITY

There is a mechanism to ensure effective donor participation, and alignment to government and donor objectives and priorities. In addition, there are effective forums and consultations on food security issues, with frequent participation from relevant stakeholders. Although stakeholders rated performance in this area as **'moderately weak'**, there is a formal stakeholder review session (Joint Sector Review (JSR)), and there is a bi-annual review for adaptive management of policies and programs. However, the JSR remains inactive. Government reports are usually available to the public, while donor reports are not shared with all counties.

In addition, it is important to enhance data quality through the development of regular research studies. There is progress from the previous review, however there is still room for improvement. In the future, it is important to develop a mechanism that ensures stakeholders understand the rating and scoring system.

Annual reviews will not only allow for improvements, but will also act as a tool for developing ideal action plans. Once again, the results indicated that there are good policies in place, however their implementation is ineffective. Stakeholders also appeared to focus on actions that are not do-able and implementable.

4.3 PRIORITIES FOR THE INSTITUTIONAL ARCHITECTURE FOR FOOD SECURITY UNDER A DEVOLVED SYSTEM

During this session, participants formed small groups and discussed next steps to improve the IA policy sub-elements. Participants also identified actions to be undertaken at the county and national levels. Below are the *generalized recommendations* for each policy element:

Policy Element 1: Predictability of the Guiding Policy Framework

- Develop policies based on data
- Develop legislation on qualitative and quantitative public participation policies and implementation strategies
- Enhance awareness and increase accessibility of popular media channels

Policy Element 2: Policy Development and Coordination

- Awareness creation
- Capacity building at both national and county levels
- Mainstream guidelines and all policy development processes

Policy Element 3: Inclusivity and Stakeholder Consultation

- Capacity building for private sector
- Buy-in at different levels
- Avoid political interest
- Develop guidelines with agricultural stakeholders
- Secure sufficient evidence for policies

Policy Element 4: Evidence-based analysis

- Harmonization of protocol methodology and data collection analysis
- Research agenda should be drawn from policy document on food security and nutrition

Policy Element 5: Policy Implementation

- Strengthen county level capacity for budget consultation, planning, execution and accounting
- Hold discussions with leadership personnel
- Establish structures for public participation
- To achieve goals at the national and county level, focus on analysis and where to intervene in the value chain
- Public participation at all levels for ownership
- Identify how county governments prioritize agriculture

Policy Element 6: Mutual Accountability

- Build capacity on data collection
- Improve transparency and accountability mechanisms through stakeholder accountability forums, JSRs and BFS
- Develop an implementation framework to follow up on actions from various dialogue forums

- Ensure the Mutual Accountability Framework (MAF) in the new Agricultural Sector Transformation and Growth Strategy 2018-2022 and the National Agriculture Investment Plan (NAIP) include:
  - Clear roles and code of conduct
  - Necessary mechanisms
  - Reporting procedures
  - Resourcing /financing streams and responsibilities
  - Guidelines that enable JASSCOM to establish accountability mechanisms with development partners, counties and national government

5.0: LOOKING AHEAD - ACTION PLAN AND EMERGING ISSUES

The goal for this session was to reach a consensus on a detailed IA improvement plan. During the action planning session, groups held discussions on the action plans, and completed an action plan matrix (**Annex 6**).

5.1 STRENGTHEN ALIGNMENTS BETWEEN NATIONAL AND COUNTY POLICY PROCESSES

It is important to domesticate JSR, NAIP, MTP, and IA at the county level, as each county's institutional, economic and social context is distinct. This is important for ownership and sustainability.

To harmonize policies at all levels, an inventory of national and county policies should be undertaken. This will be done through mapping activities, and compiling and disseminating the policies to the development partners.

Agriculture should be formalized at the county level. This will not only minimize the duplication of roles, but will also foster smooth operations of agriculture programs at the county level. For these to be effective, it is important to form thematic technical working groups, and hold bi-annual stakeholder accountability forums. The process should take a period of six to twelve months, and include the involvement of the Joint Agriculture Secretariat (JAS), CAADP team, national and county governments, AgCK and Africa Lead.

5.2 INCLUSIVITY AND PARTICIPATION

It is important to ensure the participation of the private sector and CSOs in the development of frameworks, institutions processes, and advocacy and budgeting strategies. This creates ownership and ease of implementation. Furthermore, it allows for effective participation, and it is also considered a right under Article 10 of the constitution. In the next six months, there will be a need to identify, map and profile stakeholders for the purposes of capacity building. Also within this period, structures for engagement will be developed for the private sector and CSOs. Awareness creation and training on public participation, guidelines, strategy, policy processes, and advocacy should be conducted annually. MoA&I, AgCK, CNC, MoD&P, Council of Governors (CoG), and the treasury will be tasked with ensuring that capacities are built at all levels.

