

ReSAKSS

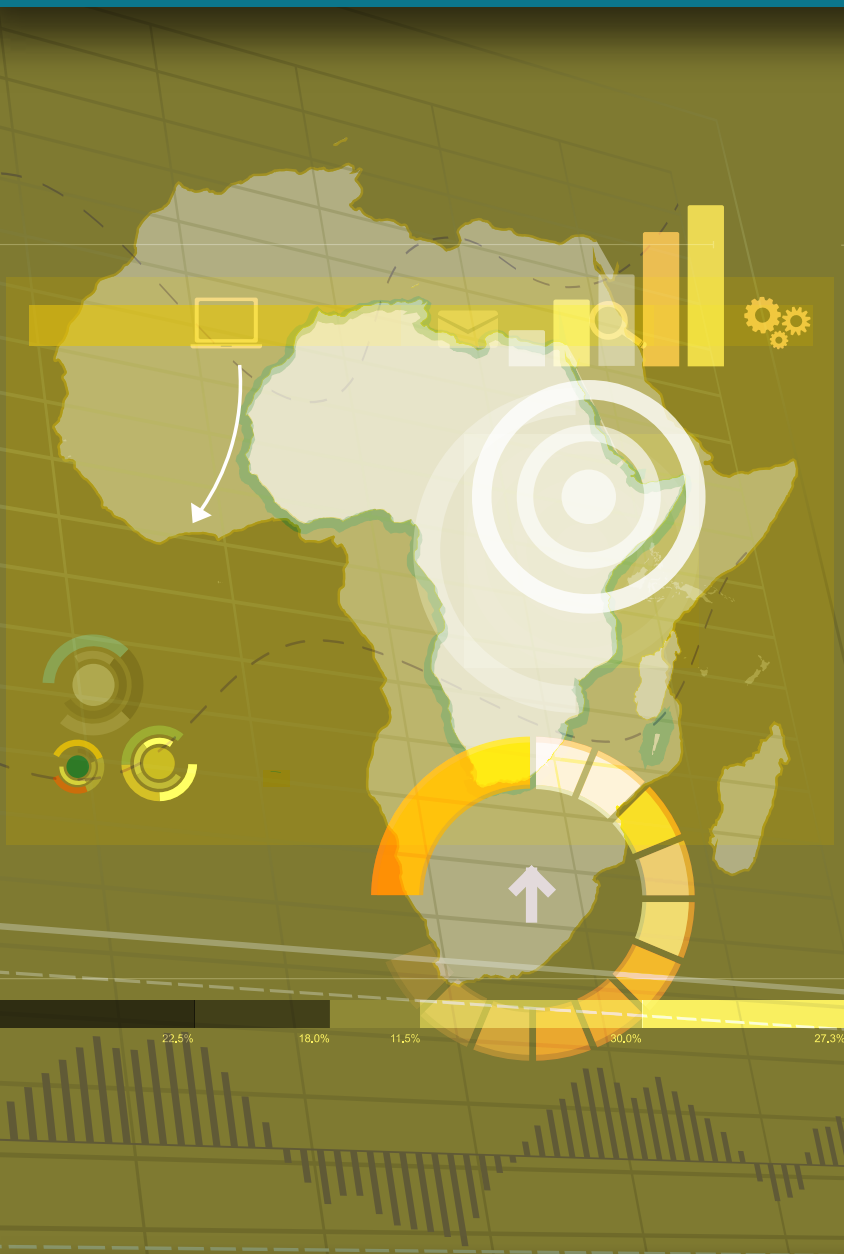
Regional Strategic Analysis and Knowledge Support System

Facilitated by IFPRI 

KENYA

RESAKSS CNA REPORT 8

Capacity
Strengthening
Strategy through
Capacity Needs
Assessment for
Country Level
Strategic Analysis
and Knowledge
Support System
(SAKSS)



KENYA

Capacity Strengthening Strategy through Capacity Needs Assessment for Country Level Strategic Analysis and Knowledge Support System (SAKSS)

Facilitated by IFPRI and coordinated by ReSAKSS. Prepared by national teams under the leadership of the Policy Development Coordination Department, State Department of Agriculture, Ministry of Agriculture, Livestock and Fisheries, with participation of national experts, including Dr. Rose Nyikal as the lead consultant.

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EXECUTIVE SUMMARY

Agricultural development efforts and partnerships in Africa are primarily directed by the Comprehensive Africa Agriculture Development Programme (CAADP), which focuses on improving food and nutrition security, economic growth, and sustainable incomes across the continent through a strong agricultural sector. CAADP country compacts are agreements between key players in participating countries that serve as a road map for achieving the targeted 6 percent annual growth in agriculture. In 2010, Kenya signed a CAADP Compact and established a CAADP presence in its Agricultural Sector Coordination Unit.

For the CAADP process to succeed at the country level, it requires the continuous generation of evidence to inform the design, implementation, and modification of agricultural programs and interventions. This need for credible, timely, and high-quality evidence requires human resources, physical space and infrastructure, analytical tools, and comprehensive data to guide planning and review processes for policymaking. Capacities are also needed to effectively monitor and evaluate the programs and policies implemented and their implications.

In Kenya, the nature and extent of these capacities to generate evidence-based information; monitor, evaluate, and share knowledge with policymakers; and promote policy dialogue are not well known. To assess these national capacity needs, the International Food Policy Research Institute (IFPRI) and the Regional Strategic Analysis and Knowledge Support Systems (ReSAKSS) initiated a study in Kenya and other African nations. Twenty-eight Kenyan organizations were determined to be key players in the agricultural policymaking process, but only 11 participated in the study.

Overall, the study found that there is a need to build human, financial, and physical capacities for the major stakeholders involved in the Kenyan policymaking process. It also found that a core challenge the agricultural sector faces is the lack of a common platform to share knowledge, tasks, and experiences. A potential solution would be to establish an autonomous body to synchronize communications between stakeholders and assign them definitive tasks that align with their organizational mandates.

Establishing a country SAKSS should be a core objective of Kenya's agricultural capacity development strategy. Based on this study's findings, the Ministry of Agriculture's Directorate of Agricultural Policy and External Relations emerged as the ideal entity to manage the country SAKSS—a formal platform where all the players have specific roles. The proposed membership includes the Ministry of Agriculture, Livestock and Fisheries; Kenya Institute of Public Policy Research and Analysis; Tegemeo Institute of Agricultural Policy and Development; Kenya Agricultural Research Institute; the Kenya National Bureau of Statistics; Kenya National Farmers' Federation; Food and Agriculture Organization of the United Nations; IFPRI; Agricultural Sector Coordination Unit; and agricultural universities.

TABLE OF CONTENTS

Executive Summary.....	2
List of Tables	4
List of Figures.....	5
List of Acronyms	5
1. Introduction	7
2. Methodology	9
2.1. Summary of Terms of Reference	9
2.2. Description of Data Collection Methods.....	9
2.3. Inception and Validation Reports	9
3. Policy Process Analysis	11
3.1. Policy Process in Kenya	11
3.1.1. Step 1: Problem Identification	11
3.1.2. Step 2: Policy Formulation	11
3.1.3. Step 3: Policy Implementation	12
3.1.4. Step 4: Policy and Strategy Monitoring and Evaluation	12
3.2. Descriptions of Organizations and Institutions Involved in the Agricultural Policy Process.....	12
3.2.1. Ministry of Agriculture	12
3.2.2. Agricultural Sector Coordination Unit	14
3.2.3. Ministry of Livestock Development.....	15
3.2.4. Ministry of Environment and Mineral Resources.....	15
3.2.5. Kenya Institute of Public Policy Research and Analysis (KIPPRA).....	15
3.2.6. Tegemeo Institute of Agricultural Policy and Development	16
3.2.7. University of Nairobi Department of Agricultural Economics	17
3.2.8. Kenya National Farmers’ Federation.....	17
3.2.9. Parliamentary Committee on Agriculture, Livestock and Cooperation	18
3.2.10. Food and Agriculture Organization (FAO) Kenya Office	18
3.2.11. Kenya Agricultural Research Institute.....	19
3.3. Linkages between Different Policy Players	19
4. Capacity Assessment Results	21
4.1. Individual Capacities of Organizations in Agricultural Policy Processes	21
4.1.1. Human Resource Capacities.....	21

4.2. Organizational Capacities of Agricultural Policy Process Institutions	23
4.3. Policy Process Capacities	24
5. Capacity Development Strategy	26
5.1. Kenya Country SAKSS: Proposed Structure.....	26
6. Conclusion	28
References	29
Appendices	30
Appendix 1: List of Individuals Interviewed.....	30
Appendix 2: Terms of Reference	32
Appendix 3: Summaries of Questionnaire Responses	38
Appendix 4: Study Instruments	67

LIST OF TABLES

Table 1: Human Resource Capacities in Policy Process Institutions	21
Table 2: Human Resource Constraints Faced and Proposed Solutions	22
Table 3: Financial and Physical Constraints of the Policy Process Institutions	24
Table 4: Summary of Capacity Needs	25
Table A1.1: Interviewees	31
Table A3.1: Institutional Details.....	38
Table A3.2A: Human Resources—Universities, Institutes, and Nongovernmental Organizations.....	40
Table A3.2B: Human Resources—Government Secretariats and Ministries and Nonprofit Organizations	41
Table A3.3A: Financial Resources—Universities, Institutes, and Nongovernmental Organizations	42
Table A3.3B: Financial Resources—Government Secretariats and Ministries and Nonprofit Organizations.....	43
Table A3.4A: Physical Resources—Universities, Institutes, and Nongovernmental Organizations.....	44
Table A3.4B: Physical Resources—Government Secretariats and Ministries and Nonprofit Organizations	45
Table A3.5A: Research Policy Linkages—Universities, Institutes, and Nongovernmental Organizations	47
Table A3.5B: Research Policy Linkages—Government Secretariats and Ministries and Nonprofit Organizations	50
Table A3.6A: Evidence-Based Policymaking—Universities, Institutes, and Nongovernmental Organizations	52
Table A3.6B: Evidence-Based Policymaking—Government Secretariats and Ministries and Nonprofit Organizations.....	53
Table A3.7A: Statistical, Monitoring, and Evaluation Questions—Universities, Institutes, and Nongovernmental Organizations.....	54

Table A3.7B: Statistical, Monitoring, and Evaluation Questions—Government Secretariats and Ministries and Nonprofit Organizations	57
Table A3.8A: Major Constraints faced in 2011 and proposed Solutions—Universities, Institutes, and Nongovernmental Organizations.....	58
Table A3.8B: Major Constraints faced in 2011 and Proposed Solutions—Government Secretariats and Ministries and Nonprofit Organizations	59
Table A3.9A: Policymaking Capacity—Universities, Institutes, and Nongovernmental Organizations	60
Table A3.9B: Policymaking Capacity—Government Secretariats and Ministries and Nonprofit Organizations	61
Table A3.10A: Capacity Assessment of the Policy Process Institutions—Universities, Institutes, and Nongovernmental Organizations.....	63
Table A3.10B: Capacity Assessment of the Policy Process Institutions—Government Secretariats and Ministries and Nonprofit Organizations	64

LIST OF FIGURES

Figure 1: Linkages between Organizations in the Agricultural Policy Process in Kenya	20
Figure 2: A Potential Country SAKSS Operational and Governance Structure	27

LIST OF ACRONYMS

ASCU	Agricultural Sector Coordination Unit
ATORs	Agricultural Trends and Outlook Reports
BSc	Bachelor of Science
CAADP	Comprehensive Africa Agriculture Development Programme
CSO	civil society organization
ECA	Eastern and Central Africa
FAO	Food and Agriculture Organization of the United Nations
FAO-KE	Food and Agriculture Organization of the United Nations, Kenya Country Office
GDP	gross domestic product
GoK	Government of Kenya
IFPRI	International Food Policy Research Institute
KARI	Kenya Agricultural Research Institute
KENAFF	Kenya National Farmers' Federation
KIPPRA	Kenya Institute of Public Policy Research and Analysis

Ksh	Kenyan shilling
MALF	Ministry of Agriculture, Livestock and Fisheries
MDGs	Millennium Development Goals
ME&MR	Ministry of Environment and Mineral Resources
M&E	monitoring and evaluation
MoA	Ministry of Agriculture (now under MALF)
MoLD	Ministry of Livestock Development (now under MALF)
MSc	Master of Science
NGO	nongovernmental organization
PhD	Doctor of Philosophy
ReSAKSS	Regional Strategic Analysis and Knowledge Support System
SAKSS	Strategic Analysis and Knowledge Support System
UoN	University of Nairobi
UoN AED	University of Nairobi Agricultural Economics Department

1. INTRODUCTION

The International Food Policy Research Institute (IFPRI) has been collaborating with the Regional Strategic Analysis and Knowledge Support System (ReSAKSS) to develop a country-level strategic analysis and knowledge support systems in Africa. Toward this end, they have first been assessing the specific capacity needs for each country. As one of the countries that agreed to strengthen its agricultural development efforts in the 2003 Maputo Declaration, Kenya is among the countries under the mandate of IFPRI and ReSAKSS.

Kenya's agricultural sector is the driver of its economy and the primary means of livelihood for the majority of the population. As such, all past and present development plans have reiterated the sector's influence in the country's growth process and have put in place various strategies to that effect. Despite these efforts, the growth and development of Kenya's agricultural sector have not lived up to expectations. Farming has remained predominantly small scale, heavily dependent on its risk-prone environment, and lacking in the technological advances seen elsewhere. Furthermore, the existing institutional support and infrastructure have apparently been inadequate.

The following factors have contributed to or exacerbated the poor performance of Kenya's agricultural sector over the past decade (Alila and Atieno 2006):

- Declining production and productivity
- Limited high-potential agricultural land and overreliance on rain-fed conditions
- Limited diversification
- Poor and inadequate rural infrastructure
- Limited public financing of the agricultural sector
- Inadequate research
- Limited development and exploitation of the livestock sector
- Lack of comprehensive land-use policy

Although the Kenyan government has invested a substantial amount in its agriculture sector, more efforts toward improvement are needed. What is not apparent is to what extent past decisions were based on adequate information. Therefore, the most urgent need is for an elaborate knowledge support system in which all identified stakeholders actively participate.

Indeed, past plans and strategies have addressed these concerns through various efforts, including the Agriculture Act (Cap. 318 of the Laws of Kenya) and several other pieces of legislation, which the recently enacted Agriculture, Fisheries and Food Authority Act has since replaced (GoK 2013b). However, It is worth noting that proposed amendments to the act emerged less than six months after its enactment.

The agricultural sector's phenomenal growth recorded soon after Kenya's independence progressed into the early 1970s, slowed in the late 1980s, and ultimately deteriorated in the 1990s. Some of the reasons cited for this performance include poor implementation, mismanagement of economic policies, and weak institutions (GoK 2003). The structural adjustment efforts launched in the 1980s and 1990s made only marginal improvements. The changes in the political arena in the early 2000s brought with them an action plan: the Economic Recovery Strategy for Wealth Creation and Employment (GoK 2003). For the agricultural sector specifically, the Strategy for Revitalizing Agriculture was launched in 2004 (GoK 2004). This was expected to make the sector more competitive, capable of attracting

private investment and providing high incomes and employment. There was a paradigm shift from a narrow focus to a sectorwide approach, encouraging and enhancing interactive engagement among all the ministries involved in the sector. The Agricultural Sector Coordination Unit was established in 2004 to ensure that the activities of these ministries were compliant with the strategy.

The launch of the Strategy for Revitalizing Agriculture saw Kenya's agricultural sector surpass the targeted growth rate of 3.1 percent per year to reach a high of 6.1 percent in 2007. This trend was interrupted in 2008, however, by the post-election violence and other external forces. By that time, efforts to revise the strategy, underway since 2006, had adapted the Agriculture, Food and Fisheries Authority Act based on successes and lessons learned. The revised Strategy for Revitalizing Agriculture is the Agricultural Sector Development Strategy 2010–2020 (GoK 2010a), which includes more realistic policies and institutional changes deemed necessary after the short experience with the strategy. These efforts were in full recognition of the relevant Millennium Development Goals (MDGs) and the Comprehensive Africa Agriculture Development Programme (CAADP) pillars; in fact, they aimed to mainstream both into national policies and programs.

Kenya signed the CAADP Compact in July 2010 (GoK 2010b) and launched its first Medium Term Implementation Plan in September of the same year (Ogada, Guthiga, and Massawe 2011). In addition to the known four pillars of CAADP, two critical cross-cutting issues were included in the plan: (1) capacity strengthening for agriculture and agribusiness, and (2) information for agricultural strategy formulation and implementation. From these key issues, the ReSAKSS-IFPRI capacity needs assessment for a country-level Strategic Analysis and Knowledge Support System (SAKSS) has drawn its significance.

