



FAO-Netherlands Partnership Programme / FAO Policy Analysis Cluster

## Workshop on “Policy Assistance Lesson Learning”

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### Enhancing the Effectiveness of Policy Assistance Analytical Framework for Country Case Studies

## Introduction

The purpose of this analytical framework is to help consultants identify, analyse and draw preliminary lessons from the country case studies. This analytical framework proposes a step-by-step approach to undertake a country case study. It is recommended to follow this proposed process. However, this analytical framework also offers a fair degree of flexibility to adapt to various local conditions.

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The four tables inserted in the analytical framework have to be filled by the consultants and included in their report. Additional comments or information can be provided to further explain and justify the content of each table.

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## Core analytical issues

1. How can we characterize the effectiveness of a policy assistance intervention?
2. How can we identify the favourable conditions under which policy assistance can be effective and unfavourable conditions that constraint the policy assistance?
3. How can we identify good practices of policy assistance interventions?

## Preliminary remarks:

- The identification of policy recommendations to be analysed in greater details should cover the whole spectrum of the project.
- The consultant may wish to differentiate the policy recommendations according to their policy nature (regulatory / institutional / technical / financial). Policy recommendations can also be distinguished according to categories by type of advice: macro-sector interface; sector; sub-sector; specific issue.

## PART 1: PRELIMINARY RESEARCH AND ANALYSIS

<p><b>Step 1</b></p>	<p><b>Identify source of information</b> on policy assistance project:</p> <ul style="list-style-type: none"> <li>• Available material (project documents, evaluation reports, report on outputs, etc.).</li> <li>• Interviews of resource persons and other stakeholders.</li> </ul>
<p><b>Step 2</b></p>	<p><b>Identify ALL recommendations</b> as outputs of the policy assistance project.                  Build the list of recommendations.                  Also identify other contributions that are not encapsulated in the recommendations.</p>
<p><b>Step 3</b></p>	<p>Assess the recommendations according to the six following <b>formulation criteria</b>:</p> <ul style="list-style-type: none"> <li>• <b>Availability</b> of information and people.</li> <li>• <b>Clarity of the what (y/n)</b>: Is the recommendation self explanatory?</li> <li>• <b>Clarity of the why (y/n)</b>: Extent to which the recommendation is relevant to the problem/issue it addresses in terms of coherence between the problem and the solution proposed.</li> <li>• <b>Clarity of the how (y/n)</b>: Description of the process for implementing the recommendation.</li> <li>• <b>Clarity of the who (y/n)</b>: Information about the targeted authorities responsible for the implementation of the recommendation.</li> <li>• <b>Independence</b>: Are the recommendations independent or linked among each other?</li> </ul> <p><b>One other dimension deserves to be considered:</b></p> <ul style="list-style-type: none"> <li>• <b>Degree of originality of the recommendation</b>: Assess whether the recommendation could be perceived as an original idea not yet widely shared among stakeholders at the time of the beginning of the project and which therefore added value to the national policy debate.</li> </ul>