5.3 IMPROVE IMPLEMENTATION OF POLICY AND PROGRAMS AT THE COUNTY LEVELS

There is a need to refine the existing policy development "pathway" to improve its alignment with the government budgeting cycle, and to ensure its integration in national and county processes. Currently, country government representatives exhibit a lack of awareness of policy procedures and processes, which

has led to improper implementation and misalignment at the county level. Therefore, a policy development schedule needs to be solidified to fill these gaps. The State Department of Agriculture Research should ensure that the new research department in the ministry is strengthened, and that capacities at all the levels of engagement are built.

5.4 STRENGTHEN DATA COLLECTION, ANALYSIS, STORAGE AND USAGE

This includes the development of M&E frameworks, processes and tools, activities, roles and digitization. This is to ensure information quality, and reliable data. The following actions must be undertaken in the next twelve months: i) establish an effective M&E framework; ii) build the capacities of relevant actors; iii) harmonize and coordinate data collection units; iv) establish a functional E-Atlas; v) create awareness on the E-Atlas; and vi) mobilize and allocate resources for data collection and M&E activities, with support from APRR, JAS, ARD Donor Coordination group, State Department for Planning and Statistics, Nairobi University, Tegemeo Institute, and Kenya SAKKS.

5.5 ESTABLISH OR STRENGTHEN FOOD SECURITY POLICY COORDINATION MECHANISM AT THE COUNTY LEVEL

There is a need to establish coordination structures at various levels in the nutrition and food security sectors, with a focal point and coordination committee. Further capacity building and roll out of the national extension guidelines, and implementation of policies at the county level needs to be undertaken. Counties need to be supported in adopting the program-based budgeting mechanism as well. This can be achieved through holding dialogues with Council Executive Committee (CeC) on budget allocation, and launching a budget-tracking tool for agriculture. For the success of this process, the involvement of CAADP, CoG, JAS, the governor, CeM, and farmer groups are required.

5.6 EMERGING ISSUES

1. Have a specific organization that will coordinate data collection
2. Lobby for the increase of budget allocation of agriculture from 3.8 % to 5%
3. Ensure there is a CAADP focal point at county levels
4. Develop a checklist/matrix to assess policies and data collection tools
5. Increase funding for M&E process
6. Formulate a comprehensive M&E plan

6.0: NEXT STEPS (SHORT TERM)

The immediate next steps were agreed as follows:

1. MOA&I is to form an IA working group to oversee implementation of the IA Action Plan with facilitation support from Africa Lead
2. MOA&I is to complete and share the workshop report and action plan with participants by March 30 2018
3. The CAADP team will integrate some of the relevant actions into a work plan in a retreat by March 15, 2018.
4. An annual stakeholder meeting will be organized by the working group to review progress in implementation process
5. Working group to present findings of the workshop to senior staff at the MOA&I, CAADP team, donor working group, and others

6.1 OBSERVATIONS AND CLOSING REMARKS

- There is need to have more representation from the counties. For communication to be effective, initial invites should be done by JAS, which will later be trickled down to CECs.
- Policy Standards and Legislation group should be involved in any other follow-up meetings.
- Key experts must interact and engage actively with participants for in-depth knowledge sharing.
- Categorizing and grouping of participants based on sector expertise.

During closing remarks, the principal secretary for the MoA& I emphasized the value of effective dialogue and synergy-building within the IA process. The principal secretary also highlighted the need to ensure information is more readily available to producers, farmers, and livestock keepers. The JSR needs to be active and supported in this process at both national and county levels. In addition, water resources are key for food security development across all sectors.

ANNEX 1: WORKSHOP AGENDA

Kenya Workshop on Food Security Institutional Architecture

February 28 – March 1, 2018, Crowne Plaza Hotel, Nairobi

Agenda

Workshop Goals

1. Build a shared understanding of institutional architecture (IA) and its link to food security, national agricultural investment plan (NAIP), Joint Sector Review (JSR), and Biennial Review (BR) processes.
2. Participate in discussions, and identify strengths and weaknesses in the Kenyan Institutional Architecture within the IA areas of inquiry.
3. Prioritize IA actions for improvement.
4. Reach consensus on a detailed prioritized IA Improvement Plan

Profile of participants: 60 representatives from the government, civil society, and the private sector

DAY 1: Wednesday 28th February

TIME	ACTIVITY
8.00am – 8.30am	**REGISTRATION/COFFEE**
8.30am – 9.30am	**Opening, Welcome and Introductions** 4 Brief Welcome Remarks – *CAADP Focal Point* 5 Brief Opening Remarks – *PS, Ministry of Agriculture* 6 Welcome Remarks – *AgCK, ARD& CoG* 7 Introductions, expectations & ground rules –*Facilitator* 8 Workshop Objectives & Agenda – *Facilitator*
9.30am – 10.45am	**Institutional Architecture as a Concept** 9 Why institutions and why focus on systems and processes and Why institutional architecture is important to Food Security, NAIP, JSR, BR - input presentation by *Josephine Love (Ministry of Agriculture) & Dorcas Mwakoi (Africa Lead))* (15 minutes) 10 Q&A (5 mins) **Recap of Kenya IAA** 11 Update on IAA process carried out in Kenya (Provide handout of table with IAA recommendations and status) +Relevant BR priorities from Kenya BR report (elements 1&7) + JSR plans overview (e.g. timeline etc.) • **Input presentation 1:** *Dr. Okeyo- CAADP Focal Person & Dr. Washington Ochola- (Africa Lead) + SAKSS node, John Maina – 15 mins*