The Agricultural Sector Development Support Programme was launched in 2012 (GoK 2011) to carry out the implementation of the Agricultural Sector Development Strategy 2010–2020; the program is linked to the strategy's medium term investment plan. The strategy is the vehicle for incorporating the CAADP agenda into Kenya's agricultural development efforts (Ogada, Guthiga, and Massawe 2011). The Agricultural Sector Development Support Programme takes into account the devolved government and plans to address agricultural policy and institutional matters in all 47 counties, as well as at the national level. It aims to transform Kenya's agricultural sector into an innovative, commercially oriented, competitive, and modern industry that contributes to improved food security and equity in rural and urban Kenya (GoK 2011). The government is committed to the Agricultural Sector Development Strategy and the CAADP Compact. It must have the necessary information and knowledge to support the relevant strategies and policies.

The agricultural sector in Kenya is large and complex, with public, private, nongovernment, parastatal, and even foreign collaborating actors. Most of the actors have their roles and priorities entrenched in various sections of Kenya's constitution. Although the sector's performance has not echoed its much-proclaimed significance, this may be attributed to the dynamic nature of the industry and Kenya's environment.

With many complex conditions to consider—including Kenya's commitment to the MDGs and the CAADP agenda, the domestic efforts in the Agricultural Sector Development Strategy and Agricultural Sector Development Support Programme, a new constitution, a devolved government, and new legislation in the sector—the need for establishing a country-level SAKSS could not be more timely. However, the capacity to generate evidence-based information, monitor and evaluate progress, share knowledge through effective communication to policymakers, and promote policy dialogue is not entirely known. This study attempts to fill that gap.

2. METHODOLOGY

2.1. Summary of Terms of Reference

This study was commissioned to assess Kenya's human, physical, and financial capacities to generate credible, timely, and high-quality knowledge products to inform and guide agricultural sector policies, in particular the planning and review processes. The assessments would be at three levels: individual, organizational, and policy process. The five themes of focus are (1) strategic policy analysis and investment planning; (2) program management, monitoring, and evaluation; (3) knowledge management, data system development, and information sharing; (4) leadership and management; and (5) governance, organizational development, and institutional development. Each theme is assessed at the country level with an eye toward helping the implementation of agricultural and food security plans and programs.

Specifically, the terms of reference include the following:

- Assess the existing capacity for strategic policy analysis and investment planning at the country level.
- Assess the organizational capacity and identify areas for improving the quality and utility of agricultural policy analysis, investment planning, implementation, monitoring, and evaluation, including strengthening the capacity to produce periodic reports on the sector's performance.
- Assess the institutional and capacity constraints in the policy process related to implementation of agricultural and food security strategies (including development and implementation of investment plans), with particular reference to effective use of evidence (including policy analysis results and monitoring and evaluation (M&E) data) in policy and program design and in investment planning.
- Based on the above three levels of assessments across the three themes, develop a capacity-strengthening strategy for the Kenya SAKSS.

2.2. Description of Data Collection Methods

A total of 28 possible sources of relevant information were listed, but only 11 were approached for consultation. Both informal interviews and the ReSAKSS–IFPRI-designed questionnaire were used to solicit information. The questionnaire required inputs from various sections of each of the identified organizations. The informal interviews about the policy processes and experiences bridged the gap where the questionnaire's administration proved challenging. Appendix 1 presents a list of the stakeholder organizations identified for the study, and a list of the people interviewed. Some of the respondents who cooperated during informal interviews have not yet returned their questionnaires, despite reminders. Most of the questionnaires returned have several gaps, especially on quantities, in the sense that many respondents would say they had shortages of equipment, personnel, or funds, without quantifying the deficiencies. Tables A3.2 through A3.10 present summaries of questionnaire responses from various organizations. Only the discussions with an executive officer to the Parliamentary Committee on Agriculture are not listed in the tables.

2.3. Inception and Validation Reports

This study was launched at a time when Kenya was engaged in major political activities, specifically in preparation for the 2013 presidential, gubernatorial, parliamentary, and civic elections. In combination with some undue bureaucratic issues, these circumstances made it impossible to engage the sector's primary stakeholder: the

Agricultural Sector Coordination Unit. Even after the elections, various changes in government structures and persistent bureaucratic issues have slowed the study process considerably. Due to the elections and other activities, it was not possible to hold an inception workshop for the capacity needs assessment, so instead stakeholders and priorities were identified with the assistance of the Ministry of Agriculture's Directorate of Agricultural Policy and External Relations. A number of respondents chose to complete an electronic soft copy of the questionnaire, and data collection was facilitated with the help of a research assistant. A validation workshop has taken place for the study.

3. POLICY PROCESS ANALYSIS

3.1. Policy Process in Kenya

The policy process in Kenya is meant to be participatory, involving the public from problem identification through implementation and M&E.

3.1.1. Step 1: Problem Identification

- Public and stakeholder complaints, reports, workplace experience, parliamentary questions, and even individuals' insights.
- Situation analysis: Within the executive branch, the Ministry of Agriculture, Livestock and Fisheries takes the lead on analyzing the nature and extent of the problem and its socioeconomic and political impact. Ideally, this stage requires rigorous policy analysis, which does not seem to be offered or applied in all cases. The ministry engages consultants—from the private sector, Kenya Institute of Public Policy Research and Analysis or Tegemeo Institute of Agricultural Policy and Development—or the Ministry of Agriculture, Livestock and Fisheries Planning Division as needed. Ultimately, whatever output is applied must be owned by the ministry.

3.1.2. Step 2: Policy Formulation

The Ministry of Agriculture, Livestock and Fisheries takes the lead on and involves public and stakeholder participation in a drafting policy. This also requires rigorous policy analysis. Again, the ministry involves consultants—the private sector, Kenya Institute of Public Policy Research and Analysis, or Tegemeo Institute—for the drafting assignment as needed. Various other stakeholders participate in at least one of the following tasks:

- Advising drafters
- Writing comments or reviewing drafts
- Participating in validation workshops
- Drafting a section or chapter
- Leading the drafting of the policy document

A draft policy could take either of two directions, depending on the nature of the problem and the intention of the executive:

- Final policy → pronouncement → implementation
- Final policy → Cabinet memorandum → Cabinet approval

If the draft policy is a bill in the process of making a law, the stages in the National Assembly seem to be more important than any other, as they decide the final outcome. The approved policy itself could take either of two paths:

- Pronouncement and implementation
- Sessional paper, which could be taken to Parliament for approval, followed by implementation, or developed into an act of Parliament, then implementation

The Parliamentary Committee on Agriculture (Departmental Committee on Agriculture, Livestock and Cooperatives of the National Assembly) is expected to be instrumental and objective in this stage. It was noted that the parliamentary input does not always depend on the analysts' recommendations, but may take an individual's or a respective political party's nonstrategic or nonobjective wish. The strength or lack of participation in the policy process in Kenya is challenged if and when substantial elements are inserted or deleted at the upper levels. The linkages between the players in the policy process are illustrated in Figure 1 at the end of this chapter. In the two steps—identification and formulation—often financial and technical input may be required, which may be beyond the reach of the government at the time. The international collaborators often bridge the gaps.

3.1.3. Step 3: Policy Implementation

Policy implementation is managed by sector ministries at national, middle, and local levels, as well as by the Agricultural Sector Coordination Unit.

3.1.4. Step 4: Policy and Strategy Monitoring and Evaluation

This step is also mandated to sector ministries and the Agricultural Sector Coordination Unit. At the national level, sector ministries and the unit organize the biannual national forum of stakeholders. This is meant to provide a platform for reviewing progress in implementing the policies and strategies and the extent to which their objectives are being achieved.

3.2. Descriptions of Organizations and Institutions Involved in the Agricultural Policy Process

Several organizations and institutions are involved in the agricultural policy process in Kenya. However, the 11 chosen for key informant interviews and questionnaire administration were of special interest.

3.2.1. Ministry of Agriculture

Currently known as the State Department of Agriculture in the Ministry of Agriculture, Livestock Development and Fisheries, this is the key ministry driving the sector. The ministry has five major directorates, including the Directorate of Policy and External Relations, which was engaged in this study with the Planning Division. The Planning Division handles situation analyses, which the directorate applies in drafting a proposed policy or bill. The division was involved in several policy processes in the five levels investigated: advising drafters, reviewing drafts, conducting validation workshops, drafting the policy document, and leading the document's drafting during the four years prior to the study. The involvement resulted in the following policy and strategy documents, among others:

- Draft National Horticulture Policy (June 2012)
- Kenya Agricultural Research Bill, 2012
- National Agricultural Research System Policy (July 2012)
- National Agricultural Sector Extension Policy (June 2012)
- National Agribusiness Strategy (June 2012)
- Agriculture, Livestock, Fisheries and Food Authority Bill, 2012
- Agriculture, Fisheries and Food Authority Act, 2013
- National Food Nutrition and Security Policy, 2011

- Crops Bill, 2012
- National Horticulture Policy, 2010
- Agricultural Sector Development Strategy, 2010–2020

The other four directorates also participated in policy processes whenever the problems at hand involved the activities of their units. The key interviewees in the Directorate of Policy and External Relations and the Planning Division mentioned several challenges and needs, which include the following:

- **Human Resources:** Constraints faced included underutilization of human capital; lack of specialized training in some areas, such as in the use of software and analytical techniques; restriction of recruitment in needed areas; uncoordinated agricultural institutions; underdeveloped public–private partnerships; and weak institutional frameworks.
- **Physical Resources:** The constraints reported included inadequate or lack of computers, new software, telephones, and vehicles.
- **Funding and Financial Resources:** The constraints reported included inadequate budgetary allocation and existence of multiple taxes.

While the challenges may be subtle, they contribute to delays in the policy process, with amendments and counter-amendments, sometimes even before implementation of legislation. For example, the Agriculture, Livestock, Fisheries and Food Authority Bill (2012) and the Agriculture, Fisheries and Food Authority Act (2013) originated from one process. Over the years, it was observed that too many acts of Parliament were driving the agricultural sector, some of which contradicted others or became ineffective and inefficient in the dynamic sector. Also, about 20 regulatory bodies were governing the sector. Through a participatory approach—involving stakeholders from the government, the private sector, farmers, and development partners—a replacement of the many acts and regulatory bodies was proposed. The Directorate of Policy and External Relations (focusing on agricultural issues) and the Agricultural Sector Coordination Unit (focusing on related issues of other ministries and organizations), managed the process of drafting the proposed bill. Other major parties involved in the bill’s formulation included the Kenya National Federation of Agricultural Producers (now Kenya National Farmers’ Federation, representing the farming community), and the Kenya Institute of Public Policy Research and Analysis and Tegemeo Institute (focusing on situation analysis). The draft proposed bill was then presented to the attorney general for review, after which it was published by the government.

The draft bill was then introduced to the National Assembly in what is technically referred to as the “first reading.” As a next step, the Parliamentary Committee on Agriculture considered the bill and invited input from all interested parties. The second reading followed the committee’s incorporation of a number of proposed amendments. During the third reading, the entire National Assembly considered the bill line by line. At this point, the Ministry of Livestock Development rejected the bill, claiming lack of prior participation. The livestock articles were all dropped, and the document passed as the Agriculture, Fisheries and Food Authority Act, received presidential assent, and was formulated in 2013.

Before the bill could be implemented, discontent from various stakeholders resulted in its suspension for six months and some amendments. The amended bill was rejected again at its first presentation in the National Assembly, but could not be discussed under the Miscellaneous Amendments Bill. The bill was later presented through an appropriate vehicle and was passed. The Ministry of Agriculture, Livestock Development and Fisheries operationalized the Agriculture, Fisheries and Food Authority Act on January 17, 2014, through a Kenya gazette, one

year after the bill was enacted. However, some sections, including Paragraph 9, which provided for the secretariat under the Agricultural Sector Coordination Unit, were suspended. Also, various farmer lobby groups have been opposing the implementation of the new legislation, claiming Kenya stands to lose substantial revenue in foreign exchange.

It is apparent that the agricultural sector's policy formulation process needs more precision, and that current capacity toward achieving this goal may be lacking.

3.2.2. Agricultural Sector Coordination Unit

The Agricultural Sector Coordination Unit was established in 2005 as an interministerial secretariat of the agricultural sector ministries, which included the Ministry of Agriculture, Livestock, Food and Fisheries; Ministry of Lands, Environment and Mineral Resources; Ministry of Cooperative Development; Ministry of Forestry and Wildlife; Ministry of Water Resources and Irrigation; Ministry of Regional Development Authorities; and Ministry of Northern Kenya and Other Arid Lands. The Agricultural Sector Coordination Unit provided a framework for coordination across priority thematic areas and the ten ministries of the agricultural sector. The thematic areas included the following:

- Food and nutrition security policy and programs
- Extension and research advisory services
- Agribusiness, market access, and value addition
- Access to agricultural inputs and financial services
- Legal, regulatory, and institutional reforms
- Environment, sustainable land, and natural resource management

The six thematic working groups were composed of professionals from multidisciplinary and multisectoral think tanks, the private sector, and key public-sector stakeholders. Their main objective was to carry out in-depth analysis of the thematic areas. This analysis would be followed by the preparation of various interventions, including proposed policy and legal reforms and subsequent programs for investment by the government, private-sector stakeholders, and development partners.

The Agricultural Sector Coordination Unit housed the CAADP desk, and the analysis assignment aligned with the unit's mandate to revitalize agriculture and address the policy and institutional weaknesses previously identified as impediments to the sector's performance. The unit is responsible for driving reforms in the sector, monitoring the implementation of the Agricultural Sector Development Strategy, influencing resource allocation, and initiating major studies and policies.

In addition to participating in the policy processes that the Ministry of Agriculture's Directorate of Policy and External Relations was involved in, the Agricultural Sector Coordination Unit participated in the development of the 2012 Fisheries Act (Kenya Law 2012); the 2010 Kenya CAADP Compact; and the *Agricultural Sector Policies and Strategies at a Glance*, released in October 2013 (GoK 2013a). The directorate led the policy process as it pertained to the Ministry of Agriculture's mandates, while the Agricultural Sector Coordination Unit led the process as it pertained to other ministries.

The Agricultural Sector Coordination Unit's challenges and needs were not captured. The apparent standoff that had made the unit nearly inaccessible is part of what Kibaara et al. (2008) referred to as "implementation difficulties."

However, it is worth noting that with the new constitution and devolved government, the county coordinating units may require human, financial, and physical resources in all 47 counties.

3.2.3. Ministry of Livestock Development

The involvement of the Ministry of Livestock Development in the policy process included work on the 2008 National Livestock Policy (a sessional paper). The ministry's reported challenges and needs are the same as those of the Ministry of Agriculture, the gaps in the returned questionnaire notwithstanding. In any case, the two ministries are now merged under the new political dispensation. The role of the Ministry of Livestock Development is to spearhead the process of identifying and drafting proposed policies in the livestock subsector through participatory methods, and then to lead the implementation of the policies and participate in the interministerial M&E system.

3.2.4. Ministry of Environment and Mineral Resources

Aside from the two key ministries (Agriculture and Livestock Development), it was necessary to engage other agricultural sector ministries in the study, including the Ministry of Environment and Mineral Resources. Additionally, environmental issues have been thought to be major impediments to the performance of the agricultural sector.

This stakeholder did not report any specific result of a policy process with respect to food and agriculture. However, it is acknowledged that the Directorate of Environment may have a lot to offer the agricultural sector, especially whenever policy formulation, interpretation, and implementation hinge on the environment. The ministry's constraints noted were the same as those of the Ministry of Agriculture.

3.2.5. Kenya Institute of Public Policy Research and Analysis (KIPPRA)

It was necessary to engage KIPPRA in the study because its primary mission is to provide quality policy advice to the government by conducting research, analysis, and capacity building. This autonomous public institute was established in 1997 and commenced operations in 1999. Working in all sectors of the economy, the institute's major areas of expertise include public policy analysis, policy research, capacity development, technical expertise, and knowledge management. KIPPRA is funded by the government, bilateral and multilateral donors, and contracted sources.

The involvement of KIPPRA in Kenya's policymaking and policy analysis processes is evident in its numerous economic reports, discussion papers, working papers, policy briefs, policy papers, and special reports. The different ministries and the Agricultural Sector Coordination Unit engage KIPPRA in policy analysis and research whenever there is need. Some of the work reported for the agricultural sector includes the following:

- Strategies for Revitalizing the Pyrethrum Industry in Kenya (Policy Brief 13 2007)
- Safeguarding Kenya's Agricultural Sector from Import Surges (Policy Brief 14 2007)
- Enhancing the Commercialization of Smallholder Agriculture in Kenya (Policy Brief 5 of 2007)

Over the past four years, KIPPRA participated in several agricultural policy processes, which resulted in the following:

- Food and Nutrition Security Policy
- Livestock Bill
- Crops Bill
- Agribusiness Strategy

- Sector-wide Monitoring and Evaluation Framework

The role of KIPPRA in knowledge management is acknowledged as collating, organizing, and disseminating the knowledge generated, not only through publications but also through open and roundtable discussions. KIPPRA has reported its fully functioning M&E and data management systems. It monitors and evaluates its projects and programs and makes data available for other users in the policy processes, in addition to using the data for analyses.

KIPPRA has capacity needs in human resources, in terms of quantity and specialized fields. The physical resources needed include computers, various software, and telephones.