## PART 2: IDENTIFICATION OF POLICY RECOMMENDATIONS TO BE ANALYSED

<p><b>Step 4</b></p>	<p><b>Build a list of pre-selected policy recommendations by</b></p> <ol style="list-style-type: none"> <li>1. Taking into consideration <u>policy recommendations only</u>.</li> <li>2. Selecting those that are specific and <u>excluding those that are too general or too vague</u> unless they entail a strategic scope, in which case specific proposals on how the change should be affected must be made.</li> </ol>
<p><b>Step 5</b></p>	<p><b>Select the policy recommendations to be analysed, first by using the <u>importance criteria</u></b></p> <ul style="list-style-type: none"> <li>• Consult with the FAO author on the <u>most important policy recommendation for policy change made by the project</u>.</li> <li>• Consult on the list of policy recommendations with Government Policy Makers to identify the most important policy recommendations in their opinion.</li> </ul>
<p><b>Step 6</b></p>	<p><b>Assess the status of adoption of selected policy recommendations</b></p> <ul style="list-style-type: none"> <li>• It is a <u>first appraisal</u> that is left to the judgement of the consultant.</li> <li>• This assessment will be completed in the second phase of the analysis. The detailed actual status of adoption will be documented after the interviews with key stakeholders.</li> <li>• Ensure that the list of policy recommendations analysed offers a <u>good mix of implemented / not implemented policy recommendations</u>.</li> </ul>
<p><b>Step 7</b></p>	<p><b>Select the policy recommendations using the <u>Coverage criteria</u>.</b></p> <ul style="list-style-type: none"> <li>• This step refers to the <u>themes used at time of selection of the case studies</u> (agriculture policy, agriculture trade, environment, fisheries, food security, forestry, processing, Poverty Reduction Strategy Papers, rural development) and <u>categories</u> (macro interface, sector, sub-sector, specific issue).</li> <li>• Policy recommendations should be chosen so as to be representative of the themes covered by the project.</li> </ul>
<p><b>Step 8</b></p>	<p><b>Select the remaining policy recommendations according to the <u>formulation criteria</u> presented in step 3.</b></p> <p>The possible combinations of the formulation criteria allow for creation of clusters. Each <i>cluster</i> is defined by the possible combination of formulation criteria.</p> <p>The suggested steps are as follows:</p> <ul style="list-style-type: none"> <li>• Classify the policy recommendations.</li> <li>• Determine how many policy recommendations belong to each cluster.             <ol style="list-style-type: none"> <li>i. y-y-y-y, where y-y-y-y = y (clarity of what); y (clarity of why); y (clarity of how) and y (clarity of who), Select the policy recommendation.</li> <li>ii. n-n-n-n: It is suggested to select 1 policy recommendation only if it’s possible to work on it given the information availability.</li> <li>iii. The same logic applies for the rest of the cases.</li> <li>iv. y-y-n-n.</li> <li>v. y-y-y-n.</li> <li>vi. y-n-n-n.</li> <li>vii. other combinations if relevant.</li> </ol> </li> </ul>

	<p><b>Note:</b></p> <ul style="list-style-type: none"> <li>· <i>Consultants will be able to decide the number of selected policy recommendations within each cluster depending on the total amount of policy recommendations.</i></li> <li>· <i>Select the cluster of y-y-y-y. For this cluster, we suggest that those policy recommendations that are linked to others be eliminated. However, if dependent policy recommendations are well documented or can provide an interesting lesson drawing, then it is worth including them in the analysis.</i></li> <li>· <i>Repeat the same process for the n-n-n-n cluster.</i></li> </ul>
<b>Step 9</b>	<p><b>Labelling the selected policy recommendations:</b> Identify the status of adoption differentiating by</p> <ol style="list-style-type: none"> <li>1. <u>Policy principle</u> which regards a fundamental explanation of general reasons to adopt the policy recommendation.</li> <li>2. <u>Policy objective</u>, when the policy recommendation is guided by the achievement of a certain purpose which is believed to be attainable.</li> <li>3. <u>Policy instrument</u>, when the policy recommendation is concerned with using specific interventions in the agriculture sector and/ or economy.</li> </ol> <p><b>Note:</b></p> <ul style="list-style-type: none"> <li>· <i>It is expected that a policy recommendations corresponding to a principle will be complemented by more detailed policy recommendations at a lower levels: at the objective, then at the instrument levels.</i></li> <li>· <i>If the latter are implemented, then the former are also by necessity (in part at least). This means that the Structure of the policy recommendations should be developed, showing how policy recommendations at the principle or objective levels are to be implemented by means of other policy recommendations at the instrument level.</i> <i>However, it could be possible to meet a situation where a lower level policy recommendation often contributes to implementing several higher level ones, and where higher level policy recommendations are implemented though several lower level ones.</i></li> </ul>

**Table 1 : List of all policy recommendations**

	STEP 3: Formulation criteria						Additional criteria	Criteria analysed in STEP 5 & 6			STEP 7 Coverage Criteria		Selected Policy Recommendations (Y/N)	STEP 9 Labelling  (P= principle, O= Objective, I= instrument)
	Info availability	Clarity (what) (Y/N)	Clarity on why (Y/N)	Clarity on how (Y/N)	Clarity on who (Y/N)	Independence (Y/N)		Degree of originality of the recommendation	Importance criteria according to FAO team	Importance criteria according to National Policy Maker(s)	Status of adoption according to preliminary appraisal by the consultant	Themes		
List of all Policy Recommendations														
1														
2														
3														
4														
5														
6														
7														
8														
9														
10														
11														
12														
13														
...														