TIME	ACTIVITY
	• **Input presentation 2:** Justus Monda - *AgCK (based on the 360-degree survey, feedback: what have the NSA been doing & their plans & feedback from members)* With Q&A and discussions between presentations
10.45am – 11.00am	**COFEE/ TEA BREAK**
11.10am - 11.40pm	**IAA Part 1 Institutional Architecture: Kenyan IA strengths and weaknesses** *Split into 6 groups by table, each discussing IA questionnaire element sub-questions and reporting out on (2-4) survey sub questions on strengths, weaknesses, and how the group scored the sub-elements on a scale of one to five. Tables each get one of the following topics:* ⇒ 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
11.40am – 12.40pm	**Table reports and whole group discussions: Kenyan IA status by sub-element** *Table reports (5 minutes each) and full group discussions (5 minutes of discussion following each report)* ⇒ 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
12.40pm – 1.00pm	**Each participant individually completes 20 question IA survey scoring on Kenyan IA (5 pt. scale)**
1.00pm – 2.00pm	**LUNCH BREAK**
2.00pm – 2.20pm	**Report out on scores awarded, survey questions with the widest discrepancies in perception highlighted**
2.20pm – 3.20pm	**IAA Part 2 – Putting in Place the Right Institutional Architecture for Food Security under a devolved system** *Table Groups reconvene and discuss what could be done to improve IA Policy sub-elements that need improvement. They also discuss what needs to be done at the county v. national level to improve this sub-element.* **Optional exercise**: *if key constraint lends itself to mapping: map out key constraint and visualize how an improved IA of this sub-element would look.* ⇒ *Policy Element 1: Predictability of the Guiding Policy Framework*

TIME	ACTIVITY
	⟹ *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*
3.20pm – 3.40pm	**Table report-outs and discussions groups 1 & 2**
3.40pm – 4.00pm	**COFFEE BREAK**
4.00pm – 4.45pm	**Table reports and discussions groups 3, 4, 5, & 6**
4.45pm – 5.00pm	**Closing remarks and Recap of Day 1**

DAY 2: Thursday 1st March

TIME	ACTIVITY
8.30am – 9.00am	**COFFEE**
9.00am – 9.15am	**Introduction to Day 2** 12 *Review of Day 1* 13 *Day 2 agenda*
9.15am – 10.45am	**Reaching Agreement on the IA Improvement Plan** ⟹ Review of IA questions that got the lowest scores ⟹ Discussion about which are the easiest to fix "the low hanging fruit" ⟹ Voting on top 6 priorities for action planning (using colored sticky notes) ⟹ Break back into groups each proposing actions plans (who, what, where, when, how) for top 6 prioritized areas for improvement
10.45am – 11.00am	**COFEE/ TEA BREAK**
11.15am - 12.30pm	**IA Improvement Plan Presentation** ⟹ *Reporting out of break out groups who, what, where, when, how, for group feedback*
11.30am – 1.00pm	**Preparation for 2 p.m. presentation (adjusting, PPTs, maps, etc.)**
1.00pm – 2.00pm	**LUNCH BREAK** *High level audience (senior ministry officials and donor community working on agriculture) invited to join participants for lunch and 2 p.m. presentation of Workshop Highlights and IA Improvement Plan. Includes donor representatives.*
2.00pm – 4.00pm	**Participant Presentations** ⟹ Workshop Highlights *(Josephine Love)*

TIME	ACTIVITY
	⇒ IA Roadmap of Prioritized Actions, who will do what by when *(Highlights of six priority areas)* **Short Q&A**
4.00pm – 4.30pm	**Feedback on utility of workshop and any suggestions for future workshops** (evaluation questionnaire issued at the end of the meeting) **Closing remarks**
4.30pm – 5.00pm	**Coffee and Departure**

After the Workshop Steps:

- IA Improvement Action Plan presented to the **CAADP** team
- ARD donor group presentation on IA Improvement Action Plan

Expected Meeting Outputs

- The IA improvement plan
- Follow-up IAA meeting (one year later)
- Consolidated workshop report
- Participant IAA survey results

ANNEX 2: KENYA IAA RECOMMENDATIONS

The following is the summary of Kenya IAA 2017 recommendations on the six elements:

OVERARCHING POLICY FRAMEWORK

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

POLICY DEVELOPMENT AND COORDINATION

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

INCLUSIVITY OF STAKEHOLDER CONSULTATIONS

- Strengthen the capacity of the new sector consultation and cooperation mechanism (JASCCM).
- Map out capacity constraints of agricultural associations.
- Training to associations in five key areas: setting goals and objectives; identifying target audiences; developing an effective advocacy message; producing an action plan; and monitoring and evaluation.
- Host issue-based roundtables with non-state actors to identify policy priority areas.
- Enhance capacity of government at both national and country levels to engage non-state actors' participation in agriculture and food security policy formulation processes.
- The FNS strategy and investment plan should be developed. Each department should adhere to their service charters that guide policy development process. This will hasten the process and make policy development and formulation process predictable.
- JASCCM should develop a framework for developing CIDPs, the annual work plans and the implementation strategy and a strong coordination and consultation mechanism for food and nutrition security with participation of the national government.
- The national government should continue providing administrative support to food and nutrition security related activities at the counties. The national government should strengthen their administrative and technical support to the counties.

EVIDENCE BASED POLICY ANALYSIS & DEVELOPMENT

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

POLICY IMPLEMENTATION

- Review the public-sector expenditure to align expenditure to priorities.
- Strengthen and establish evidence-based mechanisms to support budgetary allocations.
- Strengthen technical and administrative capacity for policy implementation at both levels of government.
- Strengthen M&E capacity at the both levels of government for evidence planning and reporting.

MUTUAL ACCOUNTABILITY

- The revised ASDS to identify roles of all players and provide a mechanism for engagement.
- Develop and implement an accountability plan.
- Develop and execute a code of conduct involving all sector players.
- Improve and embed transparency and accountability mechanisms at all levels such as the country sector accountability forums, JSRs and BRs processes.
- Revitalize KJAS and explore possibilities to domesticate these structures at the county level.

ANNEX 3: KENYA IAA 2017 RESULTS - CAPACITY FOR POLICY CHANGE INDICATORS

Red: Requires significant attention to ensure the component is achieved.

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

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

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, law, and legal framework.	🟡
Clear and Functional Legislative System: There is a legislative capacity to deal with food security policy changes, 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 to 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 multi-sectoral, multi-year food security plan developed, which specifies priorities and objectives, and addresses the roles of various contributors, including government, the private sector, and CSOs. The vision and strategy to improve food security is clear.	🟡

CAPACITY OF POLICY CHANGE INDICATORS	Status
	🔴 🟡 🟢
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 regarding policy development.	🟡
Functioning 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 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 development of new policies, e.g. involvement of Deputy President's (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 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; 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.	🟡

CAPACITY OF POLICY CHANGE INDICATORS	Status
	🔴 🟡 🟢
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 process, 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 security policy. They are able to represent their members, articulate and communicate policy positions, and provide some level of evidence-based analysis to support their viewpoints.	🟡
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 security policy. This is to say they are able to represent their members, they are able to articulate and communicate policy positions, and they are able to provide some level of evidence-based analysis to support their viewpoints.	🟡
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.	🔴

CAPACITY OF POLICY CHANGE INDICATORS	Status
	🔴 🟡 🟢
Inclusion of Analysis in the Policy Development Process: Evidence-based analysis is considered and used to develop policy priorities/policy proposals.	🔴
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. This is used to make policy recommendations and engage in policy discussion and advocacy. Such an analysis could be conducted by a research institute, university or similar non-governmental/objective organization. This capacity should be engaged in the government's policy development and review process as, for example, through papers, forums, or participation introduced in official policy review and discussion meetings.	🟡
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 line ministries can implement policy actions. 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.	🟡

CAPACITY OF POLICY CHANGE INDICATORS	Status
	🔴 🟡 🟢
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.	🟢
Administrative and Technical Capacity of Staff to Implement Policy Change: Administrative and technical capacity exists within the government to effectively manage the implementation process. There is a system to coordinate implementation across departments.	🟡
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.	🔴

ANNEX 4: SAMPLE QUESTIONNAIRE

Group 1: Breakout Discussion

Policy Element (1): Predictability of the Guiding Policy Framework

1. There is legislative (e.g. Parliament's) capacity to develop food security policy change (to consider, debate, engage, draft, and ultimately pass good food security policies).

As evidenced by:
Functional subcommittee(s) on agriculture and nutrition;   *Legislative staffers provide or pull in expertise for legislative decision making;*   *MPs understand key policy issues in food security.*   *The agriculture and nutrition committees closely coordinate(s) with ministerial technical personnel.*   *An agriculture and food security committee (or committees that work on issues related to FS/ag/nutrition) promotes food security policies to the full legislature.*   *The legislative branch has initiated, advocated for, and passed high quality FS policies.*

Group Score: On a scale of 1 (poor) to 5 (excellent), how would you rate the country's performance in this area?

Circle one: 1: poor; 2: moderately weak; 3: marginally satisfactory; 4: good; 5: excellent; or N/A: "insufficient information."