Although KIPPRA's mission is focused on policy research and analysis, the agriculture and food component is disproportionately small, at 2 percent of the organizational expenditure. This prioritization is likely due, at least in part, to the existence of the Tegemeo Institute of Agricultural Policy and Development, which specifically focuses on policies for agriculture, rural development, natural resources, and environment.

3.2.6. Tegemeo Institute of Agricultural Policy and Development

Tegemeo Institute is a facility of Egerton University, one of Kenya's public universities. It conducts research and analysis in the domains of agriculture, rural development, natural resources, and the environment.

The institute is involved in the following activities, prioritized in the order listed:

- Research, strategic policy analysis, and investment planning
- Program management, monitoring, and evaluation
- Knowledge management, data system development, and information sharing
- Leadership and management
- Governance, organizational development, and institutional development

Tegemeo Institute's expertise includes policy research, policy analysis, advocacy, dissemination of research, knowledge management, and M&E. All the funding is from bilateral and multilateral donors. The major constraint faced is inadequate office space.

Tegemeo Institute has participated in many policy processes over the past four years, including the following:

- Agricultural Sector Development Strategy
- Kenya Vision 2030
- National Food and Nutrition Security Policy
- Agriculture Sector Gender Policy
- National Agribusiness Strategy

In all these, Tegemeo Institute provided advice to drafters of the policy documents during meetings and consultations, and reviewed and commented on drafts. In the first three documents listed above, Tegemeo Institute also participated in the validation workshops for the drafts. Its primary clients include the agricultural sector ministries, the private sector, and development partners.

The major capacity needs of Tegemeo Institute include the following:

- More higher-caliber researchers backed with higher-caliber administrators
- More long-term funding arrangements to supplement the core funding projects
- Acquisition of the required office space

On the whole, Tegemeo Institute participates effectively in policy research and analysis and knowledge support. It disseminates its research output in various publications, policy briefs, working papers, and roundtable workshops.

3.2.7. University of Nairobi Department of Agricultural Economics

Representing all the public and private universities with agriculture curricula, the University of Nairobi's Department of Agricultural Economics was included in this study because of its mandate in teaching research to inform policy and practice, outreach, and community development.

The extent of participation of the University of Nairobi in the country's agricultural policy process over the past four years is not clear. At least two individuals have participated in some of the processes. One member of the department was designated to the Agricultural Sector Coordination Unit advisory body, representing the College of Agriculture and Veterinary Sciences, and one was a member of board of the Kenya Institute of Public Policy Research and Analysis. (The institute and the Agricultural Sector Coordination Unit are important policy actors in Kenya.) Some other members may have participated in the policy process in their private capacities.

The Department of Agricultural Economics trains students at the graduate level on policy research and analysis, and also does basic research for theses. The subject matter covered includes agricultural and rural development, agribusiness, environment and resource economics, and trade and policy. However, it is not known whether any of the department's research efforts have actually informed the policy processes in Kenya. The academic research has been disseminated in publications, which also tend to be academic. Over the past two years, a collaborative graduate program has provided for thesis dissemination workshops, but the coverage so far has been marginal.

The department's biggest constraint is the lack of an effective networking platform with other bodies that participate in policy processes. The problems presented for students' research for their theses often do not necessarily have national priority. Another major limitation is lack of training and skills in using some of the necessary analytical software. There is a need for the department to change its mode of "problem identification" for research, even if the goal is academic. Generally, the university needs human, financial, and physical resources.

3.2.8. Kenya National Farmers' Federation

Formerly the Kenya National Federation of Agricultural Producers, the Kenya National Farmers' Federation is often referred to as the farmers' voice. It represents the farming community in lobbying and advocacy on agricultural policies and provisions. The organization also has an obligation for information, communication, and knowledge management for the farming community. It conducts research, but only focuses minimally on strategic policy research.

The Kenya National Farmers' Federation reported its representation in all the bills that were handled under the Ministry of Agriculture and Ministry of Livestock Development. However, there seemed to be discontent with some of the bills that had been recently enacted. For instance, the 2012 Agriculture, Livestock, Food and Fisheries Authority Bill was rejected on the floor of the National Assembly, and the livestock subsector alleged lack of knowledge about the bill. Once the livestock element was dropped, the bill sailed through to become the Agriculture, Food and Fisheries Authority Act, 2013. The act was hardly one year old when amendments were proposed, and it

was suspended for six months. Some of the undesirable issues in the act mentioned independently by different people were that it had conflicting clauses that were confusing, there was lack of consensus on many of the articles, and there may have been a conflict of interest in the pathway between drafting the bill and giving it a quality assurance. In addition, the proposed amendment was rejected not because it lacked substance, but because the Statute Law Miscellaneous Amendment Bill was actually too general for such an important act. The suspension of the Agriculture, Food and Fisheries Authority Act was lifted, and it became operational on January 24, 2014, with some sections suspended. Discontent with the act comes not only from farmers, but also from many key players in the agricultural sector. The scenario depicts a situation that has been starved of knowledge and objectivity.

3.2.9. Parliamentary Committee on Agriculture, Livestock and Cooperation

This committee was included in the study because of its mandate to study the program and policy objectives of agricultural sector ministries and departments and the effectiveness of their implementation. The committee also had the mandate of studying and reviewing all legislation referred to it, among other duties (National Assembly 2011).

After making several unsuccessful appointments with the chairman of the committee for months, eventually the officer in charge of the secretariat became the only available key informant for the study. The parliamentary committee participated in all the policy processes mentioned by the Agricultural Sector Coordination Unit, the Ministry of Livestock Development, and the Ministry of Agriculture. The committee's mandate did not include strategic research, but it did include a political input in the process. However, some research staff members were attached to the National Assembly, and would be given tasks when necessary. While the committee did not conduct research, it had a position that required a vibrant knowledge support system.

3.2.10. Food and Agriculture Organization (FAO) Kenya Office

FAO was included in the study based on its global role in food and agricultural policy. Its involvement in the country's policy process is focused more on advocacy and on information and knowledge sharing. The office returned its questionnaire in January 2014, but with several gaps, especially on "quantities."

FAO Kenya was instrumental in launching Kenya's CountrySTAT, a statistical framework and applied information system for analysis and policymaking designed to organize, integrate, and disseminate statistical data and metadata on food and agriculture coming from different sources (www.countrystat.org/ken). The facility promises to enhance knowledge management and sharing at the country level to help in the implementation of agricultural and food security plans and programs.

FAO Kenya is expected to gather and harmonize scattered institutional statistics, so that information tables become compatible with each other at the country level and with data at the international level. The harmonized data may then be used to facilitate the policymaking process. It is acknowledged that Kenya has several sources of data, which at times do not have uniform output. The reliability of such information and data is questionable.

FAO Kenya is just one of the many valuable international collaborators in the policy process. Others provide technical recommendations and financial support.

3.2.11. Kenya Agricultural Research Institute

Kenya's public agricultural research organization is funded by the government, bilateral and multilateral donors, and its own income-generation activities. Over the past four years, the Kenya Agricultural Research Institute participated in a number of policy processes, some of which resulted in the following:

- Kenya Agricultural Research Bill, 2012
- National Agricultural Research System Policy, July 2012
- National Agricultural Sector Extension Policy, June 2012
- Agriculture, Livestock, Fisheries and Food Authority Bill, 2012
- National Food Nutrition and Security Policy, 2011
- Crops Bill, 2012
- National Horticulture Policy, 2010
- Agricultural Sector Development Strategy, 2010–2020

The Kenya Agricultural Research Institute provided advice to drafters of the policy documents during meetings and consultations, and reviewed and commented on drafts. It also led the drafting of some of the policy documents and participated in the validation workshops for the drafts. The institute's primary clients include the agricultural sector ministries; national planning commission; and public organizations, universities, and parliamentary groups.

The key informants mentioned several challenges and needs:

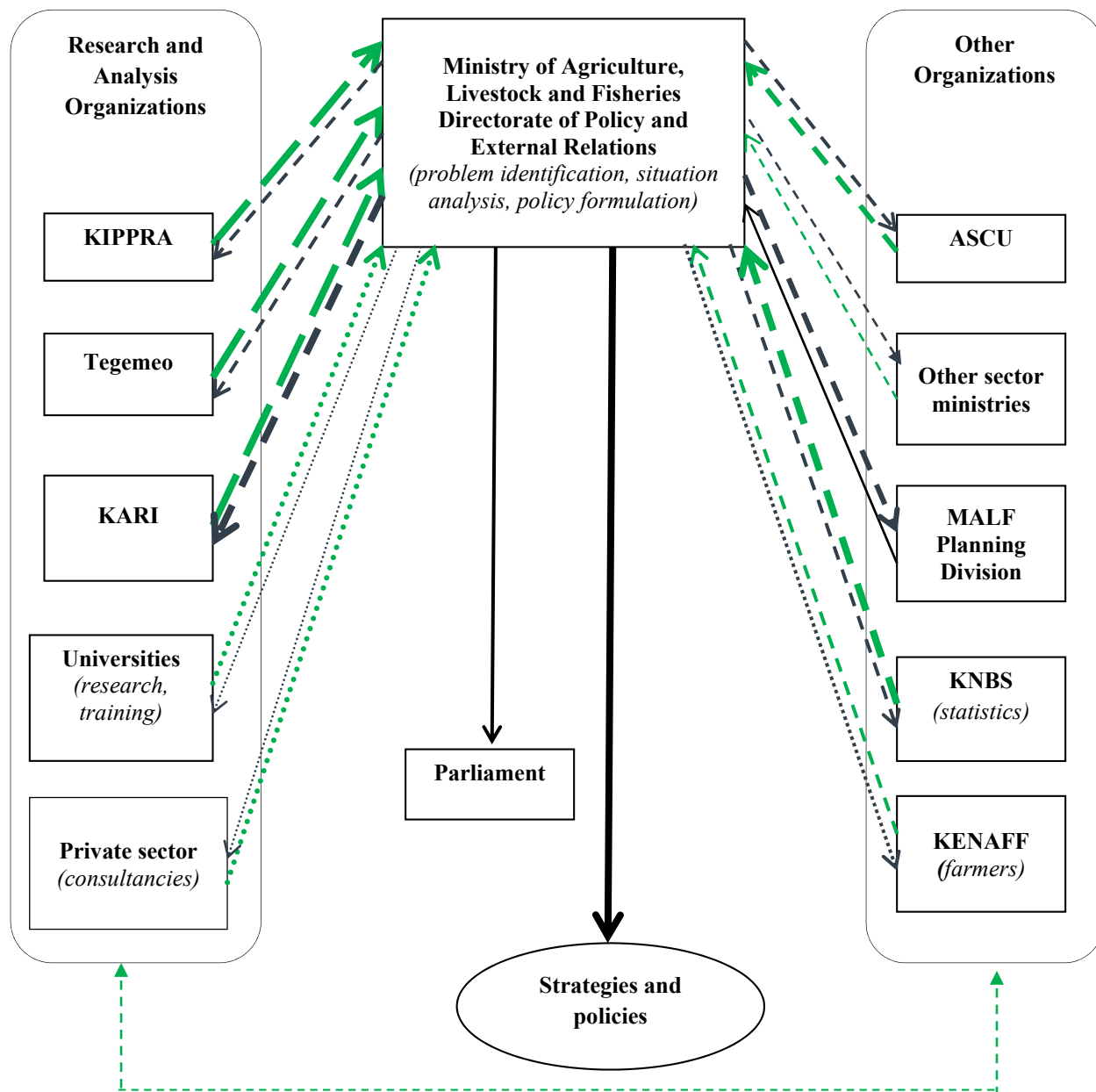
- **Human resources:** Constraints faced included low-level skills and unnecessary focus on training.
- **Physical resources:** Constraints reported included poor use of space.
- **Funding and financial resources:** Constraints reported included donor-driven research and erratic flow of funds.

The respective capacity needs are strategic training and development of skills, increased public financing of research, and better planning for utilization of space. Appendix 3 summarizes the information gathered from the questionnaires administered.

3.3. Linkages between Different Policy Players

Figure 1 presents the existing network between the major players in the agricultural policy process in Kenya. There is a definite link between the Ministry of Agriculture, Livestock and Fisheries and its policies; there is another definite link between the ministry and Parliament or the National Assembly in the policymaking process. All the other players have weak or indeterminate links with the Ministry of Agriculture, Livestock and Fisheries and one another; there was no assurance that their inputs were actually applied in the final policy documents. While the Agricultural Sector Coordination Unit's structure provided for it to be more central in the policy processes, the bureaucracies and, hence, the conduct of the unit did not support effective linkages. There is a need for a common effective platform shared by all players, especially in the policy formulation stage.

FIGURE 1: LINKAGES BETWEEN ORGANIZATIONS IN THE AGRICULTURAL POLICY PROCESS IN KENYA



Source: Authors.

Note: The different colors help distinguish the directions of the arrows. The linkage strength (that is, the magnitude of engagement between the centers) is depicted with the weight of the arrows. The dashes indicate that the engagement is neither solid nor structured objectively. ASCU = Agricultural Sector Coordination Unit; KARI = Kenya Agricultural Research Institute; KENAFF = Kenya National Farmers' Federation; KIPPRA = Kenya Institute of Public Policy Research and Analysis; KNBS = Kenya National Bureau of Statistics; MALF = Ministry of Agriculture, Livestock and Fisheries; Tegemeo = Tegemeo Institute of Agricultural Policy and Development.

4. CAPACITY ASSESSMENT RESULTS

All the organizations engaged in the study participate in—or have the potential to participate in—agricultural policy research and analysis in various ways. The responses are summarized in Appendix 3 (Table A3.1).

4.1. Individual Capacities of Organizations in Agricultural Policy Processes

The organizations indicated their existing human resources (Table A3.2) and the specific constraints they faced with proposed solutions (Table A3.8). These responses are summarized below.

4.1.1. Human Resource Capacities

Human resource capacities for the organizations were reported in general, not disaggregated by line of policy analysis task. Many of the organizations indicated deficits in their staff establishments. Even those that did not declare deficits seemed pressed for time—so much so that they did not even have time to complete the questionnaire; indeed, most saw the survey a prohibitively time-consuming task. Table 1 presents the summary.

TABLE 1: HUMAN RESOURCE CAPACITIES IN POLICY PROCESS INSTITUTIONS

Organization	Professionals in Place		Total intended	Remarks
	Male	Female		
Ministry of Agriculture, Livestock and Fisheries (Planning Division)	7	0	9	Deficit; gender imbalance
Kenya Institute of Public Policy Research and Analysis	34	15	More	Deficit for some specializations (they did not specify which specialization)
Tegemeo Institute of Agricultural Policy and Development	8	8	More	Higher-caliber researchers needed
Kenya Agricultural Research Institute	35	7	42	Adequate; gender imbalance
University of Nairobi, Agricultural Economics Department	10	3	18	Deficit; gender imbalance
Food and Agriculture Organization of the United Nations, Kenya Office	24	7	31	Adequate
Agricultural Sector Coordination Unit (declined)				
Ministry of Livestock Development	Blank	Blank		
Kenya National Farmers' Federation	9	6		
Ministry of Environment and Mineral Resources	3	1		Some establishments empty

Source: Kenya Capacity Needs Assessment Survey 2013.

Some of the organizations declared their constraints and proposed means of solving them, which are summarized in Table 2. The table includes only the organizations that completed this portion of the questionnaire; many organizations left this portion blank.

TABLE 2: HUMAN RESOURCE CONSTRAINTS FACED AND PROPOSED SOLUTIONS

Organization	Constraints Faced	Proposed Solutions
Research, Strategic Policy Analysis, and Investment Planning Organizations		
Ministry of Agriculture, Livestock and Fisheries	Underutilized human capital	Facilitate engagement
Kenya Institute of Public Policy Research and Analysis	Insufficient number of staff	Hire more staff
Tegemeo Institute of Agricultural Policy and Development	Few higher-caliber researchers	Hire additional higher-caliber researchers and other staff
Kenya Agricultural Research Institute	Low skill levels	Provide on-the-job training
	Focused specialization and training	Provide broad training
University of Nairobi, Agricultural Economics Department (AED)	Little time for research	Hire more staff
	Research for policy and practice is too academic; exhibits lack of linkage with relevant ministries and organizations	Establish structured links with relevant ministries
	Need for formal training on software use, and acquisition of software	
Ministry of Environment and Mineral Resources	Some establishments are empty	Fill establishments
Program Management, Monitoring, and Evaluation Organizations		
Ministry of Agriculture, Livestock and Fisheries	Restriction on staff recruitment	Employ staff as needed
	Lack of appropriate M&E programs	Develop M&E modules
Kenya Institute of Public Policy Research and Analysis	Insufficient number of staff	Hire more staff
Tegemeo Institute of Agricultural Policy and Development	Small number of higher-caliber researchers	Hire additional higher-caliber researchers and other staff
Kenya Agricultural Research Institute	Low skill levels	Provide on-the-job training
	Focused specialization and training	Provide broad training
University of Nairobi, AED	Limited time outside teaching	Hire more staff
Knowledge Management, Data System Development, and Information Sharing Organizations		
Ministry of Agriculture, Livestock and Fisheries	Lack of training and skills in data and information handling	Recruit trained staff; redeploy and train other staff
Kenya Institute of Public Policy Research and Analysis	No communications expert	Hire an expert
	No data management expert	Hire an expert
Tegemeo Institute of Agricultural Policy and Development	Communicating research products takes long	Hire communications officer
Kenya Agricultural Research Institute	Low skill levels	Provide on-the-job training
	Focused specialization and training	Provide broad training
University of Nairobi, AED	Little time outside teaching	Hire communications staff

Organization	Constraints Faced	Proposed Solutions
Leadership and Management Organizations		
Ministry of Agriculture, Livestock and Fisheries	Poorly coordinated institutions	Restructure institutions and improve coordination
	Underdeveloped partnerships	Strengthen partnerships
Kenya Institute of Public Policy Research and Analysis	Blank	Blank
Tegemeo Institute of Agricultural Policy and Development	Researchers overwhelmed with administrative duties	Hire administration staff
Kenya Agricultural Research Institute	Low skill levels	Provide on-the-job training
University of Nairobi, AED	More orientation to teaching	Structure other tasks
Governance, Organizational Development, and Institutional Development Organizations		
Ministry of Agriculture, Livestock and Fisheries	Weak institutional framework	Strengthen frameworks
	Uncoordinated agricultural institutions	Reform and streamline institutions
Kenya Agricultural Research Institute	Low skill levels	Provide on-the-job training
University of Nairobi, AED	Weak links with policy institutions	Structure organization

Source: Kenya Capacity Needs Assessment 2013.