Note: Selected recommendations could be highlighted

## PART 3: ANALYSIS OF SELECTED POLICY RECOMMENDATIONS

**Note:** This analysis has to be made for each policy recommendation

<p><b>Step 10</b></p>	<p><b>Describe the status of adoption</b> of each policy recommendation:</p> <ul style="list-style-type: none"> <li>• <b>Status of adoption:</b> has the policy recommendation been adopted by the authorities; was the sequencing of actions undertaken consistent with policy recommendations; and has it been integrated in the national policy framework: adopted in project report, reflected in a policy statement, in a decision taken, or actually implemented?</li> <li>• <b>Satisfaction</b> of the status of adoption:             <ul style="list-style-type: none"> <li>• Regarding the recipients/beneficiaries: are they satisfied with the status of adoption? Why?</li> <li>• Regarding FAO: is FAO satisfied with the status of adoption?</li> </ul> </li> </ul>
<p><b>Step 11</b></p>	<p><b>Describe the exogenous factors</b> that affected the process and the policy recommendation:</p> <ul style="list-style-type: none"> <li>• <b>NATIONAL POLICY CONTEXT (NPC):</b> Local conditions in the country at the moment the project was implemented; key elements of history; origin of the policy assistance intervention (political change, genuine request, FAO advocacy); international influence; among others.</li> <li>• <b>PLAYERS AND ISSUES (P&amp;I):</b> <ul style="list-style-type: none"> <li>• Stakeholders: how did they interact with each others, level of influence of each player.</li> <li>• What issues did they encounter or raise (rank them if necessary according to their influence on the policy process).</li> </ul> </li> <li>• <b>POLICY PROCESS AND DIALOGUE (PPD):</b> The policy process is the process through which the policy is “produced”. It helps clarify the player’s position with respect an issue and/or bring other players around this position. This section also includes information on the quality of the decision making process, the extent to which relevant stakeholders were involved, and the degree of complexity of the institutional framework.</li> </ul>
<p><b>Step 12</b></p>	<p><b>Describe the endogenous factors</b> that affected the status of adoption of the recommendation. This analysis will focus on the FAO response to the exogenous factors and it will be conducted according to:</p> <ul style="list-style-type: none"> <li>• <b>Context in the Policy Assistance Project and in FAO (CPAP):</b> This refers to several aspects in FAO and in the project team including FAO internal politics, specific issues regarding FAO context, the level of support to the project, extent to which other issues regarding FAO affected the policy assistance process, specific internal organization and management arrangements in FAO and/or in the project.</li> <li>• <b>Process of the Policy Assistance Project (PPAP):</b> This refers to several elements of the process to implement the project of policy assistance: time frame (when, how long); targeted players (with whom); and the choice for policy interactions and the mode of operation (how and where).</li> <li>• <b>Expertise of the Policy Assistance Project (EPAP):</b> quality and quantity of the technical inputs and adequacy of the experience.</li> </ul>

<b>Step 13</b>	<p><b>Assessment and explanation of the status of adoption of each policy recommendation:</b> This is an analysis of the information gathered in the previous steps, with a response to the following questions:</p> <ul style="list-style-type: none"> <li>• Extent to which the policy recommendation was adopted.</li> <li>• Explanations of the status of adoption. The exercise aims to emphasize the factors that made the policy recommendation effective; describing:             <ul style="list-style-type: none"> <li>○ What [policy recommendation].</li> <li>○ How [process, approach].</li> <li>○ Who [players targeted and expertise].</li> <li>○ When [timing].</li> <li>○ Where [arena, institutional level].</li> </ul> </li> </ul> <p>The following table could be used to make a systematic analysis of the explanations of the status of adoption.</p>
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**Table 2 : Explanation of the status of adoption**