Strengths:

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Weaknesses:

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2. The policy development and corresponding implementation process is **predictable** in accordance with the rules contained within the country's constitution, basic law, and formal legal framework.

As evidenced by:
• *Clearly defined, accessible, and predictable legislative requirements are followed;*   • *Political process allows for dialogue to discuss and resolve differences*   • *Legally rooted and unbiased dispute resolution process is a viable option if needed.*   • *There is a commonly shared interpretation and enforcement of laws and regulations.*

Group Score: on a scale of 1 (poor) to 5 (excellent), how would you rate the country's performance in this area?

Circle one: 1: poor; 2: moderately weak; 3: marginally satisfactory; 4: good; 5: excellent; or N/A: "insufficient information."

Strengths:

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Weaknesses:

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3. The policy development and implementation process is **transparent** in accordance with the rules contained within the country's constitution, basic law, and formal legal framework.

As evidenced by:
• *Clearly defined legislative requirements;*   • *The public can comment on draft policies, laws and regulations (such as comment period, non-state actor (NSA) or multi-stakeholder forum, governmental website or social media feedback fora);*   • *Budget documents, including budget proposals, are released fully and in a timely manner before, during, and after implementation.*

Group score: on a scale of 1 (poor) to 5 (excellent), how would you rate the country's performance in this area?

Circle one: 1: poor; 2: moderately weak; 3: marginally satisfactory; 4: good; 5: excellent; or N/A: "insufficient information."

Strengths:

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Weaknesses:

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- No guideline on what constitutes public participation

Group 2 Breakout Discussion

Policy Element (2): Policy Development & Intra-governmental Coordination

4. There is an approved/official multi-sectoral and multi-year food security plan that specifies priorities and objectives, and guides policy and program development and implementation.

As evidenced by:
• *Government, including local authorities, agencies, and departments, implements and utilizes multi-year food security plan to guide policy and program development;* • *Private sector and civil society organizations (CSOs) that represent member interests provide input that help inform priorities and planning.*

Group score: on a scale of 1 (poor) to 5 (excellent), how would you rate the country's performance in this area?

Circle one: 1: poor; 2: moderately weak; 3: marginally satisfactory; 4: good; 5: excellent; or N/A: "insufficient information."

Strengths:

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Weaknesses:

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5. There is a government-led entity, such as a coordination unit or task force, with defined membership that works towards improving food security policies and programs.

As evidenced by:
• *The coordination unit meets regularly to discuss, develop, and coordinate.* • *The entity has the relevant agencies from key governmental ministries (Trade, Finance, Health) and necessary governmental units;* • *The members represent their governmental units, bringing information to and from the meetings;* • *The members actively participate;* • *The members have trust, a shared vision, and regular communication.*

Group score: on a scale of 1 (poor) to 5 (excellent), how would you rate the country's performance in this area?

Circle one: 1: poor; 2: moderately weak; 3: marginally satisfactory; 4: good; 5: excellent; or N/A: "insufficient information."

Strengths:

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Weaknesses:

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6. There are government-led work groups or technical committees that perform **all** the following functions: (1) Identifies policy and technical challenges/issues; (2) develops food security policies or agricultural sector-specific food security policies, (3) develops strategies; (4) consults within the sector; and (5) drafts funding proposals.

As evidenced by:
• *The work groups or technical committees (such as ag or nutrition sector working group) have gone through the **full cycle** from problem identification, policy and strategy formulation, sector consultation and funding proposal drafted.*

Group score: on a scale of 1 (poor) to 5 (excellent), how would you rate the country's performance in this area?

Circle one: 1: poor; 2: moderately weak; 3: marginally satisfactory; 4: good; 5: excellent; or N/A: "insufficient information."

Strengths:

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Weaknesses:

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7. There is a line of authority/participation by high-level decision-makers above the ministerial level **enabling efficient political support for the development and passage of new food security (nutrition and agricultural) policies.**

As evidenced by:
• *The prime minister's (and/or or president's office as appropriate in-country) is supportive of food security policies that cut across ministries (such as trade, health and agriculture).*   • *There is supportive leadership pushing food security policy reforms as a priority area.*

Group score: on a scale of 1 (poor) to 5 (excellent), how would you rate the country's performance in this area?

Circle one: 1: poor; 2: moderately weak; 3: marginally satisfactory; 4: good; 5: excellent; or N/A: "insufficient information."

Strengths:

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Weaknesses:

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For KENYA: Are the different roles and responsibilities of county and national governments clear and is there a harmonious and synergistic process of formulation and implementation of agricultural policies and programs?

As evidenced by:
• *The existence of a coordinating mechanism between County and National governments*   • *The absence of "turf wars" and inter-governmental conflicts on resources and policy*   • *Clarity of roles among all stakeholders*

Group score: on a scale of 1 (poor) to 5 (excellent), how would you rate the country's performance in this area?

Circle one: 1: poor; 2: moderately weak; 3: marginally satisfactory; 4: good; 5: excellent; or N/A: "insufficient information."