From the five subtables, it is observed that some organizations have few staff altogether, while others only lack staff in some specialized fields. One glaring constraint is the lack of structured partnerships among the agricultural policy institutions. This indicates a need for a platform to discuss policy issues and relevant personnel identified to do the necessary tasks.

4.2. Organizational Capacities of Agricultural Policy Process Institutions

The survey addressed financial and physical organizational capacities. Financial capacities captured in Section C of the questionnaire are summarized in Table A3.3. The respective budgets and expenditures of the organizations were not disaggregated to the various tasks of policy process; however, some organizations did respond about their constraints in the various tasks. Most of the policy research funds are supplied by the government and by bilateral and multilateral donors. Some of the respondent organizations indicated their financial and physical constraints and their proposed solutions, which are summarized in Table 3 on the following page.

According to the responses to Section D of the questionnaire regarding the need for physical resources (summarized in Table A3.4), only staff members of the Kenya Institute of Public Policy Research and Analysis, Tegemeo Institute, Kenya Agricultural Research Institute, University of Nairobi, and Ministry of Agriculture, Livestock and Fisheries Planning Division regularly use analytical software. Regardless, all organizations reported inadequate numbers of computers, and many staff lacked the training or skills to use the software appropriately.

TABLE 3: FINANCIAL AND PHYSICAL CONSTRAINTS OF THE POLICY PROCESS INSTITUTIONS

Constraints Faced	Proposed Solutions
Ministry of Agriculture, Livestock and Fisheries	
Inadequate budgetary allocation	Increase allocation
Inadequate physical infrastructure	Develop physical infrastructure
Insufficient software	Acquire software
Kenya Institute of Public Policy Research and Analysis	
Inadequate funds to maintain up-to-date database	
Inadequate funds for software	
Inadequate funds for licenses for software	
Inadequate funds to pay for M&E staff	
M&E management system lacking	
Supporting infrastructure for communication lacking	
Tegemeo Institute of Agricultural Policy and Development	
Need for long-term projects to supplement core funding	Develop project proposals
Inadequate office space	Build and lease space
Kenya Agricultural Research Institute	
Erratic flow of funds	
Donor-driven research	Increase government funding of research
Space not utilized efficiently	Plan space utilization
University of Nairobi, Agricultural Economics Department	
Inadequate financial resources for research	Increase budget
Inadequate physical space	Acquire physical space
Inadequate computers and software for research	Purchase computers and software

Source: Kenya Capacity Needs Assessment 2013.

4.3. Policy Process Capacities

The policy process capacities were investigated in Sections E, F, FF, G, and H of the questionnaire. The responses are summarized in Tables A3.5 through Table A3.8. According to the responses, capacities for policy research (with evidence) exist in the Kenya Institute of Public Policy Research and Analysis, Tegemeo Institute, the Kenya Agricultural Research Institute, the Ministry of Agriculture, Livestock and Fisheries, and the Kenya National Farmers' Federation. There is also untapped capacity at the University of Nairobi—considered “untapped” because of a lack of formal linkages with the policy process. Essentially, the universities train students in policy research and analysis, and students undertake research projects that simulate the policy process, but there is no evidence that any of the research output has been used to inform actual policies. The disconnect might be caused by students' writing proposals that often do not originate from national or regional research or policy priorities.

The five main players in the policy process communicate effectively with their stakeholders through personal contacts, discussions, newsletters, briefs, and presentations. However, none of these outputs seems to influence the budgetary process adequately, and none of these players holds the government accountable for implementing

the policies. A major limitation contributing to this weakness is the lack of formal linkages between the various players in the process—“formal linkage” meaning a platform where various players are obliged to work together for a common cause. The Agricultural Sector Coordination Unit could have provided the proposed platform, but bureaucratic issues negated that possibility. In the thematic working groups, the unit worked with individuals within different organizations, but not with the full support of the organizations themselves. There is a need for an effective platform that strategically brings together all the policy stakeholders—and thereby, their unique expertise.

Table 4 summarizes the capacity needs captured for the various organizations engaged in the study.

TABLE 4: SUMMARY OF CAPACITY NEEDS

Organization	Individual Level	Organization Level	Policy Process
Agricultural Sector Coordination Unit		Decrease bureaucracy, and increase networking with all stakeholders	National strategic platform
Ministry of Agriculture, Livestock and Fisheries	Enhance skills	Increase physical and financial resources	National strategic platform
Ministry of Livestock Development	Enhance skills	Increase physical and financial resources	National strategic platform
Ministry of Environment and Mineral Resources	Enhance skills	Increase physical and financial resources	National strategic platform
Kenya Institute of Public Policy Research and Analysis		Increase physical and financial resources	National strategic platform
Tegemeo Institute of Agricultural Policy and Development	Hire more higher-caliber researchers	Increase human, physical, and financial resources	National strategic platform
Kenya National Farmers' Federation	Enhance skills	Increase physical and financial resources	Strategic platform
Parliamentary Committee on Agriculture			<ul style="list-style-type: none"> • Unlink policy process from party politics • National strategic platform
University of Nairobi, Agricultural Economics Department	Enhance skills	Increase physical and financial resources	National strategic platform
Kenya Agricultural Research Institute	Enhance skills	Increase physical and financial resources	National strategic platform
Food and Agriculture Organization of the United Nations, Kenya Office			National strategic platform

Source: Kenya Capacity Needs Assessment Survey 2013.

5. CAPACITY DEVELOPMENT STRATEGY

Kenya's agricultural sector is large and diverse. Its problems are equally vast, as are the potential stakeholders in the policymaking process. Therefore, there is a need for one entity to provide a common platform to convene all the players and address the sector's problems through strategic assignments linked to each organization's particular mandate.

Based on the capacity needs assessment study, the Ministry of Agriculture's Directorate of Policy and External Relations emerged as the ideal entity to house a country SAKSS to act as the formal common platform described above with specific roles for all key players. These players and roles would include the Ministry of Agriculture, as the host and lead on problem identification and proposal drafting; the Kenya Institute of Public Policy Research and Analysis, Tegemeo Institute, Kenya Agricultural Research Institute, and universities, as performers of high-level policy research and situation analysis and/or institutions offering high-level degrees in these areas; the Kenya National Bureau of Statistics, as data manager; the Kenya National Farmers' Federation, as a representative of farmers' perspectives and insights; FAO and IFPRI, as international collaborators; universities, as trainers in policy processes; and the Agricultural Sector Coordination Unit, as the overall coordinator. Except for the Agricultural Sector Coordination Unit, each of these organizations reported its need for improved and/or increased human, financial, and physical resources (as summarized in Section 4 and Appendix 3), but not with the precision required. In the absence of specific steps on how to address resource needs, the following work plan is proposed to strengthen capacity:

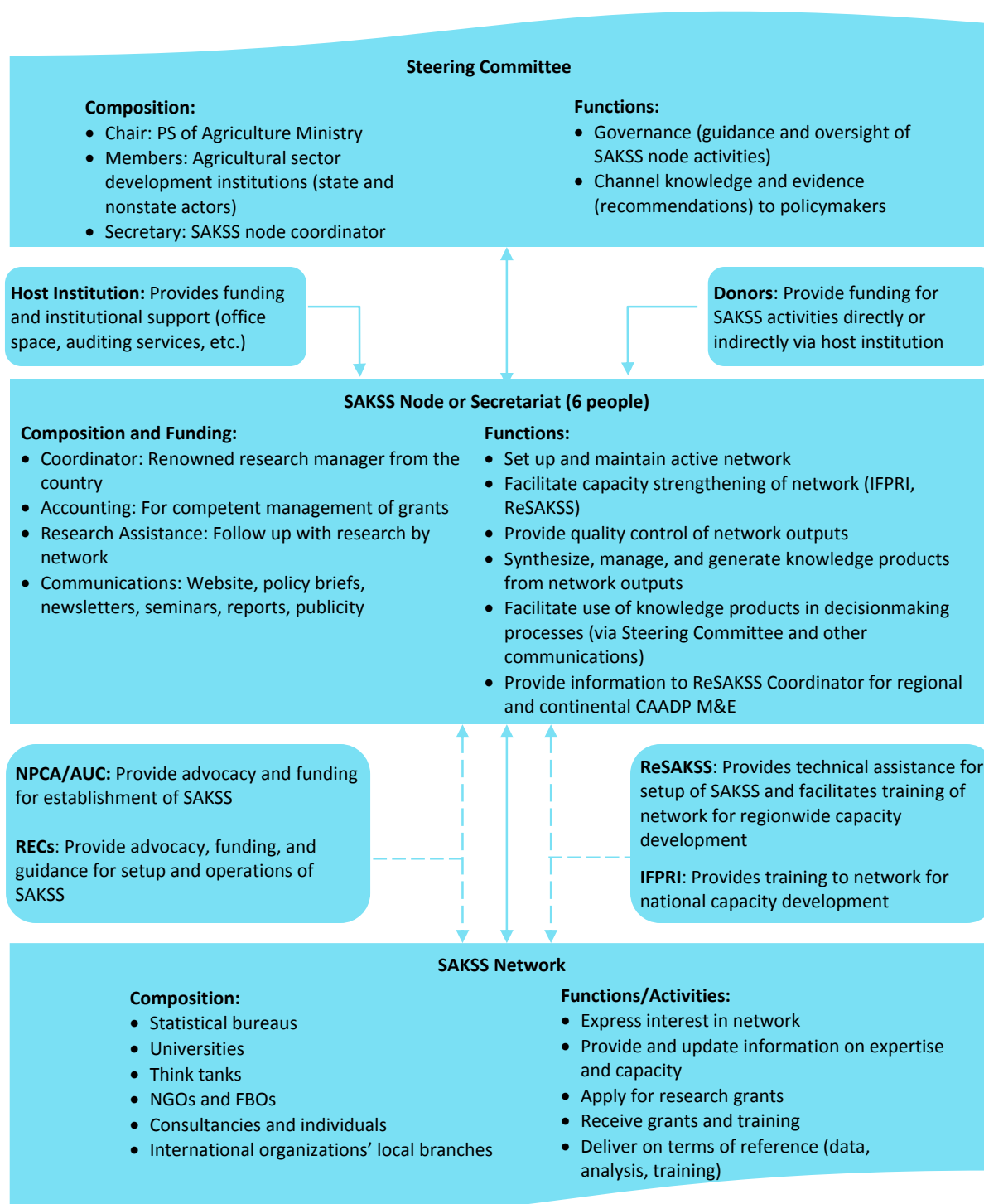
- Establish a SAKSS steering committee.
- The SAKSS steering committee determines official representation from the stakeholder organizations.
- The stakeholder representatives outline their organizations' existing human, financial, and physical capacities (based on evidence), and detail what is required to strengthen any areas in need. They present this information to the newly established platform.

5.1. Kenya Country SAKSS: Proposed Structure

The structure of the Kenya country SAKSS should resemble the ReSAKSS structure (Figure 2), but with the following variations:

- Composition of Steering Committee
 - *Chair:* Agriculture Secretary
 - *Members:* ReSAKSS, Agricultural Sector Coordination Unit, Kenya Institute of Public Policy Research and Analysis, Tegemeo, Kenya Agricultural Research Institute, Kenya National Farmers' Federation, Kenya National Bureau of Statistics, and one public university (not Egerton because Tegemeo Institute is already a member) offering higher degrees in agriculture.
 - *Note:* Members nominated by their organizations must express interest and exhibit past participation in the policy process.
- Composition of SAKSS node
 - The secretariat should initially comprise six members, with a renowned policy process manager as the coordinator. The budget will be determined by the steering committee.

FIGURE 2: A POTENTIAL COUNTRY SAKSS OPERATIONAL AND GOVERNANCE STRUCTURE



Source: ReSAKSS 2014.

Notes: CAADP = Comprehensive Africa Agricultural Development Programme; FBOs = faith-based organizations; IFPRI = International Food Policy Research Institute; M&E = monitoring and evaluation; NGOs = nongovernmental organizations; NPCA/AUC = NEPAD Planning and Coordination Agency/African Union Commission; PS = Permanent Secretary; RECs = regional economic communities; ReSAKSS = Regional Strategic Analysis and Knowledge Support System; SAKSS = Strategic Analysis and Knowledge Support System.

6. CONCLUSION

The analysis of information obtained from several stakeholders and presented in this report clearly points to the need to streamline Kenya's agricultural policymaking process in terms of identifying current capacity and addressing any inadequacies and inefficiencies. Some general conclusions from the study emerged.

- The Ministry of Agriculture, Livestock and Fisheries serves as the lead organization in coordinating the agricultural policy process. It effectively follows the process through—from problem identification to stakeholder engagement to implementation. The ministry could benefit from training in policy analysis.
- There is a gross lack of information management and sharing across involved organizations. Those interviewed could benefit from a structured information-storing and -sharing system, which none currently has in place.
- The ministries visited mentioned the existence of M&E units in their planning divisions, but the output of work was not evident. (The Ministry of Agriculture was an exception, with a 2012 publication as evidence.) The only other organizations with working M&E units were the Kenya Institute of Public Policy Research and Analysis and Tegemeo Institute.
- The organizations that participate directly in the policy process do not use analytical software or statistical and econometric tools. However, the academic groups, including the Kenya Agricultural Research Institute, the two policy think tanks (Kenya Institute of Public Policy Research and Analysis and Tegemeo Institute), and the universities use those methodologies and tools
- There is a lack of coordination among ministries, research units, and universities. The universities conduct extensive research, but it is not used to inform actual policy. This may be because the problems identified and addressed in the university research do not align with current strategic issues or the national, sectoral, or regional priorities.
- The Parliamentary Committee on Agriculture was the only unit that did not report a lack of funding. This may be because the committee did not do the required strategic policy analyses.
- Although addressed in the 2013 Agriculture, Food and Fisheries Authority Act, the link between the central government and the devolved governments requires more attention. The central government still holds the policy portfolio, but the distinct county governments may also have their own agricultural policies. In addition, the central government will still depend on the counties for data and information. It is acknowledged (from section FF of the questionnaire and Table A3.7) that the Ministry of Agriculture, Livestock and Fisheries' data coverage is at national and regional levels.
- Overall, the capacity of individuals could be strengthened, with more analytical skills and tools training. These must be enhanced in the stakeholder organizations.
- Organizational capacity could benefit from networking; information generation, sharing, and storage; and physical and financial resources.
- The capacity for a smooth policy process could be enhanced by deterring the tendency to politicize and by connecting the relevant institutions with one another in a more structured way.

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APPENDICES

Appendix 1: List of Individuals Interviewed

The 28 stakeholder institutions listed were all intended to involve key informant interviews. However, in practice, interviews actually occurred at the organizations listed below in bold face. Each block plays a different role in the policy process; the inclusion (or exclusion) of informant interviews was deliberate in places and random in others.