	Exogenous				Endogenous			
Factors	National Policy Context	Players and Issues	Policy Process and Dialogue	Other	Context in FAO and in the Policy Assistance Project	Policy Assistance Process	Expertise	Other
Why								
What								
Who								
When								
Where								
Other								

**PART 4: COMPARATIVE SUMMARY, FINDINGS AND PRELIMINARY LESSONS LEARNT**

<b>Step 15</b>	<p>This exercise aims to synthesize and compare all the policy recommendations previously analyzed.</p> <p>According to the analysis that was done, fill the following table describing in few words the nature of the key factors influencing each recommendation. The various factors listed in column two will have to be further disaggregated for this purpose.</p>
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**Table 3 : Comparative summary**

	Factors	Recommendation 1	Recommendation 2	....
Exogenous	National Policy Context			
	Players and Issues			
	Policy Process and Dialogue			
	Other...			
Endogenous	Context in FAO and the project			
	Policy Assistance Process			
	Expertise			
	Other...			

<b>Step 16</b>	<p><b>Identify findings and draw of preliminary lessons</b></p> <ul style="list-style-type: none"> <li>Using the previous step as input, identify relevant findings whether by <b>FREQUENCY, STRENGTH EVIDENCE, and/or SIGNIFICANCE</b>.</li> <li>Classify these main findings according to endogenous and exogenous factors (left column).</li> <li>Reflect on the “main findings” column to draw preliminary lessons, do’s and don’t s, best practices that can be derived from your comparative analysis.</li> </ul>
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**Table 4 : Synthesis of findings and identification of preliminary lessons**

	Factors	Main findings	Preliminary lessons, do’s and don’t s, best practices
Exogenous	National Policy Context		1) New <b>endogenous</b> approaches, and ways in which the exogenous dimension can be better taken into account (adapting policy assistance to exogenous factors): <ul style="list-style-type: none"> <li>• ...</li> <li>• ...</li> <li>• ...</li> </ul>
	Players and Issues		
	Policy Process and Dialogue		
	Other		
Endogenous	Process of Policy Recommendation		2) How can current approaches be enhanced? <ul style="list-style-type: none"> <li>• ...</li> <li>• ...</li> <li>• ...</li> </ul>
	Policy Assistance Process		
	Expertise		
	Other		

## Proposed Guidelines for the Interviews

### I. Introduction

The aim of the interview guidelines is gather additional information on the policy recommendations to be analysed and more specifically on their status of adoption, exogenous and endogenous factors that could explain the latter. The interview may combine several policy recommendations depending on their nature and/or the person interviewed.

### II. Read the recommendation (s)

- What do you think of this policy recommendation?
- To what extent would you consider that this policy recommendation adopted? Why?

### III. Questions on exogenous factors

*Questions are related to National Policy Context, Players and Issues, and Policy Process and Dialogue.*

- What is worth mentioning about the National Policy Context at the time the policy recommendation was made?
- What were the players involved as supporters or opponents in the adoption of this policy recommendation? Why?
- From your view, what were the issues considered for this policy recommendation? Why?
- How would describe the policy process and dialogue that led to the adoption of this policy recommendation?

### IV. Questions on endogenous factors

*The purpose of this section is to find out the key elements regarding the context in FAO and in the Project, the Policy Assistance Process, and the expertise provided to come up with the policy recommendation(s)*

- What can you say about the context of the Policy Assistance Project in FAO?
- To what extent would you consider that FAO and this project were effective with respect to this policy recommendation?
- How would you describe the Policy Assistance Process?
  - What can you say about the time frame (when and how long)?
  - What can you say about the choice of stakeholders and arena (who and where)?
- How would you improve this process?

- What would you say about the expertise mobilised in this project? (The objective is to know the extent to which experts played a key role based on their profile, network, experience, etc.).
- Any comments on FAO’s follow-up on the advice given after completion of the project?

#### **V. Preliminary findings and conclusions**

- What could say about the follow-up provided to the Policy Assistance Project?
- What are the policy recommendations that could be considered as original if any?
- What would you say about possible synergies or contradictions among the policy recommendations provided by the Policy Assistance Project?
- What preliminary lessons would you draw overall?
- What would you point out to improve the outcome for the policy recommendation analysed?