Strengths:

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Weaknesses:

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ANNEX 5: SYNTHESIS OF SCORES, STRENGTHS, AND WEAKNESSES FOR THE 6 POLICY ELEMENTS

Kenya Workshop of FS Institutional Architecture, February 28 - February 1, 2018 GoK, Africa Lead and USAID

Policy Elements	Questions	Scores	Strengths	Weaknesses
Policy Element (1): Predictability of the Guiding Policy Framework	Q1. There is legislative capacity to develop food security	3: marginally satisfactory	• Parliament prioritizes formation of committees • Bring expertise • Advocacy and goodwill to form FS	• Poor Coordination • Lack of data for policy formulation • Poor understanding of policy formulation
	Q2. The policy development and corresponding implementation process is **predictable** in accordance with the rules contained within the country's constitution, basic law, and elsewhere in the formal legal framework.	3: marginally satisfactory	• Existing constitution allows for dialogue	• Inaccessible information • Weak structure for dialogue • Inadequate training
	Q3. The policy development and implementation process is **transparent** in accordance with the rules contained within the country's constitution, basic law, and elsewhere in the formal legal framework.	5: excellent		• No guideline on what constitutes public participation

Policy Element (2): Policy Development & Intra-governmental Coordination	Q4. There is an approved/official multi-sectorial, multi-year food security (agriculture and nutrition) plan which specifies priorities and objectives and **guides policy and program development and implementation**.		• All aspects of agriculture are stipulated • Government supports policy development	• Policy developed before devolution • Nutrition aspects not well captured
	Q5. There is a government-le identity, such as a coordination unit or task force, with defined membership that works towards improving food security (ag and nutrition) policies and/ or programs.	4: good	• Co-chaired by two levels of government	• Not incorporated relevant authorities e.g. trade, health and finance
	Q6There are government-led work groups or technical committees that perform **all** the following functions: (1) Identifies policy and technical challenges/issues, (2) develops food security and agricultural sector- or project-specific food security (nutritional and agricultural) policies, (3) develops strategies, (4) consults within the sector and (5) drafts funding proposals.		• Structures are in place with regular meetings	• Membership from counties not regular
	Q7. There are government-led work groups or technical committees that perform **all** the following functions: (1) Identifies policy and technical challenges/issues, (2) develops food security and agricultural sector- or		• Supports policy formation	• Inadequate funding • Policy formation takes a long time

	project-specific food security (nutritional and agricultural) policies, (3) develops strategies, (4) consults within the sector and (5) drafts funding proposals.			
Policy Element (3): Inclusivity and Stakeholder Consultation	Q8. The private sector (PS) is provided meaningful opportunity to participate in FS policy formulation and strategy discussions.	3: marginally satisfactory;	• Improves participation	• Lack of capacity • Processes are weak and unclear
	Q9. Organization(s) representing the private sector have the capacity to present analysis supported by evidence to influence government-led discussions on food security policy.	2: moderately weak	• Have capacity	• Logistics and resources are a challenge
	Q10. Civil Society Organizations (CSOs) are provided the meaningful opportunity to participate in FS policy formulation and strategy discussions.	4: good	• Government is proactive • Opportunities are provided for participation	• Poor capacity and at times politics override real issues
	Q11.CSOs have the **capacity** to present analysis supported by evidence to influence government-led discussions on food security policy.	2: moderately weak	• Some CSOs strong, others are weak based on funding	• Some are partial and lack integrity

Policy Element (4): Evidence-based Analysis and M&E	Q12.National food security priority policy initiatives/ investment plan/ strategy is based on economic and financial analysis.	2: moderately weak	• There are institutions that conduct research • Detailed reports from planning unit	• No centralization of data • Inclusivity of the government coordination is not even • Lack of coordination • National agricultural research system (NARS} • Policies lack framework
	Q13.Good performance monitoring measures and targets have been developed for the national food security policies/plans.	2: moderately weak		
	Q14. The Government has the capacity to monitor and evaluate food security policies and programs.	2: moderately weak	• There is a strong appreciation for the need for sector-wide M&E framework • Program-wide M&E frameworks exist, and we know that we have activities are contributing to food security	• There is a strong appreciation for the need for sector-wide M&E framework • Program-wide M&E frameworks exist, and we know that we have activities are contributing to food security
	Q15.Does the media disseminate food security stakeholders with sufficient information and evidence that they can use to help make decisions?	3: marginally satisfactory;	• Wide coverage of media, vibrant media that publish food security issues • Adequate listening to culture in the country	• Timing of broadcast could be improved to coincide with primetime • Response mechanism for issues raised by the media is sometimes inadequate
Policy Element (5): Policy Implementation	Q16.The overall food security strategy has been broken down into programs and projects that	3: marginally satisfactory	• Good will to support it • Policy in place but implementation is poor	