- 1. Agricultural Sector Coordination Unit (ASCU)**
- 2. Ministry of Agriculture (MoA)**
- 3. Ministry of Livestock Development (MoLD)**
4. Ministry of Fisheries Development
5. Ministry of Cooperative Development
6. Ministry of Water Resources and Irrigation
7. Ministry of Lands
- 8. Ministry of Environment and Mineral Resources (ME&MR)**
9. Ministry of Forestry and Wildlife
10. Ministry of Regional Development Authorities
11. Ministry of the Development of Northern Kenya and Other Arid Areas
- 12. Kenya Institute of Public Policy Research and Analysis (KIPPRA)**
- 13. Tegemeo Institute of Agricultural Policy and Development**
14. Institute of Policy Analysis and Research
- 15. University of Nairobi (UoN)**
16. Egerton University
17. Moi University
18. Jomo Kenyatta University of Agriculture and Technology
19. Kenyatta University
20. Methodist University
- 21. Kenya National Federation of Agricultural Producers**
- 22. Parliamentary Committee on Agriculture**
23. Kenya Planters Co-operative Union/Coffee Board of Kenya
24. Kenya Plant Health Inspectorate Services
25. Tea Board of Kenya
26. Horticultural Crops Development Authority
- 27. Kenya Agricultural Research Institute (KARI)**
- 28. Food and Agriculture Organization of the United Nations, Kenya Office (FAO-KE)**

TABLE A1.1: INTERVIEWEES

Organization	Personnel Interviewed
Agricultural Sector Coordination Unit	Anonymous
Ministry of Agriculture	Ms. Anne Onyango Mr. Kenneth Ayuko Dr. W. A Lubira Mr. Stephen Njogu
Ministry of Livestock Development	Dr. Alice Kiarie Mr. Moses Mburu
Ministry of Environment and Mineral Resources	Dr. Alice Kaudia Mr. Paul Kere
Kenya Institute of Public Policy Research and Analysis	Dr. John Omiti Ms. Nancy Laibuni
Tegemeo Institute of Agricultural Policy and Development	Dr. Mary Mathenge Dr. Lilian Kirimi
University of Nairobi, Department of Agricultural Economics	Dr. Fred Mugivane
Kenya National Federation of Agricultural Producers	Mr. Edward Kateiya Ms. Daphne Muchai
Parliamentary Committee on Agriculture	Mr. Ngetich (Organisation of Islamic Cooperation secretariat)
Food and Agriculture Organization of the United Nations, Kenya Office	Dr. Augusta Abate Dr. Paul Omanga

Appendix 2: Terms of Reference

Capacity-Strengthening Strategy through Capacity Needs Assessment for Country-Level Strategic Analysis and Knowledge Support System

Background

With the Maputo Declaration of Heads of State and the governments of the African Union in 2003, the Comprehensive Africa Agriculture Development Programme (CAADP) has become the vehicle for directing agricultural development efforts and partnerships in Africa. To date, more than 30 countries have gone through the CAADP roundtable process, and a majority of them are now elaborating their agricultural investment plans, which detail key investment areas for achieving agricultural sector objectives.

The CAADP process is progressing in these countries, albeit at various rates. One of the key elements needed for the success of the CAADP process and the achievement of its goals at the country level is the continuous generation of evidence for the design, implementation, and modification of various programs and interventions in the agricultural sector. To address this need, the CAADP Compacts signed so far by the countries identify the need for the establishment of mechanisms for continuous analysis of emerging issues, constraints, and challenges facing the agricultural sector and for developing systems for information generation, monitoring and evaluation (M&E), and knowledge management. Thus, the setting up of country-level knowledge platforms—i.e., Strategic Analysis and Knowledge Support Systems (SAKSS)—to focus on country-specific analytical and capacity needs, working in close collaboration with the regional-level knowledge platforms (ReSAKSS), is seen as an important initiative in the CAADP process.

At the heart of the CAADP agenda is the need to improve the quality of policy and strategic planning and implementation, in order to accelerate growth and progress toward poverty reduction and food and nutrition security. This calls for human and physical capacities, analytical tools, and information to generate credible, timely and high-quality knowledge products to inform and guide agricultural sector policies and, in particular, planning and review processes. However, capacity to generate evidence-based information, M&E, and knowledge sharing through effective communication of the information and knowledge to the policymakers and promotion of policy dialogue needs strengthening to varying degrees in all countries.

Strategic Questions

Key questions around capacity needs assessment and capacity development include

- What are the country-specific needs for strategic agricultural policy analysis and investment planning, M&E, and knowledge management?
- What individual and organizational capacities are needed for strategic agricultural policy analysis and investment planning, M&E, and knowledge management in the short, medium and long terms to satisfy those needs?
- How can these capacities be harnessed through their effective use in the organizations involved in the CAADP process, particularly for strategic agricultural policy analysis and investment planning, M&E, and knowledge management?
- What institutional and capacity constraints exist in the policy process for the policy organizations to play their role effectively to meet the objectives of CAADP?

- How can such capacity gaps be identified and filled?

Answering these questions through a capacity needs assessment and a capacity-strengthening strategy is an important first step to customize the SAKSS concept (see Annex 1) to each country's context and capacity needs.

International Food Policy Research Institute (IFPRI) researchers and ReSAKSS coordinators will guide the consultant to carry out the assessment and produce the Kenya country report, which will be published as a ReSAKSS Working Paper. Findings and recommendations from the survey will be used to design and implement country-specific, capacity-strengthening strategies toward the establishment of a functional country SAKSS node. The April 2012 workshop held in Nairobi provided the basis for initiating the needs assessment exercise in Kenya and other "SAKSS-ready" groups of countries.

Objectives

The overall objective of the country-level capacity needs assessment is to develop a country-specific capacity-strengthening strategy to meet the strategic analysis and knowledge management needs of Kenya's agricultural and rural development sectors. The specific objective of the capacity needs assessment is to identify areas for improving the quality and utility of agricultural policy analysis and investment planning, M&E, and knowledge management in Kenya. The study's findings will be used in designing and establishing the Kenya country SAKSS.

Context, Levels, and Themes

The development of the capacity-strengthening strategy will be undertaken in the context of contributing to the agricultural and rural development process in Kenya through the establishment of a country SAKSS. The capacity needs assessment will be undertaken at three levels: (1) individual, (2) organizational, and (3) policy process.

Specific thematic areas for capacity needs assessment will include evidence generation through

- Strategic policy analysis and investment planning,
- Monitoring and evaluation, and
- Knowledge management and sharing at the country level to help in the implementation of agricultural and food security plans and programs.

For example, assessing capacity for *strategic policy analysis and investment planning* will involve specific research and analytical skills for evidence generation. This will further include skills for generating and processing data, analyzing policy alternatives, and assessing the impact of the policies and programs that are implemented.

In terms of assessing the capacity of *M&E* systems, for example, identifying what M&E systems are in place, strengthening them, and improving their synergy to provide sufficient data for producing periodic reports on the performance of the agricultural sector and at the country level (such as the ReSAKSS flagship Agricultural Trends and Outlook Reports (ATORs)) need particular attention. Capacity needs assessment will include assessment of

- Indicators (definitions and measurements) for tracking agricultural and rural development policy and planning processes and agricultural funding; monitoring performance in the agricultural and rural development sectors; and monitoring changes in development outcomes (e.g., poverty, food and nutrition security, hunger).
- Data sources on the above, including instruments and tools.
- Periodicity of data collection and reporting on indicators.

- Data and knowledge management and analytical tools.
- Availability of data, tools, and reports, including population targeted.
- Integration of different data and M&E systems for monitoring and reporting on overall national growth and development objectives, and assessing the impacts of policies and programs on growth and development objectives.

Assessing the capacity for *knowledge management and information sharing* will involve, for example, systems for storing and managing data and communicating information using different knowledge products and channels to target different audiences.

Strengthening the capacity of the policy process will help identify opportunities for involving policy decisionmakers to demand policy analysis outputs and to use them effectively. The policy process differs from country to country, depending on the nature of leadership and governance. Nevertheless, the mapping of the policy process by identifying key players and actors, their roles, and their influence will help in identifying opportunities for strengthening the policy processes for effective implementation of agricultural and food security investment plans.

Specific Tasks for the Consultant

1. Assess the existing capacity for strategic policy analysis and investment planning at the country level. This will require identifying key individuals within those organizations who are currently contributing to generation of evidence for policymaking in the agricultural sector. This level of assessment includes
 - a. Interviewing key informants to assess the need for human capacity in terms of the total number of professionals and their qualifications needed for strategic policy analysis, M&E, and knowledge management and sharing.
 - b. Using formal instruments to identify the existing human capacity in the organizations involved in policy research and analysis, M&E, and knowledge management and sharing.
 - c. Identifying capacity gaps by compiling and analyzing disaggregated data by gender, education attainment, and area of specialization.
 - d. Developing a baseline database on individuals' capacities, including their education, training, and experience by organizations, which will be used for periodic monitoring of progress made toward implementing the capacity-strengthening strategy.
2. Assess the organizational capacity and identify areas for improving the quality and utility of agricultural policy analysis, investment planning and implementation, and M&E, including strengthening their organizations' capacity to produce periodic reports on the performance of the agricultural sector, such as the ReSAKSS flagship Agricultural Trends and Outlook Reports (ATORs). This level of assessment includes
 - a. Developing an annotated list (including map showing linkages) and the roles and responsibilities of the major state and nonstate organizations involved in strategic policy analysis, investment planning, M&E, and knowledge management and sharing.
 - b. Assessing the existing organizational capacity for strategic policy analysis, investment planning, M&E, and knowledge management and sharing, and identifying the areas for strengthening their efficiency, effectiveness, and sustainability.

- c. Assessing the existing data and M&E systems related to tracking implementation of agricultural and food security investment plans, and identifying areas for strengthening the systems for effectiveness, efficiency, and sustainability.
 - d. Assessing the existing contents and knowledge management systems related to agricultural and rural development, and identifying areas for strengthening the systems for their effectiveness, efficiency, and sustainability.
- 3. Assess the institutional and capacity constraints in the policy process related to implementation of agricultural and food security strategies (including development and implementation of investment plans), with particular reference to effective use of evidence (including policy analysis results and M&E data) in policy and program design and in investment planning. Specific activities and outputs include
 - a. Developing a network map of major decisionmakers in the agricultural and rural development sectors (e.g., ministers, principal secretaries, directors, Parliament members, federal executive councils, state governors, other Cabinet members, donors), their role, and their level of influence, through discussions with key informants.
 - b. Assessing the demand for policy analysis results, M&E data, and other forms of knowledge by various players and actors of the policy process, and identifying the cycle of major events, policy discussions, planning processes (e.g., budget preparation) related to agricultural and rural development, and key M&E data and policy analyses used and demanded.
 - c. Assessing how evidence-based information is used by the policymakers and for what purposes.
 - d. Analyzing the current institutional and capacity constraints in the policy process that impede the design and implementation of investment plans, and identifying specific opportunities for strengthening the policy process.
- 4. Based on the above three levels of assessments across the three themes, develop a capacity-strengthening strategy for the country SAKSS. This will include
 - a. Identifying specific capacity-strengthening activities and opportunities for strengthening individual, organizational, and policy process capacities, with particular reference to the components and structure or architecture of the country SAKSS (e.g., coordination team, network, and members (institutions and key individuals), host institutions, governance structure, and members).
 - b. Relating the capacity-strengthening activities identified to the roles and responsibilities of the individuals and organizations involved in strategic policy analysis, M&E, development and implementation of investment plans, and knowledge management.
 - c. Suggesting how individual capacities could be effectively used by the country SAKSS.
 - d. Developing an initial capacity-strengthening work plan of the country SAKSS, including inputs, outputs, and expected outcomes, as well as the roles and responsibilities of different actors to be involved.
 - e. Holding dialogue sessions with key potential actors in the Kenya SAKSS to build consensus on operationalization issues.

Annex 1 presents methods to be employed for accomplishing information collection for the first three tasks identified above.

Deliverables and Timelines

Before initiating the study, the consultant will develop a detailed implementation plan for discussion and approval by the ReSAKSS for Eastern and Central Africa (ECA) Coordinator. The main deliverable of this exercise is the comprehensive peer-reviewed ReSAKSS working paper on the country-level capacity-strengthening strategy based on the capacity needs assessment. The working paper will contain three major elements:

1. **Needs assessment report:** The needs assessment component will be due within two months of signing the contract. This will be based on the first three consultant tasks listed above.
2. **Baseline database for capacity M&E:** A major output of the capacity needs assessment exercise is the development of the baseline database that could be tracked and monitored in Kenya. The capacity development strategy will be linked to the existing capacity and the level of capacity needed through the database. This deliverable is due within one month of completion of the needs assessment report.
3. **Capacity-strengthening strategy and full report:** Within one month of completion of the needs assessment, the capacity-strengthening strategy will be developed and incorporated into the full report. The full report will contain all of the above elements, including an introductory section, a methodological section, and a concluding section. A detailed outline will be developed in consultation with IFPRI researchers and ReSAKSS coordinators.

Budget

1. Consultant fees will be paid as follows: 40 percent upon delivery of the draft needs assessment report; 30 percent upon submission and approval by the International Livestock Research Institute of the baseline database; and 30 percent upon submission and approval by the International Livestock Research Institute of the capacity-strengthening strategy and full report.
2. Fieldwork funds will be disbursed as follows: 60 percent upon signing of the contract, and 40 percent upon conclusion of the stakeholder dialogue meetings.

Annex 1: Methods for Conducting Capacity Needs Assessment at a Country Level

The country-level capacity needs assessment for developing a capacity-strengthening strategy for the CAADP process involves the understanding of what capacity exists, what capacity is needed, what gaps exist, and how to fill the gaps. The capacity needs assessment will be conducted at three levels: policy process, organizational, and individual. The capacity assessment will focus on the thematic issues related to strategic policy analysis, M&E, and knowledge management and sharing at the country level, to help in the CAADP process or National Agriculture Investment Plan implementation process. Resources needed for implementing the study may vary, depending on the country. Instruments and guidelines for gathering the information will be developed in consultation with the ReSAKSS coordinators and consultants identified for the study. The specific methods to be used at the three levels follow.

Policy Process Level

The collaborator will identify major actors and players in the policy process through a network mapping exercise conducted with 8–10 key informants who play a critical role in the policy process. Two case studies of the recently developed policies or strategies in the agricultural sector will be used to develop the network map of the policy process. During these interviews, information related to the role of various decisionmakers and the level of their influence in the policy process will be identified. Using the specifics related to the two case studies, the coordinator will analyze issues related to the demand for and the use of policy and strategic analysis, entry points for the use of

information from policy analysis, data and briefs from M&E, and knowledge sharing. Finally, the institutional and capacity constraints in the policy process, as indicated by the interviews, will be documented. A formal questionnaire to guide this process will be used.

Organizational Level

Organizations identified by the collaborator through the policy process mapping exercise will be interviewed for their capacity needs in accomplishing the tasks related to the thematic issues. This will involve implementing a questionnaire that collects information on the characteristics of the organization and its role in the policy process and the thematic areas identified above. The questionnaire will also collect information related to how the organizations and their units are administered, coordinated, and led for accomplishing the tasks related to strategic analysis, M&E, and knowledge sharing. The interviews will also include questions related to how the data, M&E, and knowledge-sharing systems are organized; what challenges they face; and what outputs are produced. Finally, capacity needs for improving the systems, and the issues, constraint, and challenges to improve the effective function of the organizations and units, will be identified through the interviews.

Individual Level

A formal pretested questionnaire will be used to collect information on individual capacity in the organizations that will contribute to the thematic issues addressed above. The survey will involve interviewing heads of the organizations (identified through the two levels above) for the information on the individuals involved in the thematic areas, their current qualifications, the need for additional skills and tools, and the gaps that need to be filled through capacity-strengthening activities. It is expected that the number of organizations that will be interviewed will vary, depending on the country context and the nature of the organizations involved in the policy process.

Appendix 3: Summaries of Questionnaire Responses

TABLE A3.1: INSTITUTIONAL DETAILS

Expertise	Percentage of Time Spent by Researchers	%
Kenya Institute of Public Policy Research and Analysis (KIPPRA)		
1. Public policy analysis	Research, strategic policy analysis, and investment planning	55
2. Policy research	Program management, monitoring, and evaluation	10
3. Capacity development	Knowledge management, data system development, and information sharing	20
4. Technical expertise	Leadership and management	10
5. Knowledge management	Governance, organizational development, and institutional development	5
Tegemeo Institute of Agricultural Policy and Development		
1. Policy research	Research, strategic policy analysis, and investment planning	50
2. Policy analysis	Program management, monitoring, and evaluation	20
3. Advocacy and dissemination	Knowledge management, data system development, and information sharing	10
4. Knowledge management	Leadership and management	10
5. Monitoring and evaluation	Governance, organizational development, and institutional development	10
Kenya Agricultural Research Institute (KARI)		
1. Research and research management	Research, strategic policy analysis, and investment planning	50
	Program management, monitoring, and evaluation	20
2. Human resource development	Knowledge management, data system development, and information sharing	10
3. Policy research and analysis	Leadership and management	10
4. Monitoring and evaluation	Governance, organizational development, and institutional development	10
5. Knowledge management		
University of Nairobi Agricultural Economics Department (UoN AED)		
1. Knowledge dissemination	Research, strategic policy analysis, and investment planning	50
2. Policy research and analysis	Program management, monitoring, and evaluation	10
3. Data management	Knowledge management, data system development, and information sharing	20
4. Knowledge management	Leadership and management	10
5. Monitoring and evaluation	Governance, organizational development, and institutional development	10
Food and Agriculture Organization of the United Nations, Kenya Office (FAO-KE)		
1. Technical expertise	Research, strategic policy analysis, and investment planning	10
2. Monitoring and evaluation	Program management, monitoring, and evaluation	50
3. Knowledge management	Knowledge management, data system development, and information sharing	20
4. Human resource development	Leadership and management	10
5. Policy analysis	Governance, organizational development, and institutional development	10

Expertise	Time spent by researchers	%
Agricultural Sector Coordination Unit (ASCU)		
ASCU declined to participate in the survey. This is important to note (rather than select another institution in ASCU's place) because, as host of the CAADP desk and coordinator of sectorwide implementation, it was expected that ASCU would participate in this assignment.	Research, strategic policy analysis, and investment planning	
	Program management, monitoring, and evaluation	
	Knowledge management, data system development, and information sharing	
	Leadership and management	
	Governance, organizational development, and institutional development	
Ministry of Agriculture (MoA)		
1. Extension	Research, strategic policy analysis, and investment planning	45
2. Policy formulation, analysis, and review	Program management, monitoring, and evaluation	35
3. Agribusiness management	Knowledge management, data system development, and information sharing	10
4. Engineering services	Leadership and management	5
5. Crops Development	Governance, organizational development, and institutional development	5
Ministry of Livestock Development (MoLD)		
1. Technical expertise (livestock production extension and disease control) 2. Human resource management 3. Policy formulation and analysis 4. Monitoring and evaluation 5. Information communications technology	Research, strategic policy analysis, and investment planning	20
	Program management, monitoring, and evaluation	10
	Knowledge management, data system development, and information sharing	5
	Leadership and management	60
	Governance, organizational development, and institutional development	5
Kenya National Farmers' Federation (KENAFF)		
1. Institutional development and organizational strengthening 2. Policy, research, partnerships 3. Information, communication, and knowledge management 4. Renewable energy and environmental management 5. Monitoring and evaluation 6. Agribusiness and value chains	Research, strategic policy analysis, and investment planning	30
	Program management, monitoring, and evaluation	40
	Knowledge management, data system development, and information sharing	10
	Leadership and management	10
	Governance, organizational development, and institutional development	10
Ministry of Environment and Mineral Resources (ME&MR)		
1. Technical expertise	Research, strategic policy analysis, and investment planning	20
2. Monitoring and evaluation	Program management, monitoring, and evaluation	20
3. Applied research and knowledge management	Knowledge management, data system development, and information sharing	20
4. Human resource development	Leadership and management	20
5. Policy formulation, analysis and review	Governance, organizational development, and institutional development	20

TABLE A3.2A: HUMAN RESOURCES—UNIVERSITIES, INSTITUTES, AND NONGOVERNMENTAL ORGANIZATIONS

Human Resources Categories	KIPPRA		Tegemeo		KARI		UoN AED		FAO-KE	
B1. Professionals, by highest education level	M	F	M	F	M	F	M	F	M	F
PhD	10	1	0	3	34	7	9	3	4	1
MSc	24	14	2	0	1		1	0	18	5
BSc			6	5					2	1
B2. Age distribution of professionals										
<30	10		3		0		1		1	
31–40	28		8		0		1		6	
41–50	8		5		21		3		16	
51–60	3		0		17		2		6	
>60	0		0		4		6		2	
B3. Time allocation										
B3.1. Time professionals allocate to different activities										
Research	92%		50%		50%		20%		10%	
Teaching and training	5%				10%		60%		10%	
Extension					15%		5%		20%	
Advocacy	2%		20%						10%	
Monitoring and evaluation			20%		15%				40%	
Knowledge management	1%		10%		10%		15%		10%	
Other										
B3.2. Proportion of research time spent on food and agricultural policy research and analysis	20%		50%		15%		15%		10%	
B3.3. Proportion of advocacy time spent on food and agricultural policy advocacy	5%				0%		0%		10%	
B4. Salary levels: Ksh annually			Blank				Increase housing allowance		Blank	
Level 1	2,160,000				976,843		834,456			
Level 2					1,187,364		1,091,796			
Level 3					1,443,240		1,643,470			
Level 4	2,640,000				1,535,760		2,294,610			
Level 5	5,400,000				4,498,680		2,390,472			
B5. Human capital										
B5.1. Quality of human capital a constraint	Disagree		Strongly disagree		Disagree		Disagree		Disagree	
B5.2. Quantity of human capital a constraint	Agree		Strongly agree		Disagree		Agree		Neutral	
B5.3. Management of human capital a constraint	Disagree		Agree		Disagree		Agree		Neutral	
B5.4. Retaining human capital a constraint	Agree		Agree		Neutral		Neutral		Neutral	
B5.5. Effective utilization of human capital a constraint	Disagree		Strongly agree		Neutral		Agree		Neutral	

Human Resources Categories	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
B6. Other than salary, which of the following incentives your organization uses to retain staff					Blank
Regular recognition by supervisors					
Participation in national and international fora					
Serving as government policy advisor			Yes		
Use of staff's work in policymaking					
Other nonfinancial incentives	Publication bonus			Flexible work schedules	
Other financial incentives		End of year bonus/honoraria		Staff education support fund	

TABLE A3.2B: HUMAN RESOURCES—GOVERNMENT SECRETARIATS AND MINISTRIES AND NONPROFIT ORGANIZATIONS

Human Resources Categories	ASCU Declined		MoA		MoLD		KENAFF		MEMR	
B1. Professionals by highest education level	M	F	M	F	M	F	M	F	M	F
PhD					–	–	1			1
MSc			7	0	–	–	8	6	3	
BSc					–	–	78			
B2. Age distribution of professionals					–	–	–	–		
<30										
31–40			3						3	
41–50			3							
51–60			1						1	
>60										
B3. Time allocation										
B3.1. Time professionals allocate to different activities					–	–	–	–	N/A	
<i>Research</i>			10%							
<i>Teaching and training</i>			10%							
<i>Extension</i>			50%							
<i>Advocacy</i>			10%							
<i>Monitoring and evaluation</i>			10%							
<i>Knowledge management</i>			10%							
<i>Other</i>										
B3.2. Proportion of research time spent on food and agricultural policy research and analysis					Blank		100%		5%	
B3.3. Proportion of advocacy time spent on food and agricultural policy advocacy					Blank		100%		5%	

Human Resources Categories	ASCU Declined	MoA	MoLD	KENAFF	MEMR
B4. Salary levels: Ksh annually				Not defined	
<i>Level 1</i>		Job Group K			
<i>Level 2</i>		Job Group M			1.2 million
<i>Level 3</i>		Job Group N	Suspect 584,580		
<i>Level 4</i>		Job Group P	1,088,526		1.8 million
<i>Level 5</i>		Job Group R	1,524,102		
B5. Human capital					
B5.1. Quality of human capital a constraint		Disagree	Disagree	Disagree	Disagree
B5.2. Quantity of human capital a constraint		Agree	Disagree	Agree	Disagree
B5.3. Management of human capital a constraint		Disagree	Disagree	Disagree	Disagree
B5.4. Retaining human capital a constraint		Neutral	Neutral	Neutral	Neutral
B5.5. Effective utilization of human capital a constraint		Neutral	Neutral	Neutral	Neutral
B6. Other than salary, which of the following incentives your organization uses to retain staff			Nothing specific		Nothing specific
Regular recognition by supervisors				Yes	
Participation in national and international fora					
Serving as government policy advisor					
Use of staff's work in policymaking		Yes			
Other nonfinancial incentives					
Other financial incentives					

TABLE A3.3A: FINANCIAL RESOURCES—UNIVERSITIES, INSTITUTES, AND NONGOVERNMENTAL ORGANIZATIONS

Financial Resources Categories	KIPPRA		Tegemeo		KARI		UoN AED		FAO-KE	
C1. Fiscal year	July 1	June 30	July 1	June 30	July 1	June 30	July 1	June 30		
C2. Total annual budget	Ksh. '000		Ksh. '000		Ksh. '000		Ksh. '000		Ksh. '000	
2009	243,000		52,739		2,820,000		127,392		Blank	
2010	313,000		86,093		2,611,000		141,394		Blank	
2011	352,000		155,888		3,643,000		31,138		Blank	
2012										
C3. Total annual expenditure	Ksh. '000		Ksh. '000		Ksh. '000		Ksh. '000		Ksh. '000	
2009	Blank		51,670		3,476,917		Suspect 125,676		Blank	
2010	Blank		76,065		3,102,289		23,974		Blank	
2011	Blank		110,819		3,701,276		22,306		Blank	
2012										

Financial Resources Categories	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
C4. Intended and actual shares of food and agricultural policy research 2011					
Intended	5	49	Blank	Blank	Blank
Actual	2	40	Blank	Blank	Blank
C5. Approximate breakdown of sources of funds					
Government (core)	41%		99%		
Government (other)					
Donors	27%	100%	0.07%	99%	
Private					
Farmer organizations and NGOs					
Revenue- and income-generating activities			0.03%		
Other	32%			1%	
C6. Proportion of unrestricted funding 2011	30%	0	0	0	0
C7. Opinion on financial security	Not secure	Not secure	Neutral	Not secure	Neutral

TABLE A3.3B: FINANCIAL RESOURCES—GOVERNMENT SECRETARIATS AND MINISTRIES AND NONPROFIT ORGANIZATIONS

Financial Resources Categories	ASCU Declined		MoA		MoLD		KENAFF		ME&MR	
C1. Fiscal year	July 1	June 30	July 1	June 30	July 1	June 30	Jan. 1	Dec. 1	July 1	June 30
C2. Total annual budget	Ksh. '000		Ksh. '000		Ksh. '000		Ksh. '000		Ksh. '000	
2009			15,850,000		5,880,000		Blank		Blank	
2010			15,306,000		7,000,000		Blank		Blank	
2011			23,028,000		8,370,000		Blank		Blank	
2012										
C3. Total annual expenditure	Ksh. '000		Ksh. '000		Ksh. '000		Ksh. '000		Ksh. '000	
2009			12,934,000		Blank		Blank		250 m	
2010			12,752,000		Blank		Blank		250 m	
2011			17,317,000		Blank		Blank		250 m	
2012										
C4. Intended and actual shares of food and agricultural policy research 2011										
Intended			75		Blank				Blank	
Actual			75		Blank				Blank	
C5. Approximate breakdown of sources of funds										
Government (core)			100%		100%				100%	
Government (other)										
Donors										
Private										
Farmer organizations and NGOs										
Revenue- and income-generating activities										
Other										

Financial Resources Categories	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
C6. Proportion of unrestricted funding 2011		0	0	0	0
C7. Opinion on financial security		Secure	Secure	Secure	Secure

TABLE A3.4A: PHYSICAL RESOURCES—UNIVERSITIES, INSTITUTES, AND NONGOVERNMENTAL ORGANIZATIONS

Physical Resources Categories	KIPPRA		Tegemeo		KARI		UoN AED		FAO-KE	
D1. Equipment	Actual	Intended	Actual	Intended	Actual	Intended	Actual	Intended	Actual	Intended
Computers	70	90			500	1,500	20	35	70	
Computers with word processing software	70		23		500	1,500	20	35	70	
Computers with bibliographic management software	5	60	0		100	200	0	35	NA	
Computers with analytical software	40	60	23		250	500	15	35	2	
Vehicles			6		500	600	1	4	17	
Telephones—landline			4		62	62	1	3		
Telephones—cell phones	70	90	2		4		Own	15	53	
Adequacy of physical space	Not adequate		Not adequate		Adequate		Not adequate		Adequate	
D2. Analytical software regular users										
STATA	Monthly		16		20; monthly		5			
SPSS	Weekly		16		250; monthly		10			
MINITAB										
MATLAB										
E-views	Weekly									
SAS					100; quarterly		1			
Excel	Daily		16		500; daily		15		>30	
GAMs										
ATLAS Ti										
NVivo										
GIS Arc View					20; daily				2	
Other (Genstat)					100; monthly		1			
D3. Analytical software										
D3.1. Number of reports produced using software 2010–2011			31 reports in all						Blank	
STATA	5				Many		Many			
SPSS	3				Many		Many			
MINITAB										
MATLAB										

Physical Resources Categories	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
<i>E-views</i>	2				
SAS			Many		
<i>Excel</i>	3		Many	Many	
<i>GAMs</i>					
<i>ATLAS Ti</i>					
<i>NVivo</i>					
<i>GIS Arc View</i>					
<i>Other (Genstat)</i>			Many		
D3.2. Challenges with software	No expertise	Expensive	No training; costly	No training; costly	Blank
D4. Frequent users of bibliographic management software		None	None	Not known	Blank
Reference manager					
Endnote	Quarterly				
Mendeley					
Zotero					
One note					
Bibtex			500		
Other (WinISIS and ABCD)					
D5. View of Internet connection in organization	Fast	Fast	Moderate		Very fast
D6. Time it takes to load website in office computer	5–14 seconds	5–14 seconds	14–29 seconds	30–59 seconds	<5 seconds
D7. How long it takes to download 1-MB file in office computer	5–14 seconds	>2 minutes	14–29 seconds	>2 minutes	<5 seconds

TABLE A3.4B: PHYSICAL RESOURCES—GOVERNMENT SECRETARIATS AND MINISTRIES AND NONPROFIT ORGANIZATIONS

Physical Resources Categories	ASCU Declined		MoA		MoLD		KENAFF		ME&MR	
D1. Equipment	Actual	Intended	Actual	Intended	Actual	Intended	Actual	Intended	Actual	Intended
Computers			10	15	Blank	Blank	36			
Computers with word processing software			10	15	Blank	Blank	36			
Computers with bibliographic management software			0	2	Blank	Blank	2			

Physical Resources Categories	ASCU Declined		MoA		MoLD		KENAFF		ME&MR	
D1. Equipment	Actual	Intended	Actual	Intended	Actual	Intended	Actual	Intended	Actual	Intended
Computers with analytical software					Blank	Blank				
Vehicles			Pool	3	Blank	Blank				
Telephones—landline			Pool	2	Blank	Blank				
Telephones—cell phones			Pool	10	Blank	Blank				
Adequacy of physical space			Adequate		Blank		Not adequate		Adequate	
D2. Analytical software regular users					Blank				Blank	
STATA			1							
SPSS							Yes; no			
MINITAB			1							
MATLAB										
E-views										
SAS										
Excel			9				Yes; no			
GAMs										
ATLAS Ti										
NVivo										
GIS Arc View										
Other (Genstat)										
D3. Analytical software										
D3.1. Number of reports produced using software 2010–2011			Blank		Blank		4 in all; not specific			
STATA										
SPSS										
MINITAB										
MATLAB										
E-views										
SAS										
Excel										
GAMs										
ATLAS Ti										
NVivo										
GIS Arc View										
Other (Genstat)										
D3.2. Challenges with software			Not trained; unavailable		Blank		Not trained; unavailable			

Physical Resources Categories	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
D4. Frequent users of bibliographic management software		Blank	Blank		
Reference manager					
Endnote					
Mendeley					
Zotero					
One note					
Bibtex					
Other (WinISIS and ABCD)					
D5. View of internet connection in organization		Moderate	Moderate	Moderate	
D6. Time it takes to load website in office computer		14–29 seconds	14–29 seconds	<5 seconds	
D7. Time it takes to download a 1-MB file in office computer		30–59 seconds	14–29 seconds	30–59 seconds	

TABLE A3.5A: RESEARCH POLICY LINKAGES—UNIVERSITIES, INSTITUTES, AND NONGOVERNMENTAL ORGANIZATIONS

Policy-Related Criteria	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
E1. Number of food and ag. policy research & analysis projects in 2010–2011	10	14	Many	11	3
E2. Number of food and ag. policy research & analysis projects with communication strategy in 2010–2011	0	14	Many	0	3
E3. Rank of organization's stakeholders for research					Blank
Ministries	1	1	1		
Parliament groups	2	2	5		
National planning communications and public organizations	3	3	2		
NGOs and CSOs	5	7	6	2	
Donors	4	5	3		
Private sector	4	6	4		
Other		4 farmers		1 farmer	
E4. Public consultations in food and agricultural policy issues 2010–2011	Yes; 3	Yes; 9	Yes; 2	No	Yes; 1

Policy-Related Criteria	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
E5. Policy dialogues conducted in food and agricultural policy issues 2010–2011	Yes	Yes	Yes	0	Yes
E5.1. Number of events conducted in 2010–2011		Blank			
<i>Seminars less than 2 hours</i>			Many		
<i>2-hour seminars</i>	3		Many		
<i>Half-day policy dialogues & meetings</i>	3		Many		
<i>1-day workshops & conferences</i>			Many		1
<i>2-day workshops & conferences</i>	1		Many		
<i>3-day workshops & conferences</i>			Many		
<i>More than 3-day workshops & conferences</i>			Many		
E6. Participation in food and agricultural policy dialogues in 2010–2011	Yes	Yes	Yes	Staff in private capacity	Blank
E6.1. Number of participations in 2010–2011					
<i>Seminars less than 2 hours</i>			Many		
<i>2-hour seminars</i>			Many		
<i>Half-day policy dialogues & meetings</i>	3	3	Many		
<i>1-day workshops & conferences</i>		8	Many		
<i>2-day workshops & conferences</i>		3	Many		
<i>3-day workshops & conferences</i>	5	2	Many		
<i>More than 3-day workshops & conferences</i>	2		Many		
E7. Participation in global, regional, and continental events	Yes	Yes	Yes	Staff in private capacity	
Global			Many	1	
Continental	2	2	Many	1	
Regional	3	3	Many		
E8. Mode of communication of research findings					
Personal contact with officials	Yes; 1	Yes	Yes	Sometimes	No
Small roundtable discussions with officials and key stakeholders	Yes; 4		Yes	Sometimes	No
Public roundtable with officials and press	No	Yes; 9	No	No	No
Newsletters to officials	Yes; 2	No	Yes	No	Yes
Policy briefs to officials	Yes; 4	Yes	Yes	No	Yes
Presentation to officials	Yes; 2	No	Yes	No	No
Press conference and panel discussion	Yes; 5	No	Yes	No	No
Work with media to influence government	No	No	No	No	No
E9. Whether organization receives request from government to provide information on food and ag. issues	Yes	Yes	Yes	No	Yes
E9.1. How frequently organization receives requests				NA	Annually, once