	have a sufficient level of detail to permit implementation.			
	Q17.Resources are committed that allow for the implementation of the identified FS policy agenda.	3: marginally satisfactory	• National budget sets the policy. There have been 5 years only of devolution. There is an amount of money given to the county government. But the national govt. doesn't release the money, the county and districts can decide what to prioritize	• But capacity to absorb goes along with funds being allocated-in Kenya several county governments send back funds at the end of the year, or spent funds on things that weren't in the budget
Policy Element (6): Mutual Accountability	Q18.There is a mechanism for donor participation in the food security policy process to align government and donor objectives and priorities, and coordinate resources and activities.	3: marginally satisfactory	• Forum exists • Consultations taking place	• Lack of trust • Sector is wide yet focus is more on national government • Donor reports rarely shared with counties
	Q19.A formal stakeholder review session (i.e. the Joint Sector Review for CAADP) is used for adaptive management of policies and programs in agriculture and food security.	2: moderately weak	• BR process is now active • Some activities are in selected counties only	• Limited consultation • No formal JSR is done
	Q20.There is regular multi-directional and on-going constructive dialogue among key agriculture and FS stakeholders.		• Dialogue exists • Government reports are available	• Limited feedback from NSA • Forums weak at our county level

ANNEX 6: ACTION PLAN

Kenya Workshop of FS Institutional Architecture, February 28 - March 1, 2018 GoK, Africa Lead and USAID

Concrete Action or Activity	Why it is important do this (also link to IA framework elements)	Sub-activities – the steps or smaller activities that need to be taken	Timeline for delivery (short term < 6 months; medium term = 1 year; long term 2 years)	Lead implementer & others who'll be involved (start with lead and list partners/ collaborators)
Guiding Policy Framework				
Develop and/or Refine the existing policy development schedule and "pathway" to improve alignment with government budgeting cycle and integration between national/county processes	• Lack of the bottom up input approach to policy development • Currently there is a lack awareness of policy change procedures and processes • Leads to misalignment and poor domestication at the county level • Which leads to improper/inco-nsistent implementation at the county level • Research has already been done to determine that the existing framework is not sufficient	1. Solidify a policy development schedule or "pathway" 2. Improve awareness at the national and county level on this schedule 3. Conduct gap analysis to find out what the issues are 4. Support the implementation of the pathway and ongoing		The Ministry of Agriculture and Irrigation (CS)

2. Institutionalize a link between policy makers and the evidence base	• Currently, evidence-producers are not engaging with decision makers at national and county level • Kenya needs an impartial, objective body to support Parliamentary actions and policy development (similar to the Congressional Budget Office in US) • Currently there is no bottom up evidence base – policy development needs to better bring in data and evidence from the bottom up to be used for policy reform • Need a clearinghouse of evidence to inform policy decisions • Objective evidence on policy issues allows NSA to advocate for positions	1. Revamp research department within Parliament 2. Strengthen the new research department in the Ministry (SDR) 3. Develop a national coordinating body for research and data that is authenticated for as to advise Parliamentarians 4. Build capacity in leaders to respond to issues at the local level 5. Build capacity at local level to contribute data and evidence of CIDPs		Newly created State Department for agriculture Research (SDR)
3. Rationalize policy coordination across the departments within agricultural sector	National government is in-charge of the policy and yet the departments operate in isolation	Develop and implement a structure for the Ministry to coordinate policy development and report to the CS		CS, Ministry of Agriculture & Irrigation

Alignment between county and national policy processes

Domestication of the JSR, NAIP, MTP, IA	Counties are unique-ownership and customization	i)Train officers in the national government to be competent in carrying out the JSR processes ii)Publicize/share the findings iii)Undertake all the 14 JSR processes at the county level	Immediate(6 months)	Joint Agricultural Secretarial (JAS), CADDP unit of the National Government, Agricultural Council of Kenya, Council of Governors, Africa Lead
		i) Meeting the county Assembly	Immediate(6months)	
		i) Meeting the county Executive committees	Immediate(6 months)	
Take inventory of the policies developed by counties and those developed by national government	i) Harmonize policies at all levels ii) Enrich what has been documented	i) Mapping of activities and actors	Short-term(Within 1 year)	County Government (Department of Agriculture, CEO) and the National Government (Agricultural Secretary-AS, JAS)
		i) Compile and disseminate the inventory of policies from the county and national government to the development partners		JAS
Formalize agricultural for a at the county level	i)Minimize duplication of roles ii)Smooth operation of county agricultural programmes	i) Form thematic technical working groups ii) Hold bi-annual stakeholders accountability for a	Short-term (Within 1 year)	County Government, county AgCK