Policy-Related Criteria	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
<i>Twice a month</i>					
<i>Monthly</i>					
<i>Quarterly</i>					
<i>Semiannually</i>					
<i>Annually</i>					
<i>Others</i>	As needed	As needed	As needed		
E10. Is organization a valuable source of research data and statistics?	Very much	Very much	Very much	Somewhat	Very much
E11. Whether organization has influence on budget-making process	Somewhat	Not much	Somewhat	Not much	Somewhat
E12. Whether organization has impact on holding government accountable for implementing food and ag. policies	Not at all	Not at all	Not much	Not at all	Somewhat
E13. Opinion on statement: organization's policy research is communicated effectively for use in policymaking	Disagree	Agree	Neutral	Disagree	Disagree
E14. Importance of channel of communication for communicating policy results to relevant stakeholders					
Policy reports	Important	Important	Somewhat unimportant	Important	Somewhat important
Policy briefs	Important	Important	Somewhat unimportant	Important	Important
Media briefs	Important	Important	Neutral	Unimportant	Somewhat important
Websites or other e-media	Important	Important	Somewhat unimportant	Important	Blank
Appearances on radio or TV	Somewhat important	Important	Neutral	Somewhat important	Somewhat important
Workshops or conferences	Important	Important	Unimportant	Somewhat important	Somewhat unimportant
Policy briefings to ministries or government-based task forces	Important	Important	Somewhat unimportant	Important	Somewhat important

TABLE A3.5B: RESEARCH POLICY LINKAGES—GOVERNMENT SECRETARIATS AND MINISTRIES AND NONPROFIT ORGANIZATIONS

Policy-Related Criteria	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
E1. Number of food and ag. policy research & analysis projects in 2010–2011		14			3
E2. Number of food and ag. policy research & analysis projects with communication strategy in 2010–2011		14		6	
E3. Rank of organization's stakeholders for research					
Ministries		1		1	
Parliament groups		3			
National planning communications and public organizations		4			
NGOs and CSOs		6			
Donors		5			
Private sector		2			
Other		7 research organizations		2 farmers	
E4. Public consultations in food and agricultural policy issues 2010–2011		Yes; 5		Yes	
E5. Policy dialogues conducted in food and agricultural policy issues 2010–2011		Yes		Yes	
E5.1. Number of events conducted in 2010–2011				Not recorded	
<i>Seminars less than 2 hours</i>					
<i>2-hour seminars</i>					
<i>Half-day policy dialogues & meetings</i>					
<i>1-day workshops & conferences</i>		5			
<i>2-day workshops & conferences</i>					
<i>3-day workshops & conferences</i>					
<i>More than 3-day workshops & conferences</i>					
E6. Participation in food and agricultural policy dialogues in 2010–2011		Yes		Yes	
E6.1. Number of participations in 2010–2011				Not recorded	
<i>Seminars less than 2 hours</i>					
<i>2-hour seminars</i>					
<i>Half-day policy dialogues & meetings</i>		4			
<i>1-day workshops & conferences</i>					
<i>2-day workshops & conferences</i>					
<i>3-day workshops & conferences</i>					
<i>More than 3-day workshops & conferences</i>		2			

Policy-Related Criteria	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
E7. Participation in global, regional, and continental events		Yes		Yes	
Global		Blank		1	
Continental		Blank		1	
Regional		Blank		1	
E8. Mode of communication of research findings				Not recorded	
Personal contact with officials		20		Yes	
Small roundtable discussions with officials and key stakeholders		No		Yes	
Public roundtable with officials and press		No		Yes	
Newsletters to officials		No		Every 2 months	
Policy briefs to officials		4		Yes	
Presentations to officials		3		Yes	
Press conferences and panel discussion		No		Yes	
Work with media to influence government		No		Yes	
E9. Whether organization receives request from government to provide information on food and ag. issues		Yes		Yes	
E9.1. How frequently organization receives requests		No		Yes	
<i>Twice a month</i>		Yes			
<i>Monthly</i>					
<i>Quarterly</i>					
<i>Semiannually</i>					
<i>Annually</i>					
<i>Others</i>				As needed	
E10. Is organization a valuable source of research data & statistics?		Very much		Not much	
E11. Whether organization has influence on budget-making process		Very much		Very much	
E12. Whether organization has impact on holding government accountable for implementing food and ag. policies		Not much		Somewhat	
E13. Opinion on statement: organization's policy research is communicated effectively for use in policymaking		Agree			
E14. Importance of channel of communication for communicating policy results to relevant stakeholders					
Policy reports		Important		Important	

Policy-Related Criteria	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
Policy briefs					
Media briefs				Important	
Websites or other e-media				Important	
Appearances on radio or TV				Important	
Workshops or conferences				Important	
Policy briefings to ministries or government-based task forces		Important		Important	

TABLE A3.6A: EVIDENCE-BASED POLICYMAKING—UNIVERSITIES, INSTITUTES, AND NONGOVERNMENTAL ORGANIZATIONS

Policymaking Criteria	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
F1. Whether organization has ever played a specific role as policy advisor in food and agricultural sectors for the government	Yes	Yes	Yes	Yes	Yes
F1.1. Number of researchers acting as policy advisors	5	2	Blank	2	5
F2. Whether organization receives requests for providing advice on food and ag.-related issues	Yes	Yes	Yes	Yes	Yes
F2.1. How often requests in F2 are received					
<i>Twice a month</i>					
<i>Monthly</i>					
<i>Quarterly</i>					
<i>Semiannually</i>					Yes
<i>Annually</i>					
<i>Others</i>	As needed	As needed	As needed	As needed	
F2.2. Level of use of policy advice by policymakers (1 = no use; 5 = complete use)	3	3	3	3	3
F3. Whether organization has been involved in the development of food- and agriculture-related policy and strategy documents in the last five years	Yes	Yes	Yes	Yes	Yes
F3.1. Level of involvement; number of documents					
<i>Advised drafters</i>	2	5	5	5	
<i>Wrote comments or reviewed drafts</i>		5	2		
<i>Participated in validation workshop</i>	9	3	2	5	3
<i>Drafted a section or chapter</i>	1				5
<i>Led the drafting of policy document</i>			2		
F4. Whether any research or analytical products from organization were used in development of policy documents during 2007–2011	Yes	Yes	Yes	Yes	Yes
F4.1. Number of publications and reports of organization used in policy and strategy docs	2	1	Many	Not known	Many

Polymaking Criteria	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
F5. Whether any research or analytical products were used in the development of food and agricultural programs during 2007–2012	Yes	Yes	Yes	Not known	Yes
F5.1. If yes in 5.1, number of publications	Blank	1	Many	Not known	Blank
F5.2. How much funding the government provided for the programs in percentage of total cost of program	Blank	Blank	Blank	Blank	Blank
F6. Opinion: all relevant stakeholders were fully consulted in the policy processes in 2007–2011	Agree	Agree	Neutral	Disagree	Neutral

TABLE A3.6B: EVIDENCE-BASED POLICYMAKING—GOVERNMENT SECRETARIATS AND MINISTRIES AND NONPROFIT ORGANIZATIONS

Polymaking Criteria	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
F1. Whether organization has ever played a specific role as policy advisor in food and agricultural sectors for the government		Yes		Yes	
F1.1. Number of researchers acting as policy advisors		4		1	
F2. Whether organization receives requests for providing advice on food and ag.-related issues		Yes		Yes	
F2.1. How often requests in F2 are received					
<i>Once a week</i>					
<i>Twice a month</i>		Yes			
<i>Monthly</i>					
<i>Quarterly</i>					
<i>Semiannually</i>					
<i>Annually</i>					
<i>Others</i>				As needed	
F2.2. Level of use of policy advice by policymakers (1 = no use; 5 = complete use)		2		3	
F3. Whether organization has been involved in the development of food- and agricultural-related policy and strategy documents in last five years				Yes	
F3.1. Level of involvement; number of documents					
<i>Advised drafters</i>		5		3	
<i>Wrote comments or reviewed drafts</i>				3	
<i>Participated in validation workshop</i>				3	
<i>Drafted a section or chapter</i>		5			
<i>Led the drafting of policy document</i>		5			

Polycymaking Criteria	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
F4. Whether any research or analytical products from organization were used in the development of policy documents during 2007–2011		Ref to ASCU		Yes	
F4.1. Number of publications and reports of organization used in policy and strategy documents		Ref to ASCU		Blank	
F5. Whether any research and analytical products were used in the development of food and agricultural programs during 2007–2012		Ref to ASCU		Yes	
F5.1. If yes in 5.1, number of publications		Ref to ASCU		Blank	
F5.2. How much funding the government provided for the programs in percentage of total cost of program		Ref to ASCU		Blank	
F6. Opinion: all relevant stakeholders were fully consulted in the policy processes in 2007–2011		Ref to ASCU		Disagree	

TABLE A3.7A: STATISTICAL, MONITORING, AND EVALUATION QUESTIONS—UNIVERSITIES, INSTITUTES, AND NONGOVERNMENTAL ORGANIZATIONS

Survey Questions	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
FF1. Monitoring and evaluation					
FF1.1. Likert scale: Organization has a fully functioning M&E system	Agree	Strongly agree	Agree	Disagree	Disagree
FF1.2. Likert scale: Org. periodically produces M&E reports for learning and redefining programs	Agree	Strongly agree	Agree	Disagree	Neutral
FF1.3. Likert scale: Org.'s M&E reports are functional for learning purposes	Agree	Strongly agree	Agree	Disagree	Neutral
FF2. Survey and data collection activities implemented by organization in 2007–2011	4	8	Baseline, market, adoption studies	Many, mainly MSc work	Neutral
FF3. Key indicators					
FF3-1. Key indicators used by organization to track performance of agricultural sector in 2011	Blank	Crop and livestock productivity, household incomes, household assets, technology adoption, market access, extension access, credit access, group participation	Agricultural GDP growth, prices of commodities, employment growth	Agricultural outputs and income, resources, credit, poverty levels	Blank

Survey Questions	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
FF3-2. Coverage of key indicators: geographic, regional	Blank	8 agro-regional zones (24 counties)	National; regional	National; regional	Blank
FF3-3. Disaggregation of indicators by socioeconomic variable: age, gender, income	Blank	Gender, age, income levels, counties, agro-regional zones	Sector, markets	Sector, markets	Blank
FF3-4. Source of agricultural information	Blank	Conference proceedings, working papers, policy briefs, journal articles	Ministry of Agriculture review; Kenya National Bureau of Statistics; Ministry of Labor	Surveys, Kenya National Bureau of Statistics, economic review, FAO-Stat, CountrySTAT	Blank
FF3-5. Periodicity of agricultural information	Blank	Some quarterly, others annually	Some monthly, some annually	Not regular	Blank
FF3-6. Publication medium	Blank	Hard copies, and soft copies on website	Hard copies, and soft copies on website	Theses and research reports	Blank
FF3-7. Access conditions of publications	Blank	Free	Free	NA	Blank
FF4. Likert scale					
FF4.1. Adequate capacity for data collection exists	Agree	Strongly agree	Agree	Agree	Disagree
FF4.2. Adequate capacity for data processing exists	Agree	Agree	Agree	Neutral	Neutral
FF4.3. Adequate capacity for data analysis exists	Agree	Agree	Agree	Neutral	Neutral
FF4.4. Adequate capacity for data reporting and sharing exists	Agree	Agree	Agree	Neutral	Agree
FF5. Three primary clients who use data generated by organization	Government, development partners, students	Agricultural sector ministries, development partners, private sector	Kenya Agricultural Research Institute management, agricultural sector ministries, university students	Students, development partners, private sector	Government, development partners, students

Survey Questions	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
FF6. Tools and methods used for data analysis and processing in organization	Kenyan Treasury Macromodel, various models	Descriptive analysis, econometrics	Descriptive statistics, econometrics	Descriptive statistics, econometrics	Blank
FF7. Use of data produced by organization	Policy advice, information, theses	Policy advice, baseline information, M&E, project development, student theses	Farmers, government	Theses, research reports	Blank
FF8. Likert scale					
FF8.1. Quality of human capacity a constraint in org.	Disagree	Strongly disagree	Neutral	Disagree	Disagree
<i>Why this opinion?</i>		Staff well trained and have skills		Staff well trained	
FF8.2. Quantity of human capacity a constraint in org.	Agree	Strongly agree	Neutral	Agree	Neutral
<i>Why this opinion?</i>		Staff few		Staff few	
FF8.3. Adequate funding for regular data collection a constraint in organization	Agree	Strongly disagree	Neutral	Agree	Neutral
<i>Why this opinion?</i>		Strict and objective budgets			
FF8.4. Leadership a constraint in organization	Disagree	Agree	Neutral	Neutral	Neutral
<i>Why this opinion?</i>		Researchers are engaged in administrative duties			
FF8.5. Problems related to data collection, management, and distribution a constraint in organization	Disagree	Strongly disagree	Disagree	Neutral	Disagree
<i>Why this opinion?</i>		Have adequate capacity to collect, manage, and distribute data	Qualified statisticians and socio-economists	Not strictly scheduled	

TABLE A3.7B: STATISTICAL, MONITORING, AND EVALUATION QUESTIONS—GOVERNMENT SECRETARIATS AND MINISTRIES AND NONPROFIT ORGANIZATIONS

Survey Questions	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
FF1. Monitoring and evaluation					
FF1.1. Likert scale: Organization has a fully functioning M&E system		Agree		Strongly agree	
FF1.2. Likert scale: Organization periodically produces M&E reports for learning and redefining programs		Strongly agree		Strongly agree	
FF1.3. Likert scale: Organization's M&E reports are functional for learning purposes		Agree		Agree	
FF2. Survey and data collection activities implemented by organization in 2007–2011		4		Blank	
FF3. Key indicators					
FF3-1. Key indicators used by organization to track performance of agricultural sector (2011)		Yields, adopters, incomes, acreages		Blank	
FF3-2. Coverage of key indicators: geographic, regional		National, regional		Blank	
FF3-3. Disaggregation of indicators by socioeconomic variable: age, gender, income		Blank		Blank	
FF3-4. Source of agricultural information		Surveys		Blank	
FF3-5. Periodicity of agricultural information		Annual; 5 years		Blank	
FF3-6. Publication medium		Internet; hard copy		Blank	
FF3-7. Access conditions of publications		Some free; payment		Free	
FF4. Likert scale					
FF4.1. Adequate capacity for data collection exists		Disagree		Agree	
FF4.2. Adequate capacity for data processing exists		Disagree		Neutral	
FF4.3. Adequate capacity for data analysis exists		Disagree		Neutral	
FF4.4. Adequate capacity for data reporting and sharing exists		Disagree		Agree	
FF5. Three primary clients who use data generated by organization		Researchers, universities, other ministries		Farmers, government, private sector	
FF6. Tools and methods used for data analysis and processing in organization		Excel spreadsheets		Blank	
FF7. Use of data produced by organization		Filled forms		Blank	
FF8. Likert scale					
FF8.1. Quality of human capacity a constraint		Agree		Disagree	
<i>Why this opinion?</i>					

Survey Questions	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
FF8.2. Quantity of human capacity a constraint in org.		Agree		Disagree	
<i>Why this opinion?</i>					
FF8.3. Adequate funding for regular data collection a constraint in organization		Agree		Strongly disagree	
<i>Why this opinion?</i>					
FF8.4. Leadership a constraint in organization		Disagree		Strongly disagree	
<i>Why this opinion?</i>					
FF8.5. Problems related to data collection, management, and distribution a constraint in org.		Disagree		Neutral	
<i>Why this opinion?</i>					

TABLE A3.8A: MAJOR CONSTRAINTS FACED IN 2011 AND PROPOSED SOLUTIONS—UNIVERSITIES, INSTITUTES, AND NONGOVERNMENTAL ORGANIZATIONS

Resources	KIPPRA		Tegemeo		KARI		UoN AED		FAO-KE	
	Constraint	Solution	Constraint	Solution	Constraint	Solution	Constraint	Solution	Constraint	Solution
FFF1a. Research, strategic policy analysis, and investment planning										
Human resources	Quantity		Quantity	Hire	Low skills, narrow training	On-the-job, broad training	Few, need some skills	Hire, train	Blank	Blank
Financial resources	Database, software		Inadequate	Long-term projects	Erratic flow, donor driven	More projects, GoK own funds	Erratic flow	Schedule projects	Blank	Blank
Physical resources	Licenses		Office space	Build, lease	Space utilization	Build, lease	Computers, software, vehicles, space	Acquire	Blank	Blank
FFF1b. Program management, monitoring, and evaluation										
Human resources	Quantity		Quantity	Hire	Low skills, narrow training	On-the-job, broad training	Skills	Train	Blank	Blank
Financial resources	Staff salary		Inadequate	Long-term projects	Erratic flow, donor driven	More projects, GoK own funds	Erratic	Schedule	Blank	Blank
Physical resources	Management system		Office space	Build, lease	Space utilization	Build, lease	Not adequate	Acquire	Blank	Blank

Resources	KIPPRA		Tegemeo		KARI		UoN AED		FAO-KE	
	Constraint	Solution	Constraint	Solution	Constraint	Solution	Constraint	Solution	Constraint	Solution
FFF1c. Knowledge management, data system development, and information sharing										
Human resources	Expertise few		Research products delay	Hire communications staff	Low skills, narrow training	On-the-job, broad training	Low skills, narrow training	Train on job	Blank	Blank
Financial resources	Blank				Erratic flow, donor driven	More projects, GoK own funds	Erratic flow	Schedule	Blank	Blank
Physical resources	Infrastructure				Space utilization	Build, lease	Not adequate	Acquire	Blank	Blank
FFF1d. Leadership and management										
Human resources	Blank		Administrative duties for research staff	Hire administrative staff	Low skills, narrow training	On-the-job, broad training	High focus on teaching	Structure other activities	Blank	Blank
Financial resources	Blank				Erratic flow, donor driven	More projects, GoK own funds			Blank	Blank
Physical resources	Blank				Space utilization	Build, lease			Blank	Blank
FFF1e. Governance, organization, and institutional development										
Human resources	Blank						No links	Structure	Blank	Blank
Financial resources	Blank						Meager	Acquire	Blank	Blank
Physical resources	Blank						Few	Acquire	Blank	Blank

TABLE A3.8B: MAJOR CONSTRAINTS FACED IN 2011 AND PROPOSED SOLUTIONS—GOVERNMENT SECRETARIATS AND MINISTRIES AND NONPROFIT ORGANIZATIONS

Resources	ASCU Declined		MoA		MoLD		KENAFF		ME&MR	
	Constraint	Solution	Constraint	Solution	Constraint	Solution	Constraint	Solution	Constraint	Solution
FFF1a. Research, strategic policy analysis, and investment planning										
Human resources			Underused, no training	Engage, train						
Financial resources					Inadequate	Budget			Not regular	
Physical resources			Inadequate	Develop			Space			

Resources	ASCU Declined		MoA		MoLD		KENAFF		ME&MR	
	Constraint	Solution	Constraint	Solution	Constraint	Solution	Constraint	Solution	Constraint	Solution
FFF1b. Program management, monitoring, and evaluation										
Human resources			Recruitment, no training	Recruit						
Financial resources			Inadequate	Budget						
Physical resources			Infrastructure, software	Acquire						
FFF1c. Knowledge management, data system development, and information sharing										
Human resources			Insufficient	Recruit						
Financial resources			Low	Improve						
Physical resources			Inadequate	Improve						
FFF1d. Leadership and management										
Human resources			Coordination, no public–private partnerships	Restructure						
Financial resources			Low							
Physical resources			Inadequate							
FFF1e. Governance, organization, and institutional development										
Human resources			Weak institutions, coordination	Strengthen, reform						
Financial resources			Multiple taxes	Harmonize						
Physical resources			Blank	Blank						

TABLE A3.9A: POLICYMAKING CAPACITY—UNIVERSITIES, INSTITUTES, AND NONGOVERNMENTAL ORGANIZATIONS

Policy-making Capacity Indicator	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
G1. Number of major committees, councils, and task forces for food and ag. policymaking	6	4	5	2: ASCU & KIPPRA	Blank
G2. Whether participated in any way in G1	Yes	Yes	Yes	Yes	Blank
G2.1. Level of involvement with committees					Blank
<i>Provided verbal advice to drafters</i>		3	3		
<i>Wrote comments or reviewed drafts</i>		2			
<i>Participated in committee deliberations</i>	Yes	1	1	2	

Polymaking Capacity Indicator	KIPRA	Tegemeo	KARI	UoN AED	FAO-KE
<i>Drafted section or chapter of policy document</i>					
<i>Led drafting of policy document</i>					
G3. Whether research or analytical products from organization were used by task forces in 2007–2011	Yes	No	Yes	Yes	Blank
G3.1. Number if yes to G3	2		Many		Blank
G4. Whether organization participates in food security networks and associations	Yes	Yes	Yes	Yes	Blank
G4.1. Level of involvement if yes to G4	Blank		Blank		Blank
<i>Provided verbal advice to drafters</i>		2			
<i>Wrote comments or reviewed drafts</i>		2			
<i>Participated in committee deliberations</i>		1			
<i>Drafted section or chapter of policy document</i>					
<i>Led drafting of policy document</i>					
G4.2. Number of organization's research output used by the networks and associations	Blank	Blank	Blank		Blank
G5. How many strategy and policy documents were approved in 2007–2012	5	2	Blank	7	Blank
G6. Major constraints faced and solutions proposed for org.'s ability to participate in the committees and associations listed above					
G6c. Constraints faced					
<i>Human Resources</i>	Inadequate staff	Blank	Blank	Weak linkage; few staff	Blank
<i>Financial Resources</i>	Blank	Blank	Blank	Inadequate	Blank
<i>Physical Resources</i>	Blank	Blank	Blank	Inadequate	Blank
G6s. Proposed solutions					
<i>Human Resources</i>	Hire staff	Blank	Blank	Strengthen link	Blank
<i>Financial Resources</i>	Blank	Blank	Blank	Increase	Blank
<i>Physical Resources</i>	Blank	Blank	Blank	Increase	Blank

TABLE A3.9B: POLICYMAKING CAPACITY—GOVERNMENT SECRETARIATS AND MINISTRIES AND NONPROFIT ORGANIZATIONS

Polymaking Capacity Indicator	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
G1. Number of major committees, councils, task forces for food and ag. policymaking		Many	Blank through	Almost all	Blank through
G2. Whether participated in any way in G1		Yes		Yes	
G2.1. Level of involvement with committees					
<i>Provided verbal advice to drafters</i>				Yes	
<i>Wrote comments or reviewed drafts</i>					

Polycymaking Capacity Indicator	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
<i>Participated in committee deliberations</i>				Yes	
<i>Drafted section or chapter of policy document</i>		Yes			
<i>Led drafting of policy document</i>		Yes			
G3. Whether research or analytical products from organization were used by task forces in 2007–2011		Yes		Probably	
G3.1. Number if yes to G3		Blank			
G4. Whether organization participates in food security networks and associations		Ref ASCU		Yes	
G4.1. Level of involvement if yes to G4		Ref ASCU			
<i>Provided verbal advice to drafters</i>				Yes	
<i>Wrote comments or reviewed drafts</i>					
<i>Participated in committee deliberations</i>				Yes	
<i>Drafted section or chapter of policy document</i>					
<i>Led drafting of policy document</i>					
G4.2. Number of organization's research output used by the networks and associations		Ref ASCU			
G5. How many strategy and policy documents were approved in 2007–2012		4		5	
G6. Major constraints faced and solutions proposed for org.'s ability to participate in the committees and associations listed above			Blank	Blank	Blank
G6c. Constraints faced					
<i>Human Resources</i>		Few trained			
<i>Financial Resources</i>		Inadequate			
<i>Physical Resources</i>		Space			
G6s. Proposed solutions					
<i>Human Resources</i>		Train more			
<i>Financial Resources</i>		Budget			
<i>Physical Resources</i>		Structure appropriately			

TABLE A3.10A: CAPACITY ASSESSMENT OF THE POLICY PROCESS INSTITUTIONS—UNIVERSITIES, INSTITUTES, AND NONGOVERNMENTAL ORGANIZATIONS

Capacity Assessment Criteria	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
I. Capability to act and commit: Level of effective leadership in the policy process					
1. Leadership is responsive, inspiring, and sensitive.	Responsive	Responsive	Responsive	Neutral	Responsive
2. Leaders of the policy process organizations provide appropriate strategic guidance (strategic leader and/or operational leader).	Strategic	Strategic	Strategic	Neutral	Strategic
3. Member or staff turnover in your organization is relatively low.	Neutral	Agree	Agree	Agree	Neutral
4. Members and staff of your organization have the necessary skills to use evidence for strategic analysis and other policy-related work.	Skilled	Skilled	Skilled	Skilled	Skilled
5. Appropriate incentives are in place to sustain members' and staff's motivation.	Average	Average	High	Average	Average
6. There is adequate funding from multiple sources to cover the cost of operations.	Adequate	Adequate	Neutral	Neutral	Adequate
II. Capability to adapt, learn, and self-renew: Level of effective application of monitoring and evaluation (M&E)					
7. Activities, outputs, outcomes, and performance markers are effectively assessed through M&E activities to address the goals of the food and agricultural sector's programs and policies.	Effective	Ineffective	Effective	Neutral	Effective
8. Sector reviews are performed and other research evidence is collected to effectively assess the effects of delivered products and services (outcomes) for future strategy development.	Effective	Effective	Effective	Neutral	Effective
9. Internal management and evaluation of your organization stimulates frequent critical reflection that results in learning from mistakes.	Effective	Effective	Effective	Neutral	Effective
10. Members and staff of your organization feel free to propose ideas for implementation of agricultural policy objectives.	Effective	Effective	Effective	Neutral	Neutral
11. Your organization has an effective system to stay in touch with general trends and developments in the food and agricultural sector.	Effective	Effective	Effective	Neutral	Effective
12. Your organization is effective in being open and responsive to its stakeholders and the general public.	Highly effective	Highly effective	Effective	Neutral	Effective

Capacity Assessment Criteria	KIPPRA	Tegemeo	KARI	UoN AED	FAO-KE
III. Capability to deliver on mandate and development objectives: Extent to which your organization delivers on planned objectives and mandates					
13. Your organization has clear operational plans to carry out its mandate and objectives, which all members and staff fully understand.	Agree	Agree	Agree	Agree	Agree
14. Your organization delivers its planned outputs in a timely fashion.	Strongly agree	Strongly agree	Agree	Agree	Agree
15. Your organization has mechanisms in place to verify that its services meet client, stakeholder, or beneficiary needs.	Strongly agree	Agree	Agree	Agree	Agree
IV. Capability to coordinate and relate: Level of engagement of your organization in networks, alliances, and collaborative efforts					
16. Your organization maintains effective coordination of its partner organizations and stakeholder groups for the benefit of the food and agricultural sector.	Strongly agree	Agree	Strongly agree	Disagree	Agree
17. Your organization effectively maintains relationships with existing networks, alliances, and partnerships.	Highly effective	Highly effective	Highly effective	Neutral	Effective
V. Capability to achieve policy and strategy coherence: Existence of mechanisms for coherence in the food and agricultural sector					
18. Vision, mission, and strategies are regularly discussed within your organization.	Neutral	Strongly agree	Agree	Agree	Agree
19. Operational guidelines to achieve policy and strategy coherence in the food and agricultural sector are in place, and your organization effectively follows them to achieve coherence by working with its members and stakeholders.	Agree	Agree	Agree	Disagree	Agree
VI. Any other issues					

TABLE A3.10B: CAPACITY ASSESSMENT OF THE POLICY PROCESS INSTITUTIONS—GOVERNMENT SECRETARIATS AND MINISTRIES AND NONPROFIT ORGANIZATIONS

Capacity Assessment Criteria	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
I. Capability to act and commit: Level of effective leadership in the policy process					
1. Leadership is responsive, inspiring, and sensitive.		Responsive	Responsive	Responsive	Responsive
2. Leaders of the policy process organizations provide appropriate strategic guidance (strategic leader and/or operational leader).		Strategic	Strategic	Strategic	Neutral

Capacity Assessment Criteria	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
3. Member or staff turnover in your organizations is relatively low.		Agree	Neutral	Neutral	Strongly disagree
4. Members and staff of your organization have the necessary skills to use evidence for strategic analysis and other policy-related work.		Skilled	Skilled	Average	Highly skilled
5. Appropriate incentives are in place to sustain members' and staff's motivation		Average	Average	Average	Low
6. There is adequate funding from multiple sources to cover the cost of operations.		Neutral	Neutral	Adequate	Neutral
II. Capability to adapt, learn, and self-renew: Level of effective application of monitoring and evaluation (M&E)					
7. Activities, outputs, outcomes, and performance markers are effectively assessed through M&E activities to address the goals of the food and agricultural sector's programs and policies.		Ineffective	Neutral	Effective	Neutral
8. Sector reviews are performed and other research evidence is collected to effectively assess the effects of delivered products and services (outcomes) for future strategy development.		Neutral	Ineffective	Effective	Neutral
9. Internal management and evaluation of your organization stimulates frequent critical reflection that results in learning from mistakes.		Effective	Neutral	Effective	Neutral
10. Members and staff of your organization feel free to come up with ideas for implementation of agricultural policy objectives.		Effective	Neutral	Effective	Highly effective
11. Your organization has an effective system to stay in touch with general trends and developments in the food and agricultural sector.		Effective	Effective	Effective	Effective
12. Your organization is effective in being open and responsive to its stakeholders and the general public.		Effective	Effective	Effective	Effective
III. Capability to deliver on mandate and development objectives: Extent to which your organization delivers on planned objectives and mandates					
13. Your organization has clear operational plans to carry out its mandate and objectives, which all members and staff fully understand.		Agree	Agree	Agree	Strongly agree
14. Your organization delivers its planned outputs in a timely fashion.		Strongly agree	Agree	Agree	Agree
15. Your organization has mechanisms in place to verify that its services meet client, stakeholder, or beneficiary needs.		Agree	Agree	Agree	Neutral

Capacity Assessment Criteria	ASCU Declined	MoA	MoLD	KENAFF	ME&MR
IV. Capability to coordinate and relate: Level of engagement of your organization in networks, alliances, and collaborative efforts					
16. Your organization maintains effective coordination of its partner organizations and stakeholder groups for the benefit of the food and agricultural sector.		Agree	Agree	Agree	Strongly agree
17. Your organization effectively maintains relationships with existing networks, alliances, and partnerships.		Effective	Effective	Effective	Highly effective
V. Capability to achieve policy and strategy coherence: Existence of mechanisms for coherence in the food and agricultural sector					
18. Vision, mission, and strategies are regularly discussed within your organization.		Strongly agree	Neutral	Agree	Neutral
19. Operational guidelines to achieve policy and strategy coherence in the food and agricultural sector are in place, and your organization effectively follows them to achieve coherence by working with its members and stakeholders.		Neutral	Neutral	Agree	Neutral
VI. Any other issues					

Appendix 4: Study Instruments

1. Questionnaire provided by ReSAKSS
2. General discussions with the key informants on their role in the policymaking process
3. Literature on Kenya's agricultural policies and strategies

Established in 2006 under the Comprehensive Africa Agriculture Development Programme (CAADP), the Regional Strategic Analysis and Knowledge Support System (ReSAKSS) supports efforts to promote evidence and outcome-based policy planning and implementation as part of the CAADP agenda. In particular, ReSAKSS provides data and related analytical and knowledge products to facilitate benchmarking, review and mutual learning processes. It is facilitated by the International Food Policy Research Institute (IFPRI), in partnership with the African Union Commission (AUC), the NEPAD Planning and Coordinating Agency (NPCA), and leading regional economic communities (RECs). At the regional level, ReSAKSS is supported by three Africa-based CGIAR centers: the International Livestock Research Institute (ILRI) in Kenya, International Water Management Institute (IWMI) in South Africa, and International Institute of Tropical Agriculture (IITA) in Nigeria. www.resakss.org.

ReSAKSS has been established with funding from the United States Agency for International Development (USAID), the UK Department for International Development (DFID), the Swedish International Development Cooperation Agency (Sida), and the Bill & Melinda Gates Foundation. ReSAKSS also receives funding from the International Fund for Agricultural Development (IFAD) and the Ministry of Foreign Affairs of the Netherlands (MFAN). ReSAKSS-WA also receives funding from the Economic Community of West African States (ECOWAS).

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ReSAKSS

Regional Strategic Analysis and Knowledge Support System

Facilitated by IFPRI 

Established in 2006 under the Comprehensive Africa Agriculture Development Programme (CAADP), the Regional Strategic Analysis and Knowledge Support System (ReSAKSS) supports efforts to promote evidence and outcome-based policy planning and implementation as part of the CAADP agenda. In particular, ReSAKSS provides data and related analytical and knowledge products to facilitate benchmarking, review and mutual learning processes. It is facilitated by the International Food Policy Research Institute (IFPRI), in partnership with the African Union Commission (AUC), the NEPAD Planning and Coordinating Agency (NPCA), and leading regional economic communities (RECs). At the regional level, ReSAKSS is supported by three Africa-based CGIAR centers: the International Livestock Research Institute (ILRI) in Kenya, International Water Management Institute (IWMI) in South Africa, and International Institute of Tropical Agriculture (IITA) in Nigeria. www.resakss.org.

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