Inclusivity and participation

1. Build capacity of private sector and CSOs to effectively participate	-Inclusivity -Ownership and Ease of implementation -Effective participation -Right, Article 10 (2a,b &c)	Stakeholders' identification, mapping and profiling	6 months	Lead: MoA&I Partners: AgCK, CNC, MoD&P, CoG, Treasury
		Awareness creation and training –public participation guidelines, strategy, policy processes, advocacy	Annually	
		Develop structure Private Sector and CSOs engagement mechanism (Communication, engagement approach)	6 months	
Data and M&E				
1. Strengthen data collection ,monitoring and evaluation (Institutions, processes tools, coordination, activities, roles, digitization)	1. Real time ,quality, uniform, reliable and available data 2. Evidence based data for decision making 3. Availability of data at both national and county levels For learning and for corrective action	1. Establish M&E framework 2. Build the capacities of M & E actors	6 months 1 year	Policy Directorate at the State Department of Crop Development(SDC) Agricultural Policy Research and Regulation (APRR) *Others:* JAS, CoG, ARD Policy Directorate at the State Department of Crop Development(SDC)

				Agricultural Policy Research and Regulation (APRR) *Others*: Evaluation Society of Kenya Tegemeo Nairobi University State Department for Planning and Statistics
		3. Harmonize and coordinate data collection units	6 months	
		4. Have a functional E-Atlas . It needs to be populated with validated data	6 months	Kenya SAKSS *Others* KNBS KIPRRA Tegemeo JAS
		5. Create awareness on E- Atlas data availability		Kenya SAKSS Ohers:Committee on Agriculture Nutrition Environmental statistics(ANES)
		Mobilize and allocate resources for data collection and M & E activities	6 months	
			6months/1 year	
				Kenya SAKKS, Others: JAS
				SDC Others: ARD,CoG,

Policy implementation at county levels

Establish or Strengthen Food Security Policy Coordination Mechanism at County Create coordination structures at various levels – in each sector like nutrition security, food security (includes ag, livestock, fisheries), agriculture, each has a focal point and they have coordination committee, has terms of reference on how they engage, includes relevant departments.	Structures at the county level for coordination and implementation are not clear (for example food and nutrition policy- the coordination structure at county level is not clear)	(1) Conduct Rapid Assessment of existing county coordination mechanism. (2) Form & Support County Coordination Committee. 5) Develop TOR and build capacity of committee (3) Form county level technical thematic (4) Appoint CAADP focal point in each county to work with the committee. *This focal point links to the national level through* working groups *JASSCM in the county: mechanism for coordinating those players at the county level.*	- 6 Months 6 Months	- **CAADP** - **JAS** - **COG** - Governor, - CECM- Agric Sector line dept - Relevant CCOs and CDAs - Chair of County Assembly Agric Committee - Farmer organizations, - CSO - Development Partners- AHADI
Capacity Building and roll out national extension guidelines, cascading and implementation of policies at the county level. (1) Needs assessment – not just for training but other	Human resources both numbers and technical capacity (technical trained)	1) Support Counties to conduct capacity assessment 2) Sensitization on the revised extension policy 2017 3) Organize training to improve capacity of extension staff & other stakeholders		National gov provides needs assessment facilitators AgCK/ NSAs provides private sector input on farmer's needs

gaps (National gov provides facilitator): come up with a human resource development plan to address gaps (if doesn't already exist in county). (2) Organize training for county ag staff on policy issues, (a) sensitize them on policy (b) give skills to operationalize those policies and translate them into specific programs		4) Support counties to develop an extension Strategy 5) Develop Capacity Building plan for the county		County Service Board, Ministry of Agric
Support counties to adopt program based budgeting & mechanism to increase budget allocation		Hold dialogue with county Executive on budget allocation to Agriculture program	1 - year	- **CAADP** - **JAS** - **COG** - Governor, - CECM- Agric Sector line dept - Relevant CCOs and CDAs - Chair of County Assembly Agric Committee - Farmer organizations, - CSO Development Partners- AHADI

Launch budget tracking tool for agriculture	Resource allocation to agriculture, Activity Based Budgeting	(i) The county leaders should create regular dialogue forum and discussing the budgetary allocation (ii) Devt of Budget tracking tool (iii) Produce annual report Hold investment forums at county levels		Advocacy from Private Sector and CSOs (farmer organizations and ag trade associations at the county level)- AgCK help organize them. The county leaders should create regular dialogue forum and discussing the budgetary allocation
JSR process at the county level	Feedback mechanism M&E of issues	- Carry out 14 JSR process - Benchmarking, - holding county forums where farmers and governor can meet together and evaluate performance on specific issues. Have a specific day set aside (published well in advance) to review. Production & sharing of report (build capacity to produce reports)	2 years	CAADP JAS COG Governor, CEC, Farmers, Farmer organizations, County Assemblies Donor NEPAD- Kenya GIZ RESAKKs Node and RESAKSS regional office
Increase information flow up and down	Awareness issue at the county level of CAADP and national policy	ATOR Annual (Ag) Trend and outlook report- should be collected from counties and		

		reported out at county level (from NEPAD) There is a lack of picking up grassroots issues and bringing up to the national dialogue (farmers state their needs